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Important dates and deadlines 2014-15

18-19 Aug New Academic Administrators Workshop hosted by the Provost’s Office

21 Aug Faculty Affairs New Faculty Orientation

22 Aug New Faculty Teaching, Learning and Orientation Seminar hosted by the Center for Teaching and Learning

27 Aug Fall semester classes begin

27 Aug Fall Course Syllabi due

3 Sep Depts submit names of FRA application reviewers to Dean’s Office

15 Sep Teaching Award Nominations due

22 Sep Promotion files due to Dean’s Office

23 Sep CNS Town Hall Meeting

26 Sep Annual Fund follow-up email due

30 Sep Gather Comprehensive Periodic Review materials

1 Oct Submit course projections for next academic year

2 Oct Hall of Honor Event

3 Oct Advisory Council Business Meeting

3 Oct Submit Faculty Annual Reports to Dean’s Office and Provost’s Office

8 Oct Collect assessment materials for Faculty annual reviews

13-14 Oct College Promotion and Tenure committee meets

14 Oct Certification letter due

15 Oct Faculty Endowment Thank You letters due

24 Oct Regalia rental orders and list of participating faculty due

30 Oct College Promotion and Tenure committee meets (if necessary)

3 Nov Submit Rom Rhome International Professional Development Fund nominations to Dean’s Office
<table>
<thead>
<tr>
<th>Date</th>
<th>Event</th>
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<tbody>
<tr>
<td>7 Nov</td>
<td>Balance review deadlines</td>
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<tr>
<td>13 Nov</td>
<td>Service Center balance review deadline</td>
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<tr>
<td>14 Nov</td>
<td>Submit Faculty Requests for Spring semester Leave to Dean’s Office</td>
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<tr>
<td>17 Nov</td>
<td>Dean’s Office announces FRA Awards and Rom Rhome Awards</td>
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<tr>
<td>1 Dec  (TBD)</td>
<td>Submit Faculty Annual Review results to Dean’s Office</td>
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<td>4 Dec</td>
<td>Effort certification due</td>
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<td>5 Dec</td>
<td>Last class day for Fall semester</td>
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<td>7 Dec</td>
<td>Fall commencement</td>
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<tr>
<td>10-13, 15-16 Dec</td>
<td>Fall semester final exams</td>
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<tr>
<td>17 Dec</td>
<td>President announces Promotion and Tenure decisions</td>
</tr>
<tr>
<td>19 Dec</td>
<td>Summer 15 course projections and special equipment request due</td>
</tr>
<tr>
<td>12 Jan</td>
<td>Pending Terminal appointments – Submit notice to the Provost’s Office (copy Dean’s Office) if faculty member wishes to submit final arguments</td>
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<tr>
<td>16 Jan</td>
<td>Department Chair communicates to the faculty member in writing, stating the Faculty Annual Review rating category</td>
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<tr>
<td>20 Jan</td>
<td>Spring semester classes begin</td>
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<tr>
<td>20 Jan</td>
<td>Spring Course Syllabi due</td>
</tr>
<tr>
<td>30 Jan</td>
<td>Deadline for faculty member to submit final arguments for terminal appointment decisions</td>
</tr>
<tr>
<td>2 Feb</td>
<td>Review list of faculty undergoing Promotion and Tenure Review in the following year (List provided by Dean’s Office)</td>
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<tr>
<td>9 Feb</td>
<td>March reclassification/increase</td>
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<tr>
<td>9 Feb</td>
<td>Submit Comprehensive Periodic Reviews to Dean’s Office</td>
</tr>
<tr>
<td>13 Feb</td>
<td>Written development plans for Faculty receiving “Below Expectations” or “Unsatisfactory” due to faculty member and Dean’s Office</td>
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<tr>
<td>16 Feb</td>
<td>Submit final Tenured, Tenure-Track faculty assignments for next academic year</td>
</tr>
<tr>
<td>20 Feb</td>
<td>Annual Fund letters due</td>
</tr>
<tr>
<td>2 Mar</td>
<td>Budget Open</td>
</tr>
<tr>
<td>13 Mar</td>
<td>FY 2013-14 “Non-OSP” Research Expenditures report due</td>
</tr>
<tr>
<td>16 Mar</td>
<td>Review list of faculty undergoing Comprehensive Periodic Review and Third-Year Review in the following year (List provided by Dean’s Office)</td>
</tr>
<tr>
<td>31 Mar</td>
<td>Notify all Tenured Faculty members who are to undergo Comprehensive Periodic Review in the Fall of the following academic year – must be given individual notice of at least 6 months of intent to evaluate</td>
</tr>
<tr>
<td>1 Apr</td>
<td>Deadline to submit to the Dean’s Office faculty emeritus recommendations to be included in Commencement Program</td>
</tr>
<tr>
<td>3 Apr</td>
<td>Dean’s Honored Graduate nomination letters due</td>
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<tr>
<td>6 Apr</td>
<td>Departmental Tenure Track Faculty Workload due</td>
</tr>
<tr>
<td>13 Apr</td>
<td>Teaching awards due</td>
</tr>
</tbody>
</table>
15 Apr Deadline for continuing student scholarships

22 Apr Celebration of Excellence

23 Apr List of participating faculty and regalia rental orders due

27 Apr Faculty workload approvals sent to depts

1 May Recruitment deadline for Tenured and Tenure-Track faculty candidates holding positions at other US institutions of higher education

1 May Submit edits to list of faculty undergoing Promotion and Tenure, Comprehensive, and Third-Year Review to Dean’s Office

8 May Last class day for Spring semester

11 May Depts submit 2015-16 NTT and AI funding requests

13-16, 18-19 May Spring semester final exams

15 May Initial date for Tenure-Track faculty to submit notices and/or request to Dean’s Office for extension of their probationary period for the next academic year

15 May Quarterly updates due

22-23 May Spring Commencement

29 May Final date for qualifying Tenure-Track faculty to submit notices and/or requests to EVPP for extension of their probationary period for the next academic year

4 Jun Effort certification due

12 Jun Submit Third-Year Reviews to Dean’s Office

12 Jun All performance evaluations due (estimated date)

11 Jul Final date to update list of candidates undergoing Promotion and Tenure, Comprehensive Periodic Review, and Third-Year Review for next academic year

18 Jul Submit Faculty Request for Leave forms for Fall and Academic Year to the Dean’s Office

11 Jul Final date to update list of candidates undergoing Promotion and Tenure, Comprehensive Periodic Review, and Third-Year Review for next academic year

18 Jul Submit Faculty Request for Leave forms for Fall and Academic Year to the Dean’s Office

11 Jul Final date to update list of candidates undergoing Promotion and Tenure, Comprehensive Periodic Review, and Third-Year Review for next academic year

18 Jul Submit Faculty Request for Leave forms for Fall and Academic Year to the Dean’s Office
Dean’s Office Contacts

College Leadership

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Ricardo Medina – Assistant Dean for Business Services
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Contacts

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Dr. Dan Jaffe - Astronomy
512-471-3425  dtj@astro.as.utexas.edu  RLM 17.218

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Dr. Debbie Jacobvitz – Human Development and Family Science
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Dr. Bob Jansen – Integrative Biology
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Dr. Bob Dickey – Marine Science
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Dr. Alan Reid - Mathematics
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512-232-6564  djohnston@mail.clm.utexas.edu  NHB 2.504

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512-471-3958  mbray@austin.utexas.edu  PAI 5.32

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512-471-7253  reichl@mail.utexas.edu  RLM 7.222

Dr. Mike Daniels – Statistics & Data Science
512-471-4128  mjdaniels@austin.utexas.edu  GDC 7.510
Business Services

Business services performs a wide variety of administrative functions for the College of Natural Sciences.

The main responsibilities include:

- Budget preparation and monitoring
- Financial document processing
- Faculty appointments and financial support
- Human Resources administration
- Providing financial and appointment information
- Monitoring compliance with UT and College administrative procedures
- Facilitating UT and College administrative procedures
- Review of contracts and other documents for Dean’s signature

Business Services Staff  (WC Hogg 3rd floor)

Gail Davis – Senior Administrative Associate
512-232-1043  gld@austin.utexas.edu

Joanne Duffy – Receptionist and Administrative Assistant
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512-232-1726  salvadorr@austin.utexas.edu

Patty Romano – Assistant Director
512-232-4409  patty.romano@austin.utexas.edu
Communications and Media

The College of Natural Sciences Communications Office offers comprehensive writing, editing, video, presentation, design and media relation services.

The department goal is to promote public awareness of the college's programs, faculty, staff and students, and improve public understanding of science. The office works closely with the dean, the president's Communications Office, departmental communications professionals, and other communicators across campus.

Services at a Glance
• Media Relations & News Releases
• Feature Stories
• Social Media
• Brochures, Posters & Marketing
• Websites
• Video & Audio
• Scientific Illustration & Animation
• New Ideas

Communications and Media Contact information
Christine Sinatra – Director of Communications
512-471-4641 christine.sinatra@austin.utexas.edu WCH 2.308

Marc Airhart – Communications Coordinator
512-232-1066 cnsnews@austin.utexas.edu WCH 2.308
Office of External Relations

The College of Natural Sciences Office of External Relations supports and builds constituent and alumni relationships and philanthropic partnerships. Comprised of both Development and Constituent and Alumni Relations, the office creates engagement opportunities for alumni, friends, corporations, foundations, students, faculty and staff. In addition to facilitating gifts and pledges of all types, assisting donors with outright giving, endowments, and estate planning, the office of external relations also matches shared interests within the college to maximize the impact of investments.

Kelsey Evans – Chief External Relations Officer  
512-471-6151 kelsey.evans@mail.utexas.edu

Development Staff

Donna Benson – Development Associate  
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Kristine Haskett – Director of Corporate and Foundation Relations  
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Tyrone Jimmison – Associate Director for Development  
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Lori Walker – Associate Director for Development  
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Jackie Wong – Gift Administrator  
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Laura Yancey – Development Associate  
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Constituent & Alumni Relations

Ashley Carr – Administration Associate  
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Janis VanderBerg – Director of Constituent and Alumni Relations  
512-232-1041 jvanderberg@austin.utexas.edu
Contacts

Faculty Affairs

The Faculty Affairs Office serves the College of Natural Sciences and all of its academic departments by overseeing faculty matters and academic budgeting. The Faculty Affairs portfolio is broad, but focuses on strategic planning, faculty recruitment and retention, and faculty review. Our goal is to support the excellence in teaching and research in the College of Natural Sciences through support of our outstanding faculty.

Faculty Affairs Staff

Shelley Payne, PhD – Associate Dean for Faculty Affairs
512-471-1070  smpayne@austin.utexas.edu  WCH 3.126

Michelle Ramsey – Executive Assistant
512-232-9288  michelle@austin.utexas.edu  WCH 3.128

Christine Rosales – Coordinator for Faculty Affairs
512-232-0671  crosales@austin.utexas.edu  WCH 3.128
Information Technology
IT services are broken down into the following areas.

Help Desk Support
Handles all desktops, laptops, printer and email support.

Support Areas:
• Computer Support
• Email
• Hardware Rollouts
• Printers

Classroom Technology
Maintains and updates all technology in CNS classrooms.

Support Areas:
• Classroom Technology
• Lectures on Demand
• A/V Setup

Web Applications/Sites
Create and manage all Dean's Office level websites and applications.

Support Areas:
• CNS & Affiliated Websites
• Mainframe Applications
• Software Development

Networking & Systems
Support Areas:
• CNS Servers
• VOIP Systems

Information Technology Contact information
Mark McFarland – Director for Information Technology
512-232-1068  markmcfarland@utexas.edu  WCH 2.322A

A general help request form can be found at
http://cns.utexas.edu/information-technology/help-request-forms/general-help-request
Research and Facilities

The Office of the Associate Dean for Research and Facilities functions as the clearinghouse for all matters relating to research activities, graduate and postdoctoral programs, and facilities projects in the college. Dean Appling and his group oversee and approve all college related renovations and building projects, which encompass faculty recruitment space needs, teaching and research labs, and shared facilities. On the research side, the office is responsible for oversight of graduate and postdoctoral programs across the college. They work closely with CNS faculty, departments, and ORUs to identify, develop, acquire, and manage multi-investigator center grants and training grants. This office also coordinates the nomination process for limited submission research awards throughout the year.

Research and Facilities Staff

Dean Appling, PhD - Associate Dean  
512-471-4796  
dappling@austin.utexas.edu  
WCH 3.128

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mary.mansfield@austin.utexas.edu  
WCH 3.128

Kathy Brooks - Facility Manager  
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kathybrooks@austin.utexas.edu  
DPI 1.114D

Ann Harasimowitz – Director for Facilities and Safety  
512-232-1064  
an.harasimowitz@austin.utexas.edu  
NHB 5.402A

Jennifer Lyon - Director of Strategic Research Initiatives  
512-232-1059  
lyon@austin.utexas.edu  
WCH 3.128C

Dr. Anne Tibbetts – Director for Postgraduate Education  
512-232-1074  
a.tibbs@austin.utexas.edu  
WCH 3.128B
Postgraduate Education

The College of Natural Sciences Director for Postgraduate Education (Anne Tibbetts) works with the Associate Dean for Research and Facilities to provide oversight for all graduate and postdoctoral programs across the college. This includes development and oversight of initiatives that provide training and support for graduate students and postdoctoral scientists, development of methods to track graduate student and postdoc performance, and the analysis of policy issues affecting postgraduate scientists. The contributions made by graduate students and postdocs, both in research and undergraduate education, are critical to the success of the college. Our goal is to provide the services and resources necessary to prepare our postgraduate scholars to be the innovative researchers, educators and leaders of the future.

Postgraduate Education Staff

Dr. Anne Tibbetts – Director for Postgraduate Education
512-232-1074  a.tibbs@austin.utexas.edu  WCH 3.128B

Strategic Research Initiatives

The College of Natural Sciences Strategic Research Initiatives office works with teams of college faculty to identify, develop, acquire and manage multi-investigator center grants and institutional training grants from external funding agencies.

Under the direction of Jennifer Lyon, Strategic Research Initiatives also represents the college’s interests in cross-college and university-level matters related to research funding. Such matters include managing limited-submission proposal processes, fostering cooperation in cross-college pursuits of major funding, and establishing policies for grant-related issues.

Research Faculty is encouraged to contact Dr. Lyon for more information about how Strategic Research Initiatives can help secure a next major center grant.

Strategic Research Initiative Staff

Dr. Jennifer Lyon – Director for Strategic Research Initiatives
512-232-1059  lyon@austin.utexas.edu  WCH 3.128C
Undergraduate Education

Under the leadership of Dr. David Vanden Bout, the CNS Undergraduate provides support for the college’s mission to be a premier science education center. The Undergraduate Education Office oversees offices within the college that support student excellence, advising, degrees, teaching and curriculum. The undergraduate student dean also works directly with student organizations and student leadership in the college, and is available to help undergraduates with ideas they may have for the college or with issues they face while here at the University of Texas.

Offices within Dr. Vanden Bout's supervision include as the Associate for Undergraduate include:

- College Honors Center
- Office of Academic Advising
- Office for Research and International Study
- Office of Academic Initiatives
- Health Professions Office
- Career Design Center
- Texas Interdisciplinary Plan
- Quest web-based teaching resources
- College Admissions and Recruitment
- College-wide events
- Faculty teaching awards

Undergraduate Education Staff

**Dr. David Vanden Bout – Associate Dean for Undergraduate Education**
512-232-0677  
cns-studentdean@austin.utexas.edu  
WCH 2.222

**Sharon Williams – Administrative Associate for Undergraduate Education**
512-232-0677  
sharon.williams@austin.utexas.edu  
WCH 2.222
As a new faculty member at UT, you suddenly find yourself being a teacher, research group leader, grant writer and fundraiser, editor, accountant, counselor, and mentor. It is unlikely that your graduate and postdoctoral training covered all these aspects of your career. Fortunately, there are resources available to help you. Your department chair should assign one or more mentors; if not, ask your chair or seek out successful faculty members and ask for help. This section will provide basic information on resources to help you get started at UT. More detailed information on policies and forms can be found in subsequent sections of the handbook.

For general UT faculty information:
http://www.utexas.edu/faculty/

CNS faculty information
http://www.cns.utexas.edu/faculty-affairs

You should attend both the University new faculty workshop and the CNS new faculty orientation prior to starting at UT. These are held in Austin before classes start, and the dates are included in your appointment letter. These workshops have sessions on a range of topics important to new faculty, including research, teaching and campus resources. For other information pertaining to benefits, go to the Human Resources website and sign up for the New Employee Welcome and Orientation:

http://www.utexas.edu/hr/current/new/newo.html
Your offer letter will spell out most of the details of your appointment. It will include your salary, information about the teaching workload and other expectations. For tenured and tenure-track appointments, information about start-up funds and other negotiated items will also be described. The letter will also include the dates of the University-sponsored new faculty orientation that you are expected to attend. The College also hosts an orientation for new faculty before classes start in Austin. This includes more college-specific information and gives you the opportunity to meet other new faculty.

Faculty who are not on the tenure track will receive a one-year contract. After promotion this may change to a two- or three-year contract, but these are always for a defined period of time. At the end of that time renewal of the contract will depend on instructional needs and annual reviews. Instructional needs may fluctuate from year to year, leading to changes in appointments. This can include reduction from full-time to part-time or the contract may not be renewed. Unfortunately, it is impossible to guarantee permanent employment for non-tenure-track faculty. However, departments and the college will make every effort to let the faculty member know well in advance of changes to future contracts.
Who’s who in your department

Ask the chair for a list of the department staff and administrators and their roles in the department. Most departments will provide this, but ask if they forget. You need to know who does the appointments, who helps with purchasing, and who assigns classroom space, for example. The list should also include the key administrators in the department. There may be an associate chair who makes course assignments, course coordinators for multiple sections of large undergraduate classes, and a graduate advisor. You will also need contact information for the building manager.

Introduce yourself to each of the department staff members. Get to know them and what they do. They can provide invaluable assistance to you.

First steps

Insurance and other benefits
Sign up for the New Employee Welcome and Orientations through the Office of Human Resources:
http://www.utexas.edu/hr/current/new/newo.html

Keys: Get keys to your office and lab. If access to the building or some of the department areas requires your ID card, ask the building manager or department administrator to activate your ID card.

Email lists: The department should add you to the email list for seminars and other department activities. If you are a new lecturer, remind the department administrators to add you to email lists for faculty meetings where teaching and curriculum are discussed and for activities you are interested in.

Mentor: Meet with your mentor. Your mentor will be able to introduce you to the idiosyncrasies of your department and help you figure out what you need to do to get started in your position.

Parking: If you plan to drive to campus, go to the Parking and Transportations Services homepage and request a permit:
http://www.utexas.edu/parking/

Required training
You are required to complete the Conflict of Interest and Financial Disclosure training when you start work at UT. See Section 16.

Procard: If you will be ordering laboratory supplies or small items for your research, request a credit card that can be used for purchases using a University account (Procard). Using the credit card makes it faster to order many items. The executive assistant or procurement person in your department can authorize your getting the card:
http://www.utexas.edu/admin/purchasing/procard/index.html

**Orientation:** All new faculty should attend the New Faculty Seminar provided by the Center for Teaching and Learning (http://ctl.utexas.edu/services/new-faculty-resources/new-faculty-seminar-2014).

The college provides an orientation session and teaching workshop for all new tenured and tenure track faculty. This is generally held in August just before classes begin. The department will provide a department-specific orientation for all new NTT faculty.

**Recreational Sports**
UT Rec Sports provides access to gym facilities, classes, and a variety of activities. It is easy to get so caught up in setting up your research program that you neglect your physical (and mental) health. Faculty memberships are available online: http://www.utrecsports.org
Good teaching is important to your success at UT. This will include teaching undergraduates in a classroom setting and training graduate students in research. Many of us arrived on campus with no teaching experience and it seemed quite daunting. However, there are a number of resources and people available to help you, and good teaching is a skill that can be acquired with a little effort.

**Meet with the chair or associate chair**
Your teaching assignment may have been decided during your recruiting visits or may have been left open. Schedule a meeting with the chair (or associate chair if that is the person who does the teaching assignment) to talk about your teaching. You will have a semester off when you arrive to allow time to develop your course, but you will also be doing a number of other things during that time, including setting up your research. Be realistic about how much time you will have to spend on preparing to teach for the first time. Talk to the chair about the department’s teaching needs and what is a good fit with your expertise.

**Teaching your first UT course**
A practical approach is to ask to teach a core course that has been taught by others in the department. Sit in on one or more sessions of that class and identify a teacher whose style is similar to your own. Ask her or him for a copy of their notes, syllabus, teaching exercises and other materials. It is not necessary, or a good use of your time, for you to start from scratch. Good teachers are generally more than willing to share their resources and help you get started. Start with these materials for your first teaching experience. As you teach the first time, you will identify things you want to change or different topics you want to cover. Over the course of one or two times teaching the course, you will begin to make it your own course but will be able to do so in a more efficient manner.

**Teaching facilities**
Check out the room where you will be teaching in advance. If your teaching style requires audiovisual equipment, movable seating or other special requirement, talk to the scheduler if the current room is not appropriate. A list of the general-purpose classrooms and their characteristics is available at:
http://www.cns.utexas.edu/information-technology/classroom-technology/general-purpose-classrooms

Get a key to the AV cabinet from your department administrator and familiarize yourself with the equipment. Better yet, take a colleague to the classroom with you and practice a bit of the lecture or lesson to make sure that you can be heard and that any visuals you plan to use are reading from the back of the room. Detailed instructions for using the CNS classroom technology can be found at:
http://www.cns.utexas.edu/information-technology/classroom-technology/instructions

**Syllabus**
In addition to informing your students about the specifics of your class, your syllabus must contain a number of things required by the University. These include:
- The course number and title
• The instructor's name, office location, and office hours
• If there are teaching assistants for the class; their names, office locations, and office hours (their contact information is deleted from the posted syllabus)
• An overview of the class, including prerequisites, the subject matter of each lecture or discussion, as well as the academic/learning goals for the course and how they will be assessed
• Grading policy, including the means of evaluation and assignment of course grades, including whether plus and minus grades will be used for final course grades (please note that the university uses the plus minus grading scale for recording the final grades in all undergraduate classes, but instructors are permitted to make their own determination of whether to assign plus and minus final grades)
• A brief descriptive overview of all major course requirements and assignments, along with the dates of exams and assignments that count for 20 percent or more of the class grade
• A list of required and recommended materials, such as textbooks, image collections, audio and audiovisual materials, supplies, articles, chapters, and excerpts as appropriate, identified by author, title and publisher.
• Final exam date and time (when available)
• The class web site, if any
• A notice that students with disabilities may request appropriate academic accommodations from the Division of Diversity and Community Engagement, Services for Students with Disabilities, 512-471-6259 http://www.utexas.edu/diversity/ddce/ssp/

* Listing of office locations and hours for TAs should NOT be included on the publicly posted version of the syllabus, since this may be a violation of FERPA.

* Instructor's office location and hours is not required on the publicly posted version of the syllabus.

The syllabus is essentially a contract between student and instructor. It is the first thing the department chair and the dean of the college ask for to arbitrate disputes between faculty and students. You are required to provide a copy of the syllabus by the first meeting day of the class and make it publicly available on the University web site. The syllabus should include details about course content, prerequisites, drop deadlines, attendance policy, exam times, make-up policy, grading procedure and more. See Section 10 for more information. You will also receive a memo about course policies from the Associate Dean for Undergraduate Affairs prior to the first class day. This includes a number of policies and important considerations that you should read and follow.

Posting your CV and syllabus
Instructors of organized courses are required to post a CV and course syllabus on the University website prior to the start of class. You can log in with your EID, enter the unique number for your course, and upload a copy of your syllabus and CV at https://utdirect.utexas.edu/apps/student/coursedocs/syup/
Canvas
http://canvas.utexas.edu

Canvas is a cloud-based course management system that is available for all courses. Canvas allows you to integrate multimedia course content, course communication, student assessments (quizzes, assignments, surveys, portfolios), and student grades to create a cohesive, connected virtual space for your class. You can track student progress, assign TAs for sections, input grades easily into the UT registrar’s system and even collaborate on documents within your courses. Canvas features a robust editor and quick discussion, video, audio and text chatting capabilities to help you easily connect with your TAs, students and other faculty.

To support UT instructors, the Center for Teaching and Learning created the Canvas Training Center. The training center offers up-to-date information on Office Hours and Workshops where they provide instructors with assistance on issues specific to your course. They also offer modules that walk you through essential features of Canvas. You can also read through the Canvas FAQs.

Classroom tools
If you are interested in using a “clicker” or other classroom response system, see the Center for Teaching and Learning (CTL) website for more information: http://ctl.utexas.edu/teaching/technology/classroom_response_systems
Or you can contact CTL for help with this or other teaching questions.

The CNS IT group can record audio and video of select class lectures and making them available to students on the web for review and study for the current semester. Students of these selected classes will have free, on-demand access to audio, video, graphics, text, images, and podcasts of their class. To schedule your class for recording, please send your request with beginning and end dates, length of recording, Instructors name, and desired name for the recording with the class unique number to classroom@austin.utexas.edu

Coursework policies
See Section 10 for more details on coursework policies, academic integrity issues, and other information that will be helpful in your teaching throughout your career at UT.

Professional Development in Teaching: Faculty members are encouraged to utilize the following resources to engage in continuous improvement of teaching skills and effectiveness.

a. Center for Teaching and Learning: This website provides a wealth of information on workshops, seminars, and other materials for improving teaching, course development, assessment, teaching portfolios and use of technology. http://ctl.utexas.edu/
b. Texas Institute for Discovery Education in Science (TIDES)
   TIDES, directed by Dr. Erin Dolan, is the home for programs in innovative undergraduate science. The three areas of TIDES’ focus are experiential learning, professional development, and education evaluation.

c. Discovery Learning: The Discovery Learning Project provides monthly seminars on current innovations in teaching techniques and strategies.
   http://www.discovery.utexas.edu/dlp/projects.html
An excellent resource for setting up your research program is: Making the Right Moves, A Practical Guide to Scientific Management for Postdocs and New Faculty. This book, based on the Burroughs Wellcome Fund and Howard Hughes Medical Institute Course in Scientific Management for the Beginning Academic Investigator, is available free online: http://www.hhmi.org/sites/default/files/Educational%20Materials/Lab%20Management/Making%20the%20Right%20Moves/moves2.pdf. It covers a range of topics from planning for tenure to data management to getting funded and managing budgets. Keep a copy of this book on your computer or desk.

Some aspects of this book are specific for setting up a wet lab, but much of it is applicable to any type of research. The following are some general suggestions for getting your research program started.

**Budgeting your money and your time**

You probably made a preliminary budget when negotiating for start-up funds. If not, make one now. Think about the essential items you need to get started and start the purchasing process. If you are a bench scientist, think about hiring a technician. Having an experienced pair of hands to help you get started can be invaluable. If you can find a technician who has UT experience, he or she can save you a lot of time. Experienced technicians know the purchasing procedures and other quirks of the UT system and won’t need to spend time trying to figure out who does what.

Don’t be wasteful, but spend the money you need to get started. The faster you get set up, the sooner you can be productive. You will have a semester without formal teaching to allow you time to get started and to prepare for teaching. Take advantage of that time to set your program going. If you need to order very specialized equipment or have other research needs that may cause a delay before you can actually start your research, consider talking to the chair about teaching the first semester and taking the semester off from teaching after your research supplies have arrived.

**Graduate students**

Training graduate students is an essential part of what we do. However, you need to think carefully before accepting any graduate student into your group. As a new faculty member with an exciting area of research, you may find that you have many requests from students to join your group. Don’t accept a large number of students simply to have a larger group or more hands in your research lab. Students require considerable time and support. You are agreeing to be a mentor, financial supporter, teacher and counselor. You are responsible not only for training the student to think rigorously about the field, but how to write effectively, how to make an oral presentation, and how to prepare for the next phase of their career. Training a student is a major commitment on your part and you don’t want to short-change the students or yourself. Think seriously about how much time you will be spending preparing to teach an undergraduate class, setting up your lab, and writing your first grant. Also consider that if you take four students at the same time, they are likely to be taking their qualifying exams at the same time and may all be writing their dissertations in the same year. Telling two of them that you don’t have the time to...
read and edit their dissertation is not an option. Further, students in the bench sciences can burn through lots of reagents and resources if not adequately supervised.

Talk with the graduate advisor about the details of graduate education in your area. We all went through graduate training, but that does not mean that we understand the best way to train students. The advisor and your mentor can help you make choices about how many students to accept into your group and when to accept them.

As you begin to build your research program and become actively engaged in recruiting graduate students and postdoctoral fellows to UT, think about ways you can work to increase the diversity of the research community. A copy of the UT Inclusive Search and Recruitment Toolkit follows.

Postdoctoral Fellows
A postdoctoral fellow can help you get your research off to a good start. Like graduate students, postdoctoral fellows require time and mentoring, but their needs will differ. The postdoctoral fellow will not require as much careful supervision at the bench or in working through a research problem but career guidance and preparation for independence are essential.

One way to find a postdoctoral fellow is through your professional organization. Many societies have career centers at national meetings and web-based employment sites where you can advertise for a postdoc or view resumes. You can also talk with senior graduate students at research meetings and recruit them to your group. Call senior faculty you know and ask if they have a student who is ready to start a postdoc and might be interested in working with you. As with all other hires, look carefully at the qualifications and fit with your program as you narrow your list of candidates. The CV and letters of recommendation will be helpful. If a potential postdoc was not productive as a graduate student, they are unlikely to be highly productive in your program. It is helpful to have a senior colleague look at the CV and letters and provide an opinion based on their experience. Once you have identified the best candidates, interview them by phone or at a meeting or bring them to UT for a personal interview. You are making a commitment of at least a year’s employment and a considerable amount of your time and start-up funds, and you want to be sure you are investing wisely. The interview will help you assess whether the person is good fit for your research style, their previous training, level of motivation and the type of career they need to prepare for.

Grant writing
Your start-up funds will provide the resources to get you going but you will eventually need to obtain sufficient funding to maintain a high-quality research program. Don’t wait until the last minute to start submitting grants. Write a small grant to a foundation for seed funds for a new project. Help your students apply for graduate or postdoctoral fellowships. Even if your early grants are not funded, grant writing is an excellent way for you to focus your research and refine your ideas.
Plan your grants well in advance of the anticipated submission date. Allow plenty of time for your mentor and colleagues to review your grants, and be receptive of critical comments. All grants are submitted through the Office of Sponsored Projects (OSP), and you will need to allow at least a week for them to process the grant. Information about your proposal should be submitted to OSP using RMS, the Research Management System:
https://utdirect.utexas.edu/rms/index.WBX

OSP has prepared a quick-start guide to grant submission for new faculty:

A more detailed description of the information OSP needs, budgets, cost-sharing, indirect cost rates, approvals and more is available in the OSP Handbook:
http://www.utexas.edu/research/osp/resources/handbook.html
Office of Strategic Research Initiatives

The CNS Office of Strategic Research Initiatives, headed by Jennifer Lyon, works with faculty teams to pursue external funding for major, multidisciplinary and cross-college research. Her office also supports the development of individual-investigator proposals by providing suggested proposal content and resources related to sponsor agency guidelines and proposal requirements on the Strategic Research Initiatives website (from the CNS homepage, visit Faculty & Research > Resources > Grants Office). Strategic Research Initiatives facilitates CNS’ participation in Limited Submission competitions at UT and maintains a list of internal competition deadlines online.

Strategic Research Initiatives: Core Functions

1. **Develop proposals for major, multimillion-dollar interdisciplinary center grants and training grants**
   Related services listed on next page

2. **Promote knowledge exchange to support CNS faculty’s pursuit of external funding**
   - Follow & disseminate funding agency news
   - Building a community of, and providing support to, department/ORU research administration staff
   - Internal competition deadlines, sponsor deadlines and proposal development resources posted online

3. **Conceptualize the College-level infrastructure necessary to increase CNS’ competitiveness for obtaining external funding**
   - Provide internal seed funding via CNS Catalyst Grants
   - Host and support student, postdoc, faculty development activities

4. **Negotiate resource commitments within CNS, with other colleges and with the VPR**
   - Indirect cost return agreements, space, hiring, etc.

5. **Represent the College’s interests in university-level matters related to the research enterprise**
   - Provide input to VPR on Limited Submission process
   - Provide input to ORS, OSP on compliance issues
   - Suggest changes to better serve faculty

6. **Establish College research policies to optimize the College’s support for faculty’s pursuit of external research funding**
   - Offer ICR agreements for major center grants
   - Offer fellowship shortfall coverage for institutional training grants
CNS resources for grant applications

Strategic Research Initiatives Proposal development support services for major center grants or institutional training grants (typically >10 Co-Investigators/Senior Personnel):

- Developing and coordinating CNS and cross-college faculty teams
- Establishing internal deadlines to stay on track for submission
- Sharing information about what’s reviewed well and what hasn’t from other recently submitted proposals (from UT and elsewhere)
- Working with departmental admins to divide and conquer the details
- Obtaining information that’s beyond departmental admins’ access privileges
- Writing and editing proposal sections
- Identifying and drafting missing information
- Suggesting needed institutional commitments and obtaining them
- Suggesting existing college programs/initiatives that can be leveraged for the proposal and coordinating with those programs to generate text
- Securing money for and overseeing site visit prep; presenting at site visits
- Recognizing gaps and filling them
Publishing your work allows you to disseminate new information. It is also how you become known in your field, and is important for establishing your credentials for promotion and tenure.

Talk to your mentor and department colleagues about publishing. They can help you decide when and where to publish your work. They should also read and critique your manuscripts before submission.

The American Chemical Society has published a helpful article on publishing in the digital age. A copy of the article follows.
ABSTRACT: In the world of networked science, it isn’t enough to be published—you have to be found. In addition to selecting the right journal to showcase your work, taking advantage of search optimization techniques and social media tools will help disseminate your research to a broader audience. Furthermore, selecting appropriate keywords and visuals will help your article stand out amid the growing sea of scientific content. There are also new metrics available to help you better understand the influence of your work. Your research is important. Help it get the impact it deserves. This guide provides information and tips that will help you write a manuscript for the digital age.

The phrase “publish or perish” was coined to describe the pressure to rapidly and continuously publish research in order to establish, sustain, and further your career. Like most researchers, you probably begin your investigations with an online search; where you have access to more information than ever before. In 2012, Chemical Abstracts Service (CAS) indexed nearly one million articles, out of which nearly half covered research at the interface of chemistry and biology. It is more important than ever to use all appropriate methods to ensure your work is discoverable. Suffice to say, it is no longer enough just to be published. You have to be found.

You may have more power than you realize to broaden your audience and ensure your work is found where researchers are looking. Scientific research has become increasingly interdisciplinary; therefore, there is more research to filter through. Your audience is also much broader than ever before, but you can miss them if your manuscript isn’t written for the digital age. By following a few basic tenets of search-engine optimization, you can improve your placement among the search results produced by any search engine, including popular international sites such as Google and Yahoo as well as regional sites such as Baidu in China. Effective article titles and optimized visuals help your research to stand out in online tables of contents, while well-chosen metadata helps major research databases such as PubMed3 and SciFinder® match your article to the right search queries.

Searching is only the beginning of the equation. Rather than waiting for researchers to find your work via a search, you can actively engage the scientific community online via social media by generating topical discussions related to your work. These efforts not only promote your work, but can also advance your own way of thinking and help you make new connections for future collaborations. Also, new tools for measuring the reach of your article provide more information than Impact Factors alone, reflecting the actual contributions of your work across many disciplines.

This guide provides you with specific tips to help you increase the visibility of your work in today’s interdisciplinary environment, along with thoughts from fellow researchers who work at the interface of chemistry and biology.

THE DISCOVERABLE ARTICLE

Title

Make sure your manuscript is written for discoverability. The title and abstract in particular must engage both readers and search engines.

“Usually, I have a quick look at the title. If interested, then I go to the abstract. If it’s not an interesting title, I just forget it.”

—Professor Weiya Ma, MD, Ph.D.
McGill University

The title should concisely and accurately describe the content of your manuscript to a broad audience. Include key words that best describe your work and reflect the fields of study it encompasses.

You don’t want to overload your title with a bunch of keywords, but conversely you shouldn’t shy away from a lengthier title if it allows readers to better understand the content of your manuscript.

A study published in the Journal of the Royal Society of Medicine Short Reports noted:

“A longer, more comprehensive title is both more likely to contain any given search term and, therefore, be identified, and also if the title provides a clear description of the study or its findings, is also more likely to be identified as relevant on the initial search screening process.”

The use of appropriate keywords within your title will also help distinguish your article from articles addressing similar topics. Some journals have character or word limits for the title, so, if you know where you want to publish, check if there are any restrictions on title length.

A clever title alone is not sufficient to attract additional attention to your article. Your title must also be explanatory. A title such as A Dialogue between the Immune System and Brain, Spoken in the Language of Serotonin is both, ensuring recognition for the work.

Keywords

Internet search engines often assign priority to keywords that appear in the article title as well as in the abstract and body of the article, so use the terms from your keyword list in the article title, abstract, and body.
Some journals may choose the article keyword list from the article itself. In those cases, double-check that you have chosen the right terms in the manuscript title, abstract, and text to maximize the likelihood that the journal will choose those same terms as the keywords.

Choosing the right keywords merits some thought. Consider first how different segments of your audience are likely to search. Would they search for disease name, chemical compound, or family? Would readers from another field search by scientific method?

Choosing less specific terms may help your article appear in more results sets, but may also place your article at risk for getting lost among lengthy search results. On the contrary, a more specific term narrows results for a more targeted audience, but may miss some researchers working in related areas. An example of this is the use of the term “degeneration” vs “neurodegeneration.” Try a few searches on candidate terms to see how many results you get and whether or not they are relevant. Then decide which terms are most representative and appropriate for your manuscript.

**Abstract**

Article abstracts are typically made openly available to researchers, providing you the opportunity to present a summary of your findings to a broad audience. If a reader is viewing your article’s abstract, they are likely either interested in your work based on the title or trying to better understand what your research is about. According to Professor M.G. Finn of the Georgia Institute of Technology:

“The abstract is a miniature manuscript in its own right, and should be able to convey the basic justification, most significant findings, and most important implications of the scientific work reported in the article.

Start with the core: a list of the most important new results in your article. Then add enough introductory information at the beginning (usually 1-3 sentences) so that a reader can understand the context in which the results should be set. Add a sentence or two at the end, if you wish, to describe the significance of the findings: what do they mean for the field? It is not a grant proposal, so avoid speculation or descriptions of future work.

Then, re-read the abstract and trim any excess information or explanations that are not required to understand the key information and lessons. Lastly, re-read it out loud, and adjust for style so that the information is clear and can be easily understood. A good abstract attracts readers to your work, but it often takes a lot of time to write – don’t leave it for the last minute!”

—Professor M.G. Finn, Ph.D.

School of Chemistry and Biochemistry
School of Biology
Georgia Institute of Technology
Editor-in-Chief, ACS Combinatorial Science

**Visuals**

Visuals also aid discoverability. A good image will draw eyes to your article in the journal table of contents or results list. Many journals, such as those published by Cell Press and ACS Publications, include a table of contents image for articles. Take advantage of this opportunity by choosing an attractive graphic or photo that creates the best possible impression of your article and subject matter. Generally, this is a “big picture” image—save the more specific images (e.g., tables, spectra) for your article. If a data table really is your big-impact piece, make it visually appealing. Here are some other tips for visuals:

- Graphics should be simple, but informative
- Use original, unpublished artwork created by you or one of your coauthors
- Do not include a photograph, drawing, or caricature of any person, living or deceased
- Do not include postage stamps, currency from any country, or trademarked items (e.g., company logos, images, and products)
- Use large, easy-to-read headlines in a sans serif font such as Helvetica
- Do not use font type smaller than 6 pt and ensure that your text is large enough to be legible if its size is reduced
- Minimize grid lines and other potential visual distractions
- Provide a clear legend for charts
- The use of color can enhance your image; however, avoid the use of green and red in close proximity and use shapes or patterns/shading in addition to color for individuals who have trouble distinguishing one color from another

It may be helpful to think of your table of contents (TOC) and/or abstract graphic as a single PowerPoint slide that tells the story of your article. Ask someone who hasn’t read the manuscript if they understand what the paper is about based on the graphic. Is critical content missing? Can extraneous material be removed?

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Examples of good graphics and figures:

![5HT图像](https://example.com/5HT.png)

**Above:** Table of contents graphic from *ACS Chemical Neuroscience* article: Synthesis and Evaluation of Methylated Arylazepine Compounds for PET Imaging of 5-HT₂c Receptors. DOI: 10.1021/cn300223d
THE RIGHT JOURNAL

Now that you have optimized your manuscript, publish it in a journal where it can be found by the broadest, most relevant audience. Take a look at what your research results prove, the methods used, and the implications of your experiments before choosing a journal to publish your work.

Much of today’s research crosses disciplinary boundaries. Do you want to target your research to a specialized niche? Or does your research call for a wider, more interdisciplinary audience? Some publishers such as the American Chemical Society (ACS Publications) offer journals that do both. You should review the scope of potential journals of interest, which is typically found in the author guidelines or the “about” page on the journal’s website. Also review recent research; most reputable journals will have sample content available.

The Impact Factor is a popular gauge, but also consider publication speed, author fees, the quality of the peer-review process, and the audience your article will reach before choosing a journal to publish your work. Some journals, such as those published by the American Chemical Society, do not charge fees for publication and offer optional services such as Just Accepted Manuscripts that allow you to have your article posted online, prior to technical editing and formatting, within hours of acceptance.

“The reviewers were competent, constructive, and fast. The final evaluation and decision were made within a week, and a week later the almost perfect proofs were on my desk. This is hard to outmatch.” [In reference to a manuscript submitted to the ACS Journal Biochemistry]
— Professor Hans-Jurgen Apell, Ph.D.
Membrane Biophysics Group
University of Konstanz

Next, consider the visibility of the journal itself. How widely available is the journal in universities, research institutions, and corporations? Do you have access to the journal at your institution? Have you seen it cited in other research of interest?

Also consider the journal’s visibility in major research databases such as PubMed’s MEDLINE, SciFinder®, and Web of Science. You should also evaluate the journal’s visibility across the wider Internet and within specific scientific communities. Consider how quickly major databases index the content from your journal of interest. For example, SciFinder® adds articles published in ACS journals within seven days of publication.

“I definitely would like a journal that is listed in PubMed, because that’s where most people start to look at things.”
— Professor Khosrow Kashfi, Ph.D., FRSC
School of Biomedical Education
The City College of New York

“It [SciFinder®] had very much a reputation of being chemistry focused in the past, but this is no longer the case. SciFinder covers a lot of different databases; it covers chemistry, it covers biology, and pharmacology, indeed many other branches of science. I use it as much for the biology as I use it for the chemistry.”
— Nick Terrett, Ph.D.
Chief Scientific Officer
Ensemble Therapeutics

Inquire if the publisher of the journal you are considering has a public affairs or communications office dedicated to increasing the visibility of the research published in the journal. These departments help garner publicity and well-deserved public recognition of journal authors, not only within their scientific community but also among the general public. If you are coordinating a press release with your own university or corporate press office, consider reaching out to the public affairs office that works with the journal where your research is published, as they may issue an additional press release.

Below is an example from the ACS, whose Office of Public Affairs reads every abstract published in the ACS’s 40+ journals, creating podcasts, videos, and media kits to promote the selected authors’ research to the scientific and general media.

“As a result of the ACS PressPac, I saw press releases around the world highlighting my research, with very many positive comments from the public. I scientifically benefit from greater publicity, which improves my career. It generated some new collaborations from academic & industrial institutions. My colleagues, peers, friends, and neighbors have commented very positively, recognizing my work, and I am proud of that. I have also received speaking invitations for conferences. It gives me positive energy and more enthusiasm towards my research, and professionally it helps to uplift my career.”
— Professor Sivanesam Dakshanamurthy, Ph.D.
Clinical & Experimental Drug Discovery Program
Georgetown University Medical Center

AN AUTHOR’S ONLINE PLATFORM

While you are likely very busy with your ongoing research efforts, do not dismiss blogs and social media as outlets to promote your research. With search and discovery taking place primarily online, your website, blog, or social media channels can serve as important tools to announce your articles and encourage discussion, especially since these postings can appear in future search results. Devoting even 10-15 minutes once or twice a week can raise the visibility of your research substantially.

If you have a website or blog, take advantage of them to link your peers and colleagues to your published work. Even a very brief blog post that includes keywords from your article and title creates a record that can turn up in Google searches, enabling researchers to link to your research. If you publish in an ACS journal, you can include
a permanent link to your article using the ACS Articles on Request link which provides free access to your article. Whether or not you blog about your new research, keep a complete online CV with up-to-date links to all your articles on your website and on professional networking websites such as LinkedIn.

Consider announcing the publication of your articles and any references to your research on Twitter, your lab group’s Facebook page, online scientific forums, and LinkedIn groups related to your field. If you are already using Facebook, Twitter, or a scientifically oriented platform such as ACS ChemWorx, Mendeley, or ResearchGate, you know that posts are more likely to generate a response when they are appropriate and timely. Contribute regularly to remain a visible and trusted voice, even when you do not have an article to promote.

If you are not currently using Facebook to promote your research, consider setting up a Facebook page for your lab where you and your colleagues can post updates, photos, and links to your published articles. Most Facebook accounts are personal in nature, but Facebook also allows users to set up free pages for specific topics or groups. Users of ACS ChemWorx can also set up similar pages called Project Pages that can be publicly viewed. You can even add a social plugin or “like” button to your other lab web pages to encourage further sharing of your posts.

As an example of an effective social media presence, the Deiters Lab from North Carolina State University has a Facebook page where they link to published research articles from the lab as well as awards, upcoming talks, and poster presentations.

LinkedIn provides a forum similar to Facebook for professional connections, helping you find and stay in touch with colleagues from around the world. LinkedIn is a great place to post your CV. They offer a timeline where you can post updates, including articles, poster presentations, and lecture announcements. LinkedIn also provides a diverse mix of subject area discussion groups, for example, the Medicinal Chemistry and Drug Discovery Group and the Protein Biochemistry and Biophysics Group.

ACS ChemWorx is another professional site with social media tools and an electronic reference manager, all designed for scientists. It allows you to collaborate and share your research with like-minded individuals.

Many scientific organizations host online communities in specific topical areas. For example, the ACS Chemical Biology Community website facilitates communication and information sharing among researchers interested in the latest innovations in chemical biology.

On Twitter, tweets can be personal, topical, or both. Generally, the more engaged you are with other users and post within specific topics, the more relevant discussion and Twitter followers you will attract. Watch for hashtags before a topic of interest (e.g., #toxicology) or conference name (e.g., #EB2013). When you do tweet about your articles, use hashtags to increase the visibility of your tweets. Encourage coauthors to retweet to help spread the word. If the journal you have chosen to publish in has a Twitter feed, mention their handle in your tweet. Often the journal will retweet your tweets to a broader audience.

Monitor your Twitter account for replies to and questions about your tweets. Some scientific Twitter accounts will retweet your tweets, especially if they think they will attract a large audience. Use names of the people you are engaging, as well as messages, which are shown on a separate tab in your account. Direct messages (DMs) are private messages, which are not shared with others.

Respond to queries to engage other users and keep the conversation going. With all social media, regardless of the privacy settings, it may be possible that online content is copied or otherwise spread beyond your initial post. Avoid posting sensitive or proprietary content and be sure to only share links to your final published article of record to avoid violation of any prior publication restrictions.

Social media sites assess impact by the number of users who in some way connect with you, either by “liking” or “following” you or by commenting on or forwarding your posts. Web services such as Klout have begun to translate this social media impact into a metric called the Klout score.

Regardless of the social media platforms you choose, it is important to participate regularly as a member of the community, not only when you have an article or a presentation to announce. Use these forums to share articles of interest, make connections, and build your reputation. A brief visit once a week to relevant sites can maintain your visibility as an active voice in the community and also provide a source of inspiration and ideas.

CONFERENCES

Scientific conferences may be thought of as the original "social networking." Presenting posters, asking questions of session presenters, or simply having lunch with a fellow scientist can prove beneficial for expanding the reach of your research. Sharing research insights at a conference or anywhere can spark new ideas and collaborations. There are a multitude of venues for networking and communicating your work. Link up with neighboring labs or those across campus who work in similar fields or are tackling the same topics from a slightly different angle. This type of networking can also bring dividends for project grant-writing and future experimental collaborations that call for interdisciplinary approaches.
**METRICS**

Journal Impact Factors and Citations are common measures of a journal or an article’s influence. However, neither fully captures how much your research might influence your field and related disciplines. Impact Factors also vary considerably by field and can be affected by the number of papers a journal publishes, so be careful when applying comparisons.

“Citation indices and impact factors have become a really popular thing that people look at. But I tend to think more about readership, how broad the audiences are.”
— Professor Anthony D. Baughn, Ph.D.
Department of Microbiology
University of Minnesota

Page-view statistics—provided by your network administrator, web hosting service, or a tool such as Google Analytics—can tell you a lot about what visitors to your website or blog are interested in reading and even what part of the world they come from.

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In the world of networked science, it isn’t enough to be published—you have to be found. The tips and information in this guide were designed to help you get your work discovered by the broadest, most optimized audience. You now have tools to measure your impact, ideas for platforms where you can engage and share your work with like-minded scientists, and ways to ensure your article stands out among the growing body of scientific research.

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**REFERENCES**


Faculty Evaluation

Formal evaluations of faculty are mandated by Regents’ Rules and University policies. Effective evaluations serve as good tools for guiding mentoring and improving research and teaching effectiveness. They also provide a basis for merit raises and for support for improvement where needed.

Your evaluations are done by faculty committees, usually a subset of the budget committee. Chairs and deans may add to the evaluation but may not ignore the committee evaluations. You have the right to see your evaluations and discuss them with the chair and committee.

- Faculty Activity Reports
- Annual review
- Reviewing teaching
- Third year review
- Comprehensive periodic review
- Remediation plans
- Compensation
- Merit raises
- Faculty awards
All faculty members, including those in Specialist, Lecturer, Clinical, Adjunct, and Research Professor titles, are responsible for completing a Faculty Activity Report (FAR), which discloses all academic and professional activity undertaken each year. The FAR is an essential component of annual merit review, third-year review of tenure-track faculty, promotion review (all ranks) and periodic review of tenured faculty. Complete these carefully and include all information you want your department to have.

FARs are due to the Provost's Office by October each year.

Information regarding the 2013-2014 Faculty Activity Report (FAR) is forthcoming.
CNS Annual Review Guidelines and Timeline

1. **Review committee:** overseen by the budget council. It is not necessary for the entire budget council membership to do the reviews. It would be practical to have the subcommittee that determines merit raises also do the reviews, since merit raises should be linked to the review process. This could also be the faculty workload committee or the two committees could work together to ensure that the expectations set by the workload committee are consistent with determining the ratings.

2. **The review process:**
   1. Collect assessment materials* (by Oct. 1)
   2. The committee reviews the materials and determines the category for each faculty member
   3. Results (list of faculty and their ratings) are communicated to the Chair and Dean (by Dec. 1). Either or both may further review the materials and make a separate recommendation but may not change the original recommendation.
   4. Chair communicates results to the faculty member in writing, stating the rating category and advising the faculty member of any areas that need improvement (Jan. 15). The department chair rating shall be final in the event of a disagreement with the review committee. The communication to the faculty member shall clearly articulate the basis for disagreement with the committee evaluation.
   5. The faculty member may prepare a written response and submit it to the department chair within ten (10) working days of receiving the written evaluation results. The response will be included with the permanent record of evaluation. Faculty have the right to meet with the review committee, to submit additional materials and invoke standard appeal procedures.
   6. If the rating is “does not meet expectations” or “unsatisfactory”, a written development plan is established within 30 days (Feb. 14).
   7. The department will monitor progress on the development plan during the following year.

* Materials for the year under review are to be assessed:
  - Annual Faculty Activity Report (FAR)
  - Current curriculum vita
  - Student evaluations of teaching, including all written student comments
    - Peer teaching observations (peer review should be annual for assistant professors, associate professors and lecturers, since those evaluations will be needed for promotion. It is not essential to have annual peer reviews of more senior faculty, but these should be done periodically.)
    - Any documentation directly relevant to the record of teaching, scholarship, or service
    - Information submitted by the faculty member
2013-14 Guidelines for Annual Review of Faculty

1. **Introduction**

The annual evaluation of faculty is required by Regents’ Rules 30501, 31102, and Handbook of Operating Procedures 2-2150, all of which establish that the overriding purpose for faculty evaluation is to support tenure and promote faculty development. UT Austin is recognized for the outstanding quality of its faculty; therefore it is expected that the vast majority of faculty will be found to meet or exceed expectations as a result of annual review. The following guidelines are to be used for reviews conducted during academic year 2013-14.

2. **Purpose**

The annual evaluation is conducted to:

- provide guidance for continuing and meaningful faculty development,
- assist faculty to enhance professional skills and goals,
- refocus academic and professional efforts, when appropriate,
- provide assurance that faculty members are meeting their responsibilities to the University and the State of Texas, and
- form a basis for determining merit raises, honors, awards, and other types of recognition.

3. **Responsibility and Scope**

   a. Annual evaluation shall be overseen by the departmental budget council, extended budget council, or executive committee, and is subject to the review and comment of the department chair or dean in a non-departmentalized college or school.

   b. All active faculty members, tenured and non-tenured, shall be evaluated annually with the following exceptions:
      - faculty who are on approved, non-academic leave without pay for the entire academic year under review,
      - tenured faculty who are undergoing a six-year comprehensive review,
      - faculty who are 100% in an administrative position, and
      - non-tenure track faculty who are assigned less than 50% time for the review period.

   c. Annual reviews for department chairs and program directors may be conducted by the department or the dean according to existing practice.

   d. Annual reviews shall focus on individual merit relative to assigned responsibilities, and the basis of the review is the record of teaching, scholarship, and service. The following materials for the year under review are to be assessed:
      - Annual Faculty Activity Report (FAR)
      - Current curriculum vita
      - Student evaluations of teaching, including all written student comments
• Additional materials as available, such as
  o peer teaching observations
  o any documentation directly relevant to the record of teaching, scholarship, or service
  o information submitted by the faculty member

4. **Review Categories**

   a. Each faculty member being reviewed shall be placed in one of the following categories:
      • **Exceeds expectations** – a clear and significant level of accomplishment beyond what is normal for the institution, discipline, or unit.
      • **Meets expectations** – level of accomplishment normally expected.
      • **Does not meet expectations** – a failure beyond what can be considered the normal range of year-to-year variation in performance, but of a character that appears to be subject to correction.
      • **Unsatisfactory** – failing to meet expectations in a way that reflects disregard of previous advice or other efforts to provide correction or assistance, or involves prima facie professional misconduct, dereliction of duty, or incompetence.

   b. The rating assigned shall be an aggregate based on overall judgment of the faculty member’s activities.

   c. To the extent that funds are available, annual evaluations shall be used in determining merit increase recommendations.

5. **Evaluation Results**

   a. The results of the evaluation shall be communicated in writing to the faculty member by the department chair or dean in a non-departmentalized college or school and shall reflect the judgment and state the ratings of both the review committee and department chair or dean in a non-departmentalized college/school.

   b. The department chair or dean in a non-departmentalized college/school rating shall be final in the event of a disagreement with the review committee. The communication to the faculty member shall clearly articulate the basis for disagreement with the committee evaluation.

   c. The written communication shall advise the faculty member of any areas that need improvement.

   d. If the overall rating is unsatisfactory, the communication shall also include a brief statement that identifies the area(s) of unsatisfactory performance and basis for the evaluation. The statement shall refrain from speculating on the reasons why the performance is unsatisfactory.

   e. The faculty member may prepare a response and submit it to the department chair or dean in a non-departmentalized college/school within ten (10) working days of receiving the written evaluation results. The response will be included with the permanent record of evaluation.

6. **Faculty Development Support**

   Faculty members, regardless of review category, whose performance in one or more areas of contribution indicates they would benefit from assistance may be placed by a department chair
or dean in a non-departmentalized college/school on a development support plan and referred to available institutional support, such as teaching effectiveness assistance, counseling, or mentoring in research issues/service expectations. Establishing a development support plan is not a disciplinary action. It is an instrument for committing to specific professional development goals and strategies for the upcoming year.

7. Unsatisfactory Rating

a. A faculty member whose overall performance is deemed unsatisfactory shall work with the department chair or dean in a non-departmentalized college/school to establish a written development plan within thirty (30) days of receiving the written evaluation.

b. The development plan shall be established with the goal of raising the faculty member’s performance to an acceptable level and include tangible goals for evaluating improved performance.

c. The department shall monitor progress on the plan during the following year.

d. If performance is unsatisfactory for two consecutive years, the individual may be subject to a comprehensive review or disciplinary action, if appropriate. Prior to any further action being taken, affected faculty members shall be notified in writing and informed of their right to appeal as described in Section 10.

8. Disciplinary Action

If incompetence, neglect of duty, or other good cause is determined to be present, appropriate disciplinary action, up to and including review for possible termination, may be initiated in accordance with due process procedures of the Regents’ Rules and Regulations Rule 31008 and Handbook of Operating Procedures 2-2310.

9. Authority and Responsibility of Department Chair/Dean

Notwithstanding all of the above, department chairs and deans of non-departmentalized colleges or schools are responsible for the academic quality of their instructional programs and activities, and are expected to act whenever necessary to maintain their programs at the highest possible level.

10. Appeals

a. Nothing in this document is intended to alter faculty members’ rights to avail themselves of existing appeals channels, including the next higher administrative level, the Faculty Grievance Committee, Committee of Counsel on Academic Freedom (CCAFR), and the Faculty Ombudsperson.

b. A faculty member may request review for procedural irregularities or academic freedom violations by submitting a request to the CCAFR Chair. A request for review should describe the procedural irregularity being asserted and/or the alleged violation of academic freedom and how it impacted the evaluation outcome.

c. CCAFR shall not review disputes about professional judgments concerning the merits of the faculty member’s record.
11. **Monitoring**

In its role as overseer of the faculty evaluation process, CCAFR shall monitor this review process and report its findings annually, shall receive and advise on such problems or issues referred to it by any member of the faculty, the provost, the president, the chancellor, or the Board of Regents, and shall make whatever recommendations it considers appropriate to improve the process.
Faculty Course Instructor Surveys

Course Instructor Surveys (CIS) are a standardized mechanism for feedback to faculty from students and can assist in the continuous improvement of a faculty member’s teaching.

Research indicates that care must be taken in order to glean accurate interpretations of CIS scores. In an attempt to get more meaningful information, academic units might consider implementing one or more of the following when using CIS scores for evaluation of teaching and for promotion purposes.

- Aggregate similar scores for comparison
- Take into account the acceptable temporary dip in scores that sometimes occurs as a result of innovative teaching techniques, or when teaching a course for the first time
- Consider any discipline- or department-specific issues that affect CIS scores
- Make a meaningful attempt to understand and take into consideration the well-documented biases inherent in student ratings

Some examples of these strategies can be found in Appendix I. CIS, at the end of this section.

Faculty Peer Observation

Peer observation is a mechanism for constructive feedback and continuous improvement. Peer review and discussion can be used for increasing departmental communication about teaching, for evaluation purposes (review and promotion) and for improving teaching. The observer must be provided with the instructor’s syllabus, exam samples, and other significant teaching materials used (for example, the course web site).

Prior to the peer observation process, the departmental leadership should discuss examples of and criteria for excellent teaching as well as the warning signs of teaching that may need improvement. Because teaching styles vary, observers should be open to consideration that an instructor’s style, however different, may be effective. The observer should give constructive comments and feedback to the lecturer and may provide evaluative comments to the department chair as requested.

Tools for Effective Observation

Evaluations should include the use of short forms that merit careful attention by the reviewer. Questions on the forms should call for a narrative response or a choice among three or four responses. See APPENDIX II.
Each peer evaluation/observation report should include:

- Number and title of course observed
- Date of report
- Name and signature of observer
- Date of pre-observation meeting between observer and instructor, at which the syllabus and assignments are reviewed, special instructor concerns are addressed, and a mutually agreed class and date are specified
- Date of classroom observation(s)
- An instrument that reflects methods by which instructor engages students in active learning
- Date of post-observation meeting of observer with instructor, at which the observation was discussed; and
- Instructor’s signature affirming that the discussions took place.

**Preparation and Training for Effective Peer Observation**

Before peer evaluations are conducted, peer evaluators should be given detailed guidance and an opportunity for training. As a minimum, the departmental criteria for effective teaching should be discussed. Observers should be requested to recognize instructors have different teaching methods and to consider the effectiveness of teaching styles that might differ from their own. Evaluation templates should be provided to guide the evaluator’s observations of teaching.
APPENDIX I. CIS

Examples of methods to get more accurate information from Course Instructor Surveys (CIS).

• An example of how departments might aggregate similar Course Instructor Survey (CIS) scores for comparison to a faculty member’s CIS scores. All of this can easily be done on a spreadsheet containing an academic unit’s CIS results for all instructors.
  o Group courses that have historically similar CIS scores as compared to other classes. These collections might be created by using some combination of class size, course level, major versus non-major course, labs versus field experiences versus classroom courses, or by other factors as determined by the department or academic unit. The question(s) on the CIS that will be used to create these groups would also need to be determined by the department or academic unit.
  o For each group, compute the mean and standard deviation of the appropriate score on the CIS.
  o For each instructor, look at this CIS score and determine the instructor’s z-score, which is the ratio of (the instructor score minus the average score) divided by the standard deviation. This gives the number of standard deviations this instructor’s score is from the mean within that group of classes.
  o These groups should be reevaluated each year for validity. This is an imperfect process.

• Dips in CIS scores may occur as a result of innovative instruction. The department should make it clear that reasonable innovation is encouraged, and that resulting CIS dips will not harm the innovator’s evaluation or chances for promotion.

• CIS scores may be lower than desired during the initial one or two semesters of teaching but may improve significantly in subsequent semesters. Trends of this type should be noted, and initial scores should not be weighted as heavily when assessing the faculty member for promotion.

• To avoid biases in student ratings, departments may choose additional data to be used when evaluating faculty teaching, and faculty members could be encouraged to gather such data
  o Peer evaluations
  o Departmentally generated or faculty member generated evaluation forms, perhaps used mid-semester, with documentation on any adjustments that were made in response to the results
  o Solicitation and collection of informal feedback
APPENDIX II. Examples of Peer Observation Procedures

1. Chemistry Teaching Evaluation Form
2. Biology Instructional Office Teaching Observation Form
3. Center for Teaching & Learning CTL Peer Teaching Evaluation Proposal
1. Chemistry Teaching Evaluation Form

Faculty member observed: ________________________________
Class observed: __________________________________________
Faculty member conducting evaluation: ____________________

Peer Observation of Teaching

Context or Background Information: Describe the setting in which the lesson took place, relevant information about the makeup of the class, and any other descriptive characteristics that would provide appropriate context to the observation.

Observation Area 1: Instructor Goals/Intentions for Class Session
Focus your comments on whether the goals were: 1) clearly stated or portrayed in an obvious fashion, 2) appropriate to the focus of the course, 3) explicitly connected to the flow of previous or future classes.

Observation Area 2: Student engagement with the subject matter
Examine the degree to which student engagement occurred 1) over a substantial portion of the class meeting time, 2) by a broad segment of students attending the class, 3) in appropriate forms such as discussion, listening/processing, performing, reading, reflecting, speaking, or writing.

Observation Area 3: Examination of student achievement of goals
Focus your comments on how the instructor developed an understanding of student achievement of goals by methods such as 1) questioning students on course material, 2) observing student performance(s), 3) student-student discussion, 4) informal assessment techniques, 5) quizzes, or 6) other methods.

Observation Area 4: Was there anything else worth comment, not noted above? Areas to be considered for improvement? Something outstanding or of special interest that you observed during the class?
BIO Observation Form  
Instructor: ___________________________  Date: _____________  
Observer: ___________________________  Class: ________________  

Classroom Observation Report  

<table>
<thead>
<tr>
<th>Content organization</th>
<th>Needs to Improve</th>
<th>Does Well</th>
<th>Outstanding</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Presents a brief overview of the lecture</td>
<td>☐</td>
<td>☐</td>
<td>☐</td>
</tr>
<tr>
<td>2. Relates content to previous knowledge</td>
<td>☐</td>
<td>☐</td>
<td>☐</td>
</tr>
<tr>
<td>3. Summarizes major points at the end of class</td>
<td>☐</td>
<td>☐</td>
<td>☐</td>
</tr>
<tr>
<td>4. Sequences topics logically</td>
<td>☐</td>
<td>☐</td>
<td>☐</td>
</tr>
<tr>
<td>5. Uses visuals during class</td>
<td>☐</td>
<td>☐</td>
<td>☐</td>
</tr>
<tr>
<td>6. Appropriate amount of material used in lecture</td>
<td>☐</td>
<td>☐</td>
<td>☐</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Presentation</th>
<th>Needs to Improve</th>
<th>Does Well</th>
<th>Outstanding</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Explains important ideas clearly and simply</td>
<td>☐</td>
<td>☐</td>
<td>☐</td>
</tr>
<tr>
<td>2. Periodically checks student understanding</td>
<td>☐</td>
<td>☐</td>
<td>☐</td>
</tr>
<tr>
<td>3. Receptive to student questions and comments</td>
<td>☐</td>
<td>☐</td>
<td>☐</td>
</tr>
<tr>
<td>4. Promotes student participation</td>
<td>☐</td>
<td>☐</td>
<td>☐</td>
</tr>
<tr>
<td>5. Promotes critical thinking</td>
<td>☐</td>
<td>☐</td>
<td>☐</td>
</tr>
<tr>
<td>6. Demonstrates command of the material</td>
<td>☐</td>
<td>☐</td>
<td>☐</td>
</tr>
<tr>
<td>7. Appropriate pacing of the class</td>
<td>☐</td>
<td>☐</td>
<td>☐</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Use of Media</th>
<th>Needs to Improve</th>
<th>Does Well</th>
<th>Outstanding</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Uses chalkboard/overheads/PowerPoint effectively</td>
<td>☐</td>
<td>☐</td>
<td>☐</td>
</tr>
<tr>
<td>2. Audio/visual materials add to students' comprehension</td>
<td>☐</td>
<td>☐</td>
<td>☐</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Individual Style</th>
<th>Needs to Improve</th>
<th>Does Well</th>
<th>Outstanding</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Projects voice so easily heard</td>
<td>☐</td>
<td>☐</td>
<td>☐</td>
</tr>
<tr>
<td>2. Varies voice to maintain interest</td>
<td>☐</td>
<td>☐</td>
<td>☐</td>
</tr>
<tr>
<td>3. Articulates clearly</td>
<td>☐</td>
<td>☐</td>
<td>☐</td>
</tr>
<tr>
<td>4. Effective body gestures</td>
<td>☐</td>
<td>☐</td>
<td>☐</td>
</tr>
<tr>
<td>5. Eye contact with students</td>
<td>☐</td>
<td>☐</td>
<td>☐</td>
</tr>
<tr>
<td>6. Enthusiastic and confident</td>
<td>☐</td>
<td>☐</td>
<td>☐</td>
</tr>
</tbody>
</table>

Instructional materials used in the course:  
- Learning objectives  
- Lecture slides / notes  
- Illustrations  
- Videos/Animations/internet  
- Readings  
- Other (classroom response system)

Comments  
The following page is the most important part of the evaluation. In your evaluation, please note that different Instructors use different teaching methods (lecture only, flipped classrooms, a mixture of the two). Please feel free to comment on the teaching method and to evaluate the Instructor’s effectiveness with their method of choice.
Bio observation form cont.

Comments

• **Strengths in Classroom:**

• **Weaknesses in Classroom:**

• **Comment on Syllabus:**

  Is the course organization clear?
  Is the schedule of events on each class day clear?
  Are the exam dates and formats clear?
  Is the grading scheme clear and fair?
  Will students know their grades as the course progresses?
  Overall, are the expectations of the students clear?

  Suggestions for Improvement of Syllabus:

• **Comment on Exam(s):**

  Does the exam test understanding or memorization?
  Are the questions unambiguous?

  Suggestions for improvement:

OVERALL EFFECTIVENESS RATING:  Low  1  2  3  4  5  High

DATE: __________________________

SIGNATURE OF REVIEWER: __________________________
Peer Teaching Evaluation Proposal

Center for Teaching and Learning

Karron Lewis, Ph.D.

Background and Rationale
The Center for Teaching and Learning (CTL) has engaged in a nation-wide scan of practices at peer institutions related to the most common elements of faculty peer-evaluation systems. This proposal is informed by the results of this benchmarking activity.

**Faculty Peer-Observation of Teaching**

We want to design an observation process that engages both the observing teacher and the teacher being observed in a collegial conversation about effective teaching practices. To accomplish this, we designed an approach that emphasizes constructive dialogue over a reductionist, checklist approach. Observations should include two of the most fundamental aspects of effective teaching: level student engagement in class and active assessment by the instructor of students’ understanding.

**Faculty peer observations should include the following elements:**

- Be a critically reflective and collaborative process in which the instructor under review works closely with a colleague or group of colleagues to discuss his or her teaching.
- Provide training to those who will be a peer reviewer.
- Include a process for mentoring / coaching.
- Include self-assessment.
- Provide a review of educational materials, e.g. syllabi and other materials in various media (including course web sites) prepared for instructional use.
- Provide a review of instructional delivery that primarily includes open-ended feedback.
- Describe the elements to be included in the peer review each year (syllabus, student work, classroom teaching) and the frequency with which these elements will be reviewed.

**Pre-Feedback Resources from CTL**

To support a system of evaluating teaching effectiveness the Center for Teaching and Learning will:

1. Offer consulting for peers on how to give peer feedback
2. Work with departments to foster conversations about teaching and peer evaluations

**Elements of the Peer Evaluation of Teaching Evaluation System**

**Proposed Process for Peer Teaching Evaluation System**

1. Department selects peer to work with an instructor and sets the frequency for peer reviews
2. The instructor and peer have a pre-observation conversation
   a. Should occur in the first 5 weeks of the semester
   b. Syllabus, sample activities, and sample assessments are given to the peer
3. Peer conducts a review of course materials (see Peer Review of Syllabus form and Peer Review of Class Assignments and Assessments form)
   a. Should occur between the 5 – 10th week of the semester
4. Peer conducts classroom observation (see Peer Observation of Teaching form)
   a. Should occur between the 5 – 10th week of the semester
5. The instructor and peer have a post-observation conversation (see Peer Observation of Teaching Conversation Synopsis form)
   a. Should occur 1-2 weeks after the classroom observation
   b. Peer shares results of course material review and classroom observation
c. Peer summarizes results of conversation and both peer and instructor sign the form
Preparation for Observation

In order for the peer reviewer to situate a classroom observation within the context of the total course and the instructor’s development, a conference should be scheduled. Sometimes, this may be an extended discussion, while at other times, a note or telephone conversation may have to suffice. The following form provides examples of the kinds of information that might be sought from the instructor before a classroom observation takes place.

Pre-Observation Conference Form

Prior to the scheduled observation, the peer reviewer might use the following form (or an adaptation of the form) to structure the discussion of the teaching context with the instructor to be reviewed. Information can focus on class goals, students, learning activities, and particular teaching style. The peer reviewer should request that the instructor bring a copy of the syllabus, text, and any pertinent material to help the reviewer understand the content and cognitive level of the course.

Instructor: ______________________   Date: ______________  Time: ______________
Course Number: ____________  Course Title: ____________________________________
Course Meeting Time: ____________  Level of Students: ___________________________

1. What are the goals for the class that I will observe?
2. What are your plans for achieving these goals?
3. What teaching/learning activities will take place?
4. What have students been asked to do in preparation for this class?
5. Will this class be typical of your teaching style? If not, why?
6. (For formative review) What would you like me to focus on during the observation?
7. Are there other things that I should be aware of prior to the observation?
# Peer Evaluation Form

## Peer Review of the Syllabus

<table>
<thead>
<tr>
<th>Syllabus Areas</th>
<th>Best Practices</th>
<th>4</th>
<th>3</th>
<th>2</th>
<th>1</th>
<th>NA</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Course Information</strong></td>
<td>The objectives are appropriate to the course.</td>
<td></td>
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<tr>
<td></td>
<td>Class materials are appropriate to the course.</td>
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<td></td>
<td>The syllabus provides clear roadmaps for the course.</td>
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<tr>
<td></td>
<td>Course Policies are clearly stated (e.g., criteria for grading, makeup exams).</td>
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<td></td>
<td>Required university statements are present (e.g., academic misconduct).</td>
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<tr>
<td></td>
<td>Criteria for grading are clearly delineated.</td>
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<tr>
<td><strong>Instructor Information</strong></td>
<td>The percentage of the grade for course assignments and exams is clearly stated.</td>
<td></td>
<td></td>
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</tr>
</tbody>
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Comments:
### Peer Review of Class Assignments and Assessments

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<th>Areas</th>
<th>Best Practices</th>
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<td><strong>Class Assignments</strong></td>
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**Comments:**
Peer Observation of Teaching

**Context or Background Information:** Describe the setting in which the lesson took place, relevant information about the makeup of the class, and any other descriptive characteristics that would provide appropriate context to the observation.

Description:

**Observation Area 1: Instructor Goals/Intentions for Class Session**

Focus your comments on whether the goals were: 1) clearly stated or portrayed in an obvious fashion, 2) appropriate to the focus of the course, 3) explicitly connected to the flow of previous or future classes.

Comments:

**Observation Area 2: Student engagement with the subject matter**

Examine the degree to which student engagement occurred 1) over a substantial portion of the class meeting time, 2) by a broad segment of students attending the class, 3) in appropriate forms such as discussion, listening/processing, performing, reading, reflecting, speaking, or writing.

Comments:

**Observation Area 3: Examination of student achievement of goals**

Focus your comments on how the instructor developed an understanding of student achievement of goals by methods such as 1) questioning students on course material, 2) observing student performance(s), 3) student-student discussion, 4) informal assessment techniques, 5) quizzes, or 6) other methods.

Comments:
Post-Observation Questions

This conversation with the peer faculty member would occur after the class and prior to providing the written feedback.

The following are examples of reflective questions that are often used in post-classroom observation discussions:

1. Tell me how you think today's class went.
2. Did the lesson proceed in the way you had planned? Why?
3. Did the students react to the lesson in the way you thought they would?
4. During the lesson, did you feel confident and enthusiastic? Why?
5. Do you think the students learned all that you wanted them to learn in this session? What brings you to that conclusion?
6. What did you do to encourage the students to actively participate in the lesson?
7. What did you learn about teaching from this class?
8. What did you learn about student learning from this class?
9. What targets for improvement have you set yourself for this class, and are they realistic?
10. If you taught this class again tomorrow, what would you do differently? and why?

*NOTE: Choose two or three of these questions that will help you get feedback from the faculty member. Don't use all of them at one time.*

Adapted from: Killen, R. (1995) "Improving Teaching Through Reflective Partnerships." *To Improve the Academy.*
Peer Observation of Teaching Conversation Synopsis

**Summary of conversation:** What are the peer observer’s specific recommendations and instructor’s planned future actions related to setting goals, actively engaging students, and assessing student achievement of goals?
Third-Year Review

Departments are required to conduct a comprehensive review of performance of all tenure-track faculty approximately three years after their initial appointment as an Assistant Professor. The review should be done no earlier that the beginning of the 6th semester and no later than the end of the 7th semester. This review must address accomplishments of the candidate in the areas of:

Research and Scholarly Activity
Publications since arriving at UT, grant support at UT, graduate student supervision, invited talks, and other results of research activity.

Teaching
The assessment of teaching must be done every year. It should include peer evaluations conducted by at least two different faculty members and include several different meetings of two or more different courses. Use the peer evaluation to your advantage. Talk with the evaluators and get detailed comments on what is effective in your teaching, what can be improved, and what resources are available to help you teach most effectively.

Service
Any service to the Department, College or University should be documented. Service to the research community, national organizations, and local community can also be considered.

This review is both evaluative and consultative. In keeping with long-established practice, each Department has some latitude in structuring the process to suit its own culture and purposes. Departments may choose, for example, to conduct the review in a candidate's 6th or 7th semester in rank; to charge either the full Budget Council or an ad hoc committee with the task of performing the review; to review either a full dossier equivalent to that ordinarily presented for promotion, or a more abbreviated dossier that includes the curriculum vitae, published works and ancillary materials necessary for an assessment of teaching; and to seek or to forego external letters of evaluation. The chair of the candidate’s Department/Section is responsible for providing written feedback to the candidate and, together with a member of the review committee, for meeting with the candidate to discuss the report. The Chair needs to provide a written statement that this meeting has occurred. A written report on the review must be submitted to the Dean of the College by June 15th of the candidate’s third year in rank or by Dec. 15 if the review is conducted in the fall. The reports are commonly no longer than two pages, but should summarize all relevant information. The report must include a brief description of the process that was employed, including how the review committee was constituted, what materials were reviewed and the conclusions that were reached, including any recommendations in problem areas. You should be given the opportunity to provide a separate document responding to the report. The Dean's Office must receive copies of any written evaluations or other materials that are given to you and of any responses.
provided. This policy is made available to all newly appointed tenure-track faculty at the
time of their appointment.

A well-designed third-year review is critical to your progress and can help avoid
unexpected results of a subsequent promotions and tenure review. If you receive a short
and uninformative review, meet with your chair and ask for a more comprehensive
assessment.

**Third year review for NTT faculty**

After 5-6 semesters of teaching, the lecturer will receive a full review of performance,
including teaching, service, and research. The review should be done by a faculty
subcommittee, and, where possible, a senior lecturer shall be a member of the committee.
The review should include analysis of peer reviews, CIS, the lecturer’s teaching
statement and self-reflection and any other materials submitted by the lecturer in a
Teaching Portfolio.

The results of the 3rd year review should be communicated in a meeting between the
department chair or designee and the faculty member. At this time, there should also be a
discussion of the future role of the NTT faculty member in the department. If the faculty
member is meeting or exceeding expectations and wishes to be on track for promotion to
senior lecturer, the chair should inform the lecturer of the requirements for promotion. If
the NTT faculty member is not either meeting or exceeding expectations, the contract
should not be renewed.
Comprehensive Periodic Review

The Comprehensive Periodic Review is performed six years after the promotion and tenure review and thereafter every six years. Below is an overview of the procedures. Please see the Provost's Comprehensive Periodic Review Guidelines and visit the Handbook of Operating Procedures to review the policy on periodic review.

Review Committee: The committee shall be comprised of three or more faculty members normally holding the rank of Full Professor, either elected by the faculty or appointed by the department chair. This could be a modified P&T Committee or a separate standing committee. However, they should be representative of the faculty as a whole and have experience and skill in a variety of areas of concern, in particular teaching, research, and service (at the departmental level or higher).

Review process:

1. Mar 31: Faculty members are notified/reminded of review process
2. July - Aug: Faculty members are given copies or access to previous annual reports, statistical summaries, etc. to verify
3. Oct 1: Faculty member submits a current CV and other materials
4. Oct - Dec: Committee meets and reviews materials*
5. Feb 1: Written report due to faculty member, department chair and dean
6. Feb: Dean either forwards summary report to provost or appoints a college-level committee
7. Aug 1: CNS college-level committee report due; outcome reported to the faculty member, the department chair, and the provost

Reports: Faculty members being evaluated will be told what items will be considered in the evaluation and asked to verify that records used in the evaluation process are up-to-date. Furthermore, they will be offered an opportunity to meet with the committee, prior to the completion of the evaluation, submit additional material or comment on the committee's findings. Please note if the faculty member is the holder of an endowment that the endowment will need to be reviewed at this time as well. Upon completion of its review, the committee will present to the department chair a written report on its findings. The report will document the faculty member's contributions to teaching, research, and service during the evaluation period (preceding six years). The report must assign one of the following category ratings:

- **Exceeds expectations** – a clear and significant level of accomplishment beyond what is normal for the institution, discipline, or unit.
- **Meets expectations** – normally expected level of accomplishment.
- **Does not meet expectations** – a failure beyond what can be considered the normal range of year-to-year variation in performance, but of a character that appears to be subject to correction.
- **Unsatisfactory** – failing to meet expectations in a way that reflects disregard of previous advice or other efforts to provide correction or assistance, or involves prima facie professional misconduct, dereliction of duty, or incompetence.
In the case of an *Unsatisfactory* or *Does not meet expectations* evaluation the evaluation committee’s report to the department chair shall provide sufficient written documentation to identify the area(s) of unsatisfactory performance and the general basis for the committee’s decision. For either of these categories, a remediation plan is developed, discussed with the faculty member, and submitted to the Dean.

**Submittal:** The department chair will communicate the full contents of the report to the person who was reviewed, as well as to the Dean of the College of Natural Sciences. The chair may provide additional narrative regarding the review if desired. The Dean may assign a college-level committee for further review if needed.

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* Materials for the year under review to be assessed:
  - Previous and current annual faculty activity report (FAR)
  - Current curriculum vita
  - Student evaluations of teaching, including all written student comments
  - Results of previous annual reviews for the evaluation period
  - Any additional materials faculty member wants considered by the committee.

**Reviewed of endowed chair or professorship holder**

For faculty who hold endowed chairs or professorships, the review should also include a review of this position. It should be determined whether the result of the review is consistent with the expectations of an endowment holder. The summary of the review should include a recommendation concerning renewal of the endowed position. New appointments to chairs and professorships are for a defined period of time and include provisions for review. It is reasonable to include this as part of the overall comprehensive review process.
Remediaiton plans are developed for any faculty member receiving an Annual Review or Comprehensive Periodic Review rating of “Does not meet expectations” or “Unsatisfactory”.

Elements of the plan:

1. The plan should describe the specific areas that need improvement or resulted in an unsatisfactory rating by the review committee.

2. The plan should indicate what the faculty member needs to do to meet departmental expectations. The plan can focus on specific areas of improvement or on shifting responsibilities within the department. For example, the plan can specify that the faculty member will submit a grant for external funding, submit a manuscript that is in preparation, seek help with teaching from a colleague or the Center for Teaching and Learning, or attend specific teaching workshop. For faculty who have become less research active, the plan may indicate emphasizing a more active role in teaching and service. Teaching an additional course, working on curriculum reform or modernizing specific courses, serving on department committees, increasing student advising activities or other needs of the department can all be considered.

3. The plan should allow the faculty member to become a more active contributor to the department and the discipline.

The chair should discuss the remediation plan with the faculty member and both should sign the plan. A copy of the plan is sent to the Dean. Subsequent annual reviews of the faculty member should include an assessment of whether the terms of the remediation plan have been fulfilled.
Faculty appointments

- Rate for all faculty positions is 9-month basis.
- Faculty are appointed September 1 - August 31 to allow insurance coverage over the summer.
- Primary and joint positions must have a rate established, even if 0%.
- An individual can have only one faculty title and rate.

Supplements

- All salary supplements are 9-month basis. Supplements cannot be paid in the summer.
- Salaried supplement (Endowed): holder and fellow supplements on endowed accounts are considered part of the total compensation for summer salary.
- Non-salaried supplements are temporary supplements given for special circumstances and are not counted in calculation of summer salary.

Promotion increases

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<td>Professor</td>
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<tr>
<td>Associate Professor</td>
<td>7,000</td>
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<tr>
<td>Clinical Professor</td>
<td>3,500</td>
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<td>Clinical Associate Professor</td>
<td>2,500</td>
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<td>Professor Clinical Nursing</td>
<td>3,500</td>
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<td>Associate Professor Clinical Nursing</td>
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<tr>
<td>Distinguished Senior Lecturer</td>
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<td>Senior Lecturer</td>
<td>2,500</td>
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<tr>
<td>Academy of Distinguished Teachers</td>
<td>7,500</td>
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Teaching overload

- University employees may not receive overload pay (more than 100% time) for teaching organized courses.

Summer compensation

- T/TT faculty remain on faculty position for all instructional and research activities
- NTT faculty research activity may be processed on faculty title if required (e.g. clinical nursing); otherwise use research title.
- Summer rate is academic rate plus salaried supplement as of 5/31
- The Dean establishes summer compensation for department chairs and directors
- Summer teaching stipend is 1/6 of academic rate per course
- CNS establishes the summer salary cap. The differential can be made up with discretionary funds in non-teaching activities.
- Summer compensation can be from non-teaching activities including research activities paid from grants.
Merit Raises

The proposed merit raise pool will be communicated to the departments by the Dean in the fall. All faculty raises are contingent on the President’s policy and availability of funds, and final decisions are not made until the summer. However, it is practical to plan for the raises at the time the annual reviews are done in late fall; merit raises must be consistent with the annual review results that are communicated to the Provost in December. Relative rankings and additional criteria can be incorporated into the annual review process for determining proposed raises. These raises are based on:

1. Merit
2. Equity
3. Correcting historical imbalances and compression

The merit review committee may be the same committee that does the annual reviews or it may be the full budget council or subset of the budget council. If materials in addition to those used for the annual reviews are used for merit raise determinations, the faculty should be informed of this and of the general criteria used for determining raises. The chair may make a separate recommendation to the Dean if he or she disagrees with the proposed raise distribution.

Faculty should not be informed of the raises until the chair is informed that the raises have been approved by the Provost.
Departments are encouraged to nominate faculty for awards to recognize outstanding teaching, research and service. You can make it easier for your department to nominate you by having appropriate materials prepared and providing these to the department.

**Awards**

Your department will have information on University awards, but may not be aware of awards given by outside entities. If you have information on awards given by your national organization or other groups, provide this information, including all deadlines and nomination requirements, to the chair or awards committee, as applicable. Make it easy for the department to nominate and support you by providing copies of your materials in the correct format for any awards that you think are appropriate.

**Teaching awards:**

Keep a file of materials related to your teaching. This should contain a teaching statement, copies of unsolicited letters or emails from students indicating their appreciation of your teaching, a list of students and colleagues who could write letters attesting to the brilliance of your teaching, samples of syllabi and teaching materials and your CV. If your department has a teaching awards committee, submit the file to that committee. Update your file every year.

**Research awards:**

Keep a file of materials, similar to the teaching file but focusing on your research accomplishments.

If you are nominated for an award, talk with previous winners for guidance on materials to be included (or not).
CNS Promotion and tenure timeline

**May:** Department will send preliminary list of faculty up for promotion to Dean’s office. Meet with chair to discuss your promotion. Prepare your CV and materials to send to reviewers. Give the chair your list of potential reviewers.

**Early summer:** External reviews are solicited.

**July:** Final list of promotion and tenure candidates due to Provost’s office.

**August:** Review your file for accuracy (external letters and budget council assessment are not in the file for review). You also reviews the list of external reviewers. Add a comment to your file if you feel a reviewer may be biased or if you had others reasons for wanting a reviewer excluded.

**August - early September:** Subcommittees review files and prepare written assessments. Present your promotion seminar to the department.

**Mid-September:** Budget Councils vote on promotion and tenure cases. Chairs prepare Chair’s letters.

**September 22:** Promotion materials due to Dean’s office. Files are uploaded to the Provost's office website

**October 13, 14:** Full P&T Committee meetings. Chairs should be available to provide information to the P&T Committee regarding the decisions made at the department level.

**October 30:** Final committee meeting, if needed.

**November 10:** CNS files are due to the Provost’s office.

**December:** President’s decisions sent to Dean. Dean and Associate Dean for Faculty Affairs meet with candidates and department chair to communicate decision.
College of Natural Sciences Promotion and Tenure

Refer to the Provost’s website for the most up-to-date information
http://www.utexas.edu/provost/policies/evaluation/tenure/

Goal:
The goal of the promotion process is to provide a thorough and objective review of the substance and merits of each faculty member’s case. The standard for promotion is that it will benefit the department, college and university. For promotion with tenure, the guideline is that there is (1) evidence that contributions of appropriate magnitude and distinction in teaching, research, and service have been made, AND (2) evidence that such contributions can be sustained through an extended career with the university.

When are you reviewed for tenure:
Review for promotion and tenure normally occurs in the fall of the 6th year. Extensions are granted for birth or adoption of a child. Other requests for extensions must be reviewed by the department, dean and provost. If you are on leave without pay for a year during the probationary period, that year is not counted.

Early promotion (before six years in rank at UT) should be explained.

Levels of review:
There is an independent review at multiple levels: budget council or executive committee, department or division chair, school, college, dean, and central administration. The recommendations at each level reflect the professional judgment of each of those involved, with the president making the final decision.

Areas of contribution for review:
• Teaching at both undergraduate and graduate levels
• Research and scholarly effort
• Academic advising, counseling, and other student services
• Administrative and committee service to the department, college, and university and professional public service to the nation, state, and society
• Other evidence of merit or recognition, such as fellowships, grants, and special honors

What is reviewed:
Teaching effectiveness
• There should be periodic peer reviews. At least 3, but more is better. Ideally, these will have been done over several years and show consistent excellence or evidence of improvement.
• CIS surveys should be consistent with the peer reviews.
• Both undergraduate and graduate teaching are important. These can include mentoring of students in the laboratory as well as formal classroom teaching. The important thing is to document effectiveness.
• Candidate should advance the teaching mission of that department.
Research excellence
- Publications - overall impact. The number of publications and the journals in which they appear are considered. A variety of proxies are used for estimating impact, such as citation indices, journal impact factor, H-index. None of these is perfect but each provides some information about the relative impact of the work in your field. Provide your department with any additional information that might be relevant. For example, if your paper is highlighted in the journal or in another publication or is selected for an award.

- Scholarly presentations. Invitations to present your work at meetings or at other institutions are additional evidence of impact.

- Letters of recommendation. The letters should provide an unbiased, critical assessment of your contributions to the research area. There should be 6-8 letters from individuals who are not collaborators or former advisors. They should be recognized leaders in your field. A strong letter will indicate the importance of your contributions and the likelihood that you will continue to contribute. The University is looking for evidence of an upward trajectory.

- External funding. The amount and nature of the funding will vary by discipline. The standard is that you have shown the ability to acquire outside funding and that there is evidence that you will be able to secure sufficient outside funding in the future to support an excellent research program.

Service:
Service is expected but an outstanding record of service will not substitute for strength in teaching and research. Service can be at any level but should include some to students and the department. Examples of service are

- student advising
- department, college or university committees
- service to your professional organization
- serving on grant review panels, reviewing manuscripts

Your role in the process:
Meet with the chair of your department to discuss your case. Provide a list of people you think could provide an unbiased review of your work. The chair and budget council will also prepare a list but may not be aware of some aspects of your work that a particularly review can assess. Provide the chair with a list of your mentors and any collaborators, particularly those who might not yet appear as authors in your publication. Review the final list before the letters are solicited.

Review your file before it goes to the budget council for voting. You should check all the materials in the promotion dossier except for the internal and external peer reviews of teaching, scholarship, and service. If you believe that the file is incomplete or includes inappropriate material, or if you have any other objection to the process, talk to your
Read your file critically. Are your strengths clearly noted? Your department will be able to assess most aspects of your file, but may need additional information in some cases. If you have received an award from your professional organization, for example, make sure you explain the relative importance of the award. Try to identify any possible weaknesses in your file. Provide information to the chair about any circumstances that may be relevant or additional details that will aid the department’s assessment of that weakness. For example: your CIS scores are lower than the department average and this has been pointed out to you in your last peer review. However, you are teaching a very large freshman class and you know that your scores are actually above the average for that type of class. Provide your department with those data so this apparent weakness can be discussed in context in the assessment of teaching. Similarly, if your number of publications is low for the field in general, but is normal for researchers in your area of specialization, make sure that is noted in your file. Explain your role in collaborations so it is clear that you have an independent research program. These types of things can be noted in your statement of research, teaching, or service. An area of perceived weakness in your file should not be ignored. Someone in the review process will notice it, and it is best if you and your department acknowledge it and explain, where appropriate.

Prepare a seminar for presentation to your department. This should show the strength of your work and convince your colleagues that you have exciting plans for future research.

**What happens next:**
The budget council or executive committee will assess your file and prepare separate reports on your teaching, research and service. They will vote on the promotion and that vote will be included in your record. The department chair will write a separate assessment and recommendation. If this differs from the budget council recommendations, the reasons should be explained.

The file then goes to the CNS promotion and tenure committee. It will be assigned to a subcommittee (usually 3-4 members) for a thorough assessment. If information is missing, or additional information is needed, we will contact the department. At the P&T committee meeting, the chair or a representative of the budget council will be present initially to explain the department’s recommendation and answer any questions. The college committee will then discuss the merits of the case and vote. The Dean is present at the meeting to hear the discussion but does not participate. The Deans makes a separate assessment and recommendation.

Finally, the files are considered by the President’s committee for final recommendations. The President may recommend to promote or not promote (or terminal appointment for a 6th year review of an assistant professor). There will be the opportunity to appeal if there were errors in the procedure or there is substantial new information. The details are provided in the accompanying Promotion Guidelines.
Preparing for Promotion and Tenure

Tenure track faculty

You should not spend all your time thinking (and worrying) about promotion and tenure. It is a critical point in your career but should not overshadow your enjoyment of research, your family, your health and your happiness. However, some time spent in planning for tenure can save you time and avoid anxiety in the future.

1. Read the current P&T Guidelines (see Section 5e) to have an idea of what information you will provide at the time your file is submitted. You want to provide evidence that your research, teaching and service are above the bar for promotion at UT.

2. **Focus on your research.** You will need to show evidence that you have established yourself as an outstanding researcher and that you will continue to be a leader in your field, i.e. you are on an upward trajectory. This will be based on your publications (you should have a reasonable number of papers, they are not all submitted in the last semester before promotion, they are in high-quality, peer-reviewed) journals, funding (the standard is that you have shown the ability to obtain sufficient funding to support a high-quality research program and will be able to continue supporting the research), and the assessments of high-profile researchers in your field. The more that the reviewers know you and your research, the better. Go to meetings and talk to people, present your research at conferences and at other institutions, invite potential reviewers to visit UT and get them excited about what you are doing. However, you need to be careful not to overcommit your time. You don’t have to accept every invitation and go to every meeting. Choose carefully and accept those invitations that you feel will be most beneficial.

3. **Teaching.** You are expected to teach well, at both the undergraduate and graduate level. For your first teaching assignment, talk to the chair about team-teaching two sections of a course with an established teacher. Use their syllabus, notes and exams. Observe them and have them observe you. Talk about the teaching. Once you have been through the course, go out on your own and begin to make it your own course. This will allow you to develop your course over a period of time rather than trying to start from scratch your first year. If team-teaching is not an option, ask someone who has taught the course previously for their notes, exams etc. to get started. You may want to change some things immediately, but you want need to do everything on your own at the beginning. Get input on your teaching from your colleagues and the students, Listen to their comments and don’t be defensive. Work on improving your courses every time you teach them. Having bad peer reviews or dismal CIS scores at the beginning will not doom your promotion. If there is improvement and evidence that you are interested in teaching and are working on teaching well, the upward trend in reviews will outweigh initial poor evaluations.

Graduate teaching will be based largely on your supervision of graduate students. You will want to show that you are providing excellent training but it is not
necessary that you have trained large numbers of students. Accepting too many graduate students can result in your being spread too thin and getting less research done. This is particularly true if you accept students that you are not confident can complete the degree and who will require an excessive amount of your time.

4. **Service.** You are expected to have contributed some service but heavy service obligations are reserved for faculty members who are tenured. You can interpret service rather broadly. Serving on a department or university committee certainly counts, but avoid spending too much time on committees. Be selective and selfish about your service. Are there committees that would actually benefit you, as well as the department? If you are trying to recruit graduate students to your research group, serving on the graduate student recruiting committee is useful. Serving on the seminar committee might be a way for you to invite important researchers in your field to UT. You do not want to take on service such as graduate advisor, University Biosafety Committee, or any committee that meets once a week. These are all important, but they will still be there after you are promoted.

Service outside the University can also be important. Reviewing manuscripts for journals in your field, an occasional grant review, chairing a session at a meeting (but not organizing the whole meeting) are all good ways to become known in your field and to get experience with grant and manuscript review processes.

**Documenting**

Keep track of everything that will ultimately go in your dossier. Much of this will be reported on your Faculty Annual Report so you will do a yearly compiling of everything, and those reports will be useful for putting together your dossier. As you go through each year, keep a list of all papers submitted and published, seminars you have given, manuscripts reviewed, talks to student groups, i.e. anything that might be part of your dossier.

**Third year review**

The third-year review will serve as a preview of your promotion and tenure. The department will look at all the things that are ultimately considered for promotion and tenure. Some departments even include outside letters. When you meet with the chair, listen carefully and be sure you understand the review. If there are areas of weakness, talk to the chair about your plans to correct them. You want the chair to be frank and realistic so there are no surprises when the tenure decision is made.
Non-tenure track faculty

The University’s recommendations for NTT faculty advancement [http://www.utexas.edu/provost/research/non_tenure/] (2005 Hart) provides the following information.

Recommendations of the Implementation Committee on the Status of Non-Tenure-Track Faculty

“For faculty with investment in and ongoing service to the University, there should be a career path with several promotion opportunities and comprehensive performance evaluation. After six years of service, the evaluation would normally include discussion of opportunities and expectations for promotion to Senior Lecturer.”

“After 10 years of service in rank, Senior Lecturers may petition to be considered for promotion to Distinguished Senior Lecturer. . . Promotion to Distinguished Senior Lecturer should be reserved for extraordinary service and performance as defined by individual units.”

“The recommended comprehensive review for each level does not imply mandatory promotion and candidates should realize that promotion is not automatic. Furthermore, there is no “up or out” requirement. Rather, the review should provide clear feedback about the candidate’s strengths and weaknesses, information relevant to decisions concerning contract renewal, and information about the likelihood of promotion to a higher rank.”

Although some lecturers and clinical faculty prefer to teach only one or two courses a semester and do not want a substantial service component, many see this as a career and want to be fully invested in the department and university. This career path includes the opportunity for advancement and promotion to Senior Lecturer and Distinguished Senior Lecturer.

Preparing for Promotion

1. Read the current P&T Guidelines (see Section 5e) to have an idea of what information you will provide at the time your file is submitted. You want to provide evidence that your teaching and service or research are above the bar for promotion at UT.

2. Talk to your chair. Let her or him know that you are interested in the career track and discuss ways you can contribute to the teaching and service mission of the department.
3. The set of basic criteria that follow provide common standards for the entire College, and departments may add department-specific criteria. Ask your department chair for additional information about department requirements at your third-year and subsequent reviews.

4. **Documenting:** Keep track of everything that will ultimately go in your dossier. Much of this will be reported on your Faculty Annual Report so you will do a yearly compiling of everything, and those reports will be useful for putting together your dossier. As you go through each year, keep a list of everything you have done that might be part of your dossier.

**The standards for advancement to Senior Lecturer**

These include sustained excellence in teaching and in at least one other area (service or research). Additional consideration will include the instructor’s participation in instructional and curriculum activities beyond his or her classroom. Such activities may include, but are not limited by, the research and service activities listed below. The activities considered for service will be beyond the lecturer’s position that counts towards the teaching load.

**Teaching:**

It is expected that in order to qualify for promotion, a NTT faculty member will “exceed expectations” in most categories in annual reviews. Teaching excellence will be determined by having

- high peer evaluations
- high CIS scores as compared to those instructors teaching comparable courses
- evidence of reflective teaching and efforts for improvement

Evaluation of a lecturer’s contributions in the classroom will consider course organization, student engagement, innovation and creativity, and enthusiasm.

**Examples of activities for documenting excellence in service or research**

**Service:**

In addition to sustained excellence in teaching, the standards for advancement will include faculty contributions in at least one other area, such as service or research. The activities considered for service will be beyond the lecturer’s position that counts towards the teaching load. For example, if academic advising or program leadership is counted towards, or used to reduce, the lecturer’s fulltime workload during a long semester, additional service or research would be expected as part of the promotion file.
1 Advising
   - Undergraduate Adviser
   - Honors Advisor
2 Development of innovative teaching technology
3 Sponsor student organization
4 Outreach
   - K-12
   - Community, Local, State/National/International
   - Presentations to the public
   - Judge science fairs and science competition
5 Student Recruitment and Retention
   - orientation
   - admissions
   - boot camp
   - summer bridge
   - assessment for course placement
   - TIP
   - Explore UT
6 Committee membership
   - departmental
   - college
   - UT
   - State, National or International organizations
     - Professional organization: Local/ State/National/International
     - Community organization: Local/State/National/International
7 Administrative
   - directing a program (e.g. Health IT)
   - developing a new program
   - coordinating multiple sections of a course
   - supervising LAs/graders/TAs
   - scheduling courses
   - Undergraduate Curriculum Chair
8 Other Academic Activities
   - Work with CTL Credit by Exam
   - College Board Advanced Placement Course and Exam
   - International Baccalaureate Courses and Exam
   - UIL Exams (High School Academic Competitions)
Teaching, beyond the classroom:

1. Professional development (teaching)
   - participates in workshops, CTL events, etc.
     - UT events
     - off-campus events (including education conferences)
   - informal
     - discussing teaching issues with colleagues
     - sharing resources to improve teaching
   - presentations on teaching and curriculum
     - UT events
     - off campus events

2. Course development (meeting student and departmental needs)
   - majors and service courses
   - honors courses
   - dual credit courses
   - online courses
   - signature courses

3. Innovation
   - Innovative questions, clicker use, case studies
   - delivery of materials outside class
   - flipping, coordination with online resources
   - inquiry-based learning

4. Performing peer observations and evaluations

5. Mentoring

Research

1. Papers
   - refereed
   - non-refereed

2. Books

3. Editor or reviewer for professional journals

4. Grants, external funding

5. Presentations
   - at UT
   - at other institutions
   - at regional/national/international conferences

6. Student research mentoring
   - undergraduate
   - graduate
Promotion and tenure meetings with your chair

Spring

You should meet with the chair of your department during the spring semester prior to going up for promotion in the fall. At this time you will

- Go over the promotion and tenure process.
- Provide input on the outside reviewers. Give the chair a list of potential reviewers. These should be the recognized leaders in your field, but should not be collaborators or former mentors.

Before letters are solicited, the department chair may show you the final list of proposed reviewers. The chair should consider any objections or concerns you have, but the chair has the final say over selection. The chair may wait and show you the list of reviewers at the time you review your file in late summer. In either case, you should place a statement in the file explaining your objection or concern if you disagree with a choice of reviewer.

Late summer:

Check all materials in the file before budget council review (excluding budget council statements and external review letters). Your review of the file will be supervised and copying of materials is not permitted. If items or missing or incorrect, meet with the chair and provide the corrected information.

Early fall

Many departments ask the candidate to present a formal research seminar to the faculty prior to the budget council vote. This is a useful way to show the department what you have accomplished and your plans for future research. If your department does not routinely schedule a promotion seminar, talk with your chair about including this in the process.
Promotion and tenure committee

CNS Promotion and Tenure Committee
After the department budget council and chair make recommendations on your promotion and tenure, the file will be forwarded to the College for a CNS-level review.

Composition of the committee
The dean, in consultation with the department chairs, appoints the members of the CNS Promotion and Tenure Committee; these individuals will be faculty with the highest standards of excellence, international reputations, and a commitment to in-depth, critical review of P&T dossiers. Rather than having one member of each department, the size and composition of the committee is determined by the number and department affiliations of the faculty candidates. A department may not have a representative in some years and could have more than one member on the committee in other years. In addition, one Distinguished Senior Lecturer, elected by the lecturers in the college, serves on the college committee and reviews and votes on file for promotion in the lecturer ranks.

Goal
The goal of the promotion process is to provide a thorough and objective review of the substance and merits of each faculty member’s case. The standard for promotion is that it will benefit the department, college and university. For promotion with tenure, the guideline is that there is (1) evidence that contributions of appropriate magnitude and distinction in teaching, research, and service have been made, AND (2) evidence that such contributions can be sustained through an extended career with the university. The files that you will consider have been reviewed by the budget council and department chair. You are asked to provide an independent review, reflecting your professional judgment of the strength of the case. The files will be further reviewed by the Dean and the central administration, with the President making the final decision. Each step in the review should add value to the process.

College Committee process
Each file will be assigned to a subcommittee for thorough review. Subcommittees then meet, prior to the full committee meetings, to discuss their recommendation on the case and to draft a written summary of the case. This summary is incorporated into the Dean’s statement to the presidential committee. Each member of the committee will read every file and participate in the discussion of each case.

At the beginning of the discussion for each case, a representative of the department will be present to explain the department’s voting position on their cases to the college P&T committee and to answer questions from committee members. Then one member of the subcommittee will present the case and the subcommittee’s recommendation to the full P&T committee. Critical questions and a thorough discussion of a case’s merits and weaknesses are expected. Members of the candidates department will not be present during the discussion. If the committee decides that additional information is needed, the vote on a case is delayed until the final meeting (two weeks later) to allow time to gather the needed information.
The promotion dossier should be prepared according to the Provost’s guidelines, which follow. Additionally, these points should be noted:

- Candidates submit a list of potential external reviewers to the chair. They may also indicate reviewers they prefer not to be used. The choice of reviewers is ultimately up to the department but the candidate’s objections should be noted.

- Candidates review their files for factual information and completeness and see the final list of external reviewers prior to the budget council vote. If the candidate objects to the inclusion of a reviewer or finds inaccuracies in the file, he or she may include a statement as supplementary information in the dossier.

- The dossier should include at least 6 objective external reviews. The reviewers should not be former mentors or collaborators.

- The dossier should include indicators of the impact of publications. These are citation indices and journal impact measurements. The Dean’s office will provide specific instructions for preparing this.
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FOR PROMOTION AND TENURE OF ALL
FACULTY RANKS FALL 2014

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A.1 INTRODUCTION

The goal of the promotion process is to provide a thorough and objective review of the substance and merits of each faculty member's case following customary methods. The review must be sufficient in its depth and character to support action in the best interests of the university, whatever the decision reached. To accomplish this, the evaluation process comprises an independent review at multiple levels: budget council/executive committee, department chair, college/school, dean, and central administration. The recommendations at each level reflect the professional judgment of each of those involved, with the president making the final decision.

The following General Guidelines describe the promotion process for tenured, tenure-track and non-tenure-track candidates, and are provided to assist both candidates and academic units with preparation of supporting materials and management of candidate files for promotion. The dean may distribute additional written procedural guidelines and information for preparation of candidate dossiers in his or her college/school and will deliver one copy of any additional guidelines or information distributed to the candidates to the Provost's Office along with the dossiers from his or her college/school. It is recognized that variation in requirements is possible among disciplines and departments. Such variations are considered both appropriate and healthy. Candidates should check with their department chairs or, in non-departmentalized colleges/schools, with their dean regarding the requirements and practices in their area.

A.2 AREAS OF CONTRIBUTION APPLICABLE TO ALL FACULTY:

As described in the Handbook of Operating Procedures (HOP) 2-2160, recommendations for tenure and recommendations for promotion in rank of all faculty are to be based on excellence in performance pursuant to an evaluation of the faculty member's contribution in the following areas:

- Teaching at both undergraduate and graduate levels.
- Research, creative activities, and other scholarly effort.
- Academic advising, counseling, and other student services.
- Administrative and committee service to the department, college, and university and professional public service to the nation, state, and society.
- Other evidence of merit or recognition, such as fellowships, grants, and special honors.

A.3 RECOMMENDATIONS FOR TENURE:

a. The granting of tenure has consequences of great magnitude and long life and must be considered especially carefully. Tenure should be awarded only when there is a clear case that the best interest of the university is served by doing so. In the review process, the candidate's record should be examined for:

- Evidence that contributions of appropriate magnitude and distinction in teaching, research, and service have been made, AND
- Evidence that such contributions can be sustained through an extended career with the university.
b. **Assistant to Associate Professor:**
A recommendation for promotion to associate professor normally is considered in the sixth year of the individual’s service as assistant professor (or combined service as instructor and assistant professor). Cases considered before the sixth year in rank are early and should be explained in the department chair’s and dean’s statements.

An assistant professor must be reviewed no later than the sixth year of the probationary period and be either promoted to associate professor with tenure or placed on terminal appointment for the next year. A year in which a faculty member has been on leave without pay or claimed an extension in accordance with HOP 2-2020 does not count toward the probationary period.

Candidates whose probationary period has been extended under HOP 2-2020 or due to leave without pay in accordance with university family and medical leave policies shall be evaluated as if the work were done in the normal period of service.

c. **Associate Professor or Professor Without Tenure:**
The tenure status of individuals appointed to the associate professor or professor ranks without tenure must be reviewed no later than the third year of probationary service. Associate professors without tenure may be considered either for tenure in the rank of associate professor or for tenure and promotion to full professor simultaneously.

A.4 **ASSOCIATE PROFESSORS (with tenure):**
Associate professors with tenure may be considered for promotion to professor during any year deemed appropriate by the budget council and department chair. Promotion before six years in rank have elapsed is considered early and should be explained.

**Right of Consideration.** As provided in HOP 2-2160, tenured associate professors with ten years or more in rank can invoke their right to be considered for promotion to professor. To invoke this right of consideration for a given promotion cycle, associate professors must advise their department chairs in writing by February 1. These cases will be considered at all levels unless a faculty member withdraws the case before the final vote of the budget council is taken. If promotion is not awarded, the right may be exercised again after five years of service.

A.5 **INSTRUCTORS IN A PROBATIONARY STATUS:**
Instructors in their second or third year in rank who become eligible for promotion to assistant professor as a result of obtaining their Ph.D. must be forwarded for review at all levels. The dossiers should demonstrate satisfactory progress while in the rank of instructor. All instructors in their third year of probationary service require formal review regardless of whether they have received the Ph.D.

Instructors who complete the Ph.D. during the first year of academic service do not require review. Formal documentation that the degree has been awarded should be submitted to the Provost's Office and the title will be changed to assistant professor effective September 1 of the second year.

A.6 **NON-TENURE TRACK RANKS:**
Non-tenure track faculty members assist the institution in meeting a variety of critical needs related to the university’s overall mission. Performance expectations for these faculty, however, are not as encompassing in scope as those for tenure-track faculty. Although all contributions and accomplishments of non-tenure track candidates should be evaluated where applicable, special emphasis is to be given to teaching performance and at least one other area of contribution for faculty in lecturer, clinical, and adjunct titles, and to research activity and other academic contributions for faculty in research professor titles.
a. Lecturer Titles
Recommendations for promotion of lecturer or senior lecturer may be considered after the individual has served in his or her current rank at the university for at least six years. Cumulative service in rank may be either full time or part time. Recommendations for early promotion should be explained and justified.

The principal role of faculty in the lecturer titles is providing instructional service that augments and complements that of the tenured and tenure-track faculty. Thus, exceptional teaching performance is expected and a well-documented record of teaching excellence is required for all such candidates for promotion. The budget council statement for each department or academic unit should describe the local rating criteria and service norms for teaching and demonstrate that the candidate’s level of teaching service is above the departmental average. In addition, an adequately documented record of significant accomplishment in at least one of the other areas of contribution consistent with the terms of employment is required for promotion to senior lecturer.

The title of distinguished senior lecturer is reserved for individuals who, in addition to teaching excellence, have a sustained record of significant accomplishment adequately documented in at least one of the other areas of contribution consistent with the terms of employment.

b. Clinical and Adjunct Titles
Recommendations for promotion of adjunct assistant professor, adjunct associate professor, clinical instructor, clinical assistant professor, clinical associate professor, instructor of clinical nursing, assistant professor of clinical nursing, and associate professor of clinical nursing, may be considered after the individual has served in his or her current rank at the university for at least six years. Cumulative service in rank may be either full time or part time. Recommendations for early promotion should be explained and justified.

The principal role of faculty in the clinical and adjunct titles is providing instructional service that augments and complements that of the tenured and tenure-track faculty. Thus, exceptional teaching performance is expected and a well-documented record of teaching excellence is required for all such candidates for promotion. The budget council statement should describe the local rating criteria and service norms for teaching and demonstrate that the candidate’s level of teaching service is above the departmental average. In addition, a record of accomplishment in at least one of the other areas of contribution consistent with the terms of employment is required and must be adequately documented.

c. Research Professor Titles
Recommendations for promotion of research assistant and research associate professors may be considered after the individual has served in their current rank at the university for at least six years. Cumulative service in rank may be either full time or part time. Recommendations for early promotion should be explained and justified.

The contribution of faculty appointed as research assistant and research associate professors is principally in the area of research. A well-documented record of research excellence is required. In addition, a record of active contribution to the academic enterprise in other ways is required and must be adequately documented.
Section B  Roles and Responsibilities

B.1 PROCEDURAL RESPONSIBILITIES OF DEPARTMENT CHAIR OR DEAN

Department chairs, or deans in a non-departmentalized college, are responsible for preparing the candidate’s file for review and should familiarize themselves with these Guidelines and any other written guidelines provided by the department and/or college. In the spring semester before a faculty member is to be considered for promotion, the department chair, dean, or their designee shall meet with the candidates to explain the process and advise them to become familiar with the applicable guidelines, discuss relative responsibilities for compiling dossier information, and discuss candidate access to materials as detailed in section B.3.

a. Selecting Referees. The department is responsible for developing a list of peer reviewers with input from the candidate (see Section C.8.e). The reviewers should be from peer institutions/programs and must be at arm’s length from the candidate (e.g., not former dissertation chairs/advisors, postdoctoral mentors, coauthors, and/or collaborators). Prior to sending out the solicitation letter to the referees, the chair or dean shall ask the candidate to review the list of individuals to be contacted. After considering concerns that may be expressed by the candidate, the department has final say over reviewer selection. The candidate may place a statement in the file to document any concerns he or she may have about reviewer selection (see Additional Statements, section C.9).

b. Review of Materials. Before the departmental committee considers a case, the chair or dean shall ask the candidate to check the materials in the promotion dossier except for the internal and external peer reviews of teaching, scholarship, and service. If the candidate believes that the file is incomplete or includes inappropriate material, or if the candidate has any other objection to the process, the chair, dean, or their designee shall either correct the problem or include a statement in the file about the problem and why it was not addressed as the candidate requested. The candidate may also place a statement in the file about the problem or other aspects of the case.

c. Additions to the Dossier. All factual information relied upon in the promotion and tenure decision process shall be included in written form in the promotion dossier. All information in the curriculum vitae is considered to be included in the dossier by reference. When such information is added to the promotion dossier after the department chair has asked the candidate to check the materials in the promotion dossier, it shall be date stamped and placed in a separate folder labeled Additional Statements (see section C.9). The candidate shall be informed of its inclusion and permitted an opportunity to place a statement in the file addressing this addition. All administrative parties (budget council/executive committee, department chair, college/school advisory committee, ORU director or dean) having already reviewed the dossier will also be notified of the inclusion of the additional materials. Notification is not necessary for the addition of required statements to the promotion dossier during the regular review process by a budget council/executive committee, department chair, ORU director or dean.

d. Issues Beyond the Scope of the Promotion and Tenure Process. In rare cases, a tenure or promotion review may raise issues that the tenure and promotion process is not well suited to resolve. For example, an accusation about academic integrity may be relevant to a decision about tenure or promotion, but may be difficult to resolve adequately in the tenure and promotion process. In such cases, the chair or dean, in consultation with the provost and president, may delay the tenure and promotion process until the matter is resolved by an appropriate body separate from the tenure and promotion process.

B.2 CANDIDATE’S RESPONSIBILITIES

a. Dossier Preparation. Candidates should familiarize themselves with these Guidelines and any other written guidelines provided by the department and/or college with respect to the
promotion process and dossier assembly. Consult with the department chair (or designate) about the relative responsibilities for compiling the information.

b. **Review Referee List.** The candidate shall provide the chair/budget council with a list of recommended individuals to provide peer review letters (see section C.8.e). The candidate shall review the list of individuals selected prior to the chair or dean sending out the solicitation letter. Concerns about any reviewers on the list may be expressed to the department chair, but the department has final say over reviewer selection. The candidate may place a statement in the file to document any concerns he or she may have about reviewer selection (see Additional Statements, section C.9).

c. **Review of Materials.** The candidate should check all the materials in the promotion dossier except for the internal and external peer reviews of teaching, scholarship, and service before the departmental committee considers a case. If the candidate believes that the file is incomplete or includes inappropriate material, or if the candidate has any other objection to the process, the chair, dean, or their designee shall either correct the problem or include a statement in the file about the problem and why it was not addressed as the candidate requested. The candidate may also place a statement in the file about the problem or other aspects of the case (see Additional Statements, section C.9).

d. **Supplemental Materials.** Candidates have the discretion to include any materials that they believe are relevant to the promotion or tenure decision (see section C.10).

B.3 **CANDIDATE’S ACCESS TO PROMOTION FILE MATERIALS**

Under state law, the university may not keep the contents of the promotion file confidential and a faculty member may request and would then be allowed to inspect any material in his/her promotion dossier at any time during the promotion process.

a. **Informal Access.** Informal access to the promotion file is provided to a candidate upon request as soon as is feasible, but not later than three (3) business days. Requests for informal access are to be addressed to the department chair, dean, or provost, as appropriate, and no formal open records request is required. Candidates shall be allowed to inspect/review their promotion files at each level with adequate supervision. Copying or photographing materials is not permitted, and no materials may be removed from the promotion files.

b. **Formal Access.** If the candidate wishes to obtain copies of any materials in the file, the candidate must make a request in writing to the Office of the Executive Vice President and Provost, which may be sent via email to evpp.aps@utlists.utexas.edu. Candidates should call 232-3323 with any questions.

B.4 **ASSESSMENTS AND RECOMMENDATIONS**

a. **Conflict of Interest.** A budget council/executive committee or college/school advisory committee member with a potential or real conflict of interest related to a candidate (e.g. spouse, Ph.D. advisor, etc.) is responsible for absenting him/herself from the room during the review and discussion of, and vote on, that candidate.

b. **Non-departmentalized College/School**

1) **Budget Council/Executive Committee Assessment.** The budget council or executive committee shall assess the record and prepare a separate statement for each area of contribution listed in section A.2 that is applicable to the candidate. Consideration should be given to the impact of a recommendation to promote, in particular how it would strengthen the college/school. Areas of distinction in the record should be identified, as well as the standards of the field. All votes (i.e., for, against, and abstentions) along with
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the number absent are to be recorded on the Recommendation for Change in Academic Rank/Status form. In keeping with the tradition of academic integrity, the vote is taken after the evidence is compiled, not before, and 'follow-on' voting to achieve unanimity is not endorsed. As stipulated in HOP 2-1310, associate and assistant professors are not eligible to vote on any matters affecting promotion from or continued appointment in their own rank or higher ranks, including the decision whether to develop a case for consideration (or reconsideration).

2) Dean's Assessment and Recommendation. The dean is to be present for the budget council/executive committee discussion of each case but does not vote. The dean is to provide his or her own assessment of the candidate's teaching, research/scholarly activity, and service, as applicable, and has the responsibility to describe fairly the rationale for the budget council's recommendation, including a summary of the views of both opponents and proponents. Characterization of these discussions is neither to identify colleagues by name, nor otherwise impair the voting process. An effort should be made to explain negative votes and abstentions. Unexplained abstentions will be interpreted by the President's Committee as weak negative votes. The dean's statement should provide context to the candidate's accomplishments and address whether and how the candidate's promotion would improve the quality of the college/school. The signed statement is to accompany the dossier to the next level.

c. Departmentalized College/School:

1) Budget Council/Executive Committee Assessment. The budget council or executive committee shall assess the record and prepare a separate statement for each area of contribution listed in section A.2 that is applicable to the candidate. Consideration should be given to the impact of a recommendation to promote, in particular how it would strengthen the department. Areas of distinction in the record should be identified, as well as the standards of the field. All votes (i.e., for, against, and abstentions) are to be recorded on the Recommendation for Change in Academic Rank/Status form along with the number absent. In keeping with the tradition of academic integrity, the vote is taken after the evidence is compiled, not before, and 'follow-on' voting to achieve unanimity is not endorsed. As stipulated in HOP 2-1310, associate and assistant professors are not eligible to vote on any matters affecting promotion from or continued appointment in their own rank or higher ranks, including the decision whether to develop a case for consideration (or reconsideration).

2) Department Chair's Assessment and Recommendation. The department chair is to be present for the budget council/executive committee discussion of each case but does not vote. The chair is to provide his or her own assessment of the candidate's teaching, research/scholarly activity, and service and has the responsibility to describe fairly the rationale for the budget council's recommendation, including a summary of the views of both opponents and proponents. Characterization of these discussions is neither to identify colleagues by name, nor otherwise impair the voting process. An effort should be made to explain negative votes and abstentions. Unexplained abstentions will be interpreted by the President's Committee as weak negative votes. The department chair's statement should provide context to the candidate's accomplishments and address whether and how the candidate's promotion would improve the quality of the department. The signed statement is to accompany the dossier to the next level.

3) College Advisory Committee. The college advisory committee members should review dossiers before they meet, determine if any required materials are missing or incorrectly prepared, and, as necessary, notify the departments and candidates giving them a reasonable opportunity to address any problems or concerns before the meeting to vote on the case. All votes (i.e., for, against, and abstentions) are to be recorded on the Recommendation for Change in Academic Rank/Status form along with the number absent.
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4) Dean's Assessment. The dean is to be present for the discussions of the college advisory committee but does not vote. The dean is to provide his or her own assessment of the candidate's teaching, research/scholarly activity, and service and has the responsibility to describe fairly the rationale for the college advisory committee's recommendation, including a summary of the views of both opponents and proponents. Characterization of these discussions is neither to identify colleagues by name, nor otherwise impair the voting process. An effort should be made to explain negative votes and abstentions. Unexplained abstentions will be interpreted by the President's Committee as weak negative votes. The dean's statement should provide context to the candidate's accomplishments and address whether and how the candidate's promotion would advance the quality of the department and college/school. The signed statement is to accompany the dossier to the next level.

d. Other Affiliations:

1) Joint Positions. For faculty members with joint positions, each department is to submit forms and assessments and vote on the case, cross-referencing the other position. The departments involved are to share materials collected in support of the case. Where only one college is involved, the dossier is consolidated, with one college advisory committee vote and one dean's statement. Where two or more colleges are involved, forms must be reviewed and acted upon by all deans concerned.

2) Courtesy Positions. Where a faculty member holds a courtesy position and has significant involvement in another department or center, that department chair or director is to provide a letter commenting on the involvement and contributions of the candidate to the programs of the department or center. The letter is included in the dossier following the dean's and the chair's statements.

3) Academic/Research Center, Laboratory, Bureau or Institute. If a faculty member is significantly engaged in the unit's activities but does not hold a courtesy position, the director may comment on the candidate's contributions to the unit. The commentary is included in the dossier following the dean's and chair's statements.

4) Research Faculty. For faculty in the research assistant and research associate professor titles, the director of the bureau, academic/research center, laboratory, or institute where the faculty member holds a position must provide an assessment of the candidate's research performance and other academic and professional contributions. The director's statement is to be provided to the department chair (dean in non-departmentalized colleges/schools) for consideration by the budget council/executive committee in its deliberations and a copy included in the dossier along with the statements of the department chair and dean.

e. Central Administration

1) Presidential Conferences. The dossiers will be discussed with the president, provost, vice president for research, senior vice provost and dean of graduate studies, and dean of undergraduate studies at scheduled times in late November and December. Each dean will attend the conference for his or her school or college. In particularly difficult cases, in order to make a determination in the best interests of the university, the president may request that formal assessments of a candidate's contributions and achievements be sought from additional experts in the field, or that key stakeholders be invited to address questions not resolved by the record presented or in the conference with the dean. See section D for announcement of decisions.
Section C  Dossier Assembly (See Appendix A for Checklists)

To facilitate the review process and to ensure completeness and consistency, the dossier is to be assembled in the order and with the supporting documentation specified in this section.

C.1 RECOMMENDATIONS

This section includes the supporting documents related to departmental and college recommendations as described in section B.4. They are to be placed in the following order:

- Recommendation for Change in Academic Rank/Status form
- Dean's statement
- Department chair's statement
- Joint department chair's statement, if applicable
- Courtesy department chair or center director's statement(s), if applicable
- Other academic program and/or research center director's statement(s), if applicable

C.2 CURRICULUM VITAE AND OTHER INFORMATION

This section includes the supporting documentation related to the curriculum vitae, annual Faculty Activity Reports, and leaves of absence.

a. Curriculum Vitae. The candidate's dossier is to include a curriculum vitae (as opposed to a continuous faculty record), containing, among other things, a list of:

- degrees, fields of study, and dates awarded
- professional registrations, licensures, certifications (as applicable)
- all professional appointments
- all advising and related student service
- administrative and committee service, and academic-related professional and public service
- complete publications record with:
  - publications and other evidence of scholarship/creativity listed according to the kind of entry (e.g., books, chapters, articles, reports, proceedings, and other materials)
  - refereed works identified as such
  - the names of the co-authors listed in the order in which they appear in the publication
  - clear designation of the faculty member's role if it is not author (e.g., editor, compiler, translator, or some other role)
  - works that are in preparation, submitted, under review, accepted, under contract or in press clearly labeled accordingly (for works under contract and/or in press, include tentative publication date)
  - beginning and ending page numbers for articles and total number of pages for books
- scholarly presentations
- research contracts/grants/gifts and proposals submitted with:
  - sponsor name
  - project title
  - project/funding period
  - co-PIs and relative effort of each, where appropriate
  - funding amounts (by academic year and amount under candidate's supervision)
  - for proposals, an indication of the status of each (e.g., submitted, approved, funding pending
- patents issued (as applicable)
- other evidence of merit or recognition

Do not duplicate information in the CV in other parts of the dossier unless specified in these guidelines.
b. Co-Authored Works. Provide a separate document indicating who the co-authors are (e.g., current or former students, peers or faculty colleagues at UT Austin or at another institution). For co-authored works involving faculty colleagues or peers, indicate the relative division of labor between the candidate and any co-authors and the contribution of the candidate to the work. If there are no co-authors, insert a separate page stating “No Co-Authored Works.”

c. Works Forthcoming. Provide a separate document listing works that 1) have been accepted, 2) are under contract, or 3) are in press. Each should be supported by letters of acceptance or copies of contracts from editors, publishing houses, producers, galleries or other conduits for scholarly and/or creative work are to be submitted with the file. Include reviews, where available. If there are no works forthcoming, insert a separate page stating “No Works Forthcoming.”

d. Leaves of Absence Without Pay. The department is to provide a list of any full or partial leaves of absence without pay, i.e., funding for the leave was not administered by UT Austin, taken during the applicable period:

- Tenure-track: Entire period in rank
- Tenured: Previous five years (i.e., 2009-10 through 2013-14)
- Non-tenure track: Not applicable

Include only the following information on the list:
- period of each leave without pay
- percent time of each leave without pay

(Example: Fall 2011: 50%)

Where no leaves without pay were taken, insert a separate page stating “No Leaves of Absence Without Pay.”

Note: The following are NOT leaves of absence without pay:
- leaves from the instructional budget (aka release time from the instructional budget), e.g., Faculty Research Assignments (FRAs), appointments to contracts/grants
- Dean’s Fellowships
- special faculty assignments
- modified instructional duties assignments
- periods of time covered by accrued sick leave

e. Faculty Activity Reports (FAR). Include a copy of the FAR filed by the candidate for each of the last three academic years (i.e., 2011-12, 2012-13, 2013-14).

Faculty who have been at a different institution for any of the past three years may file an annual report submitted to that institution or omit a report for that year.

C.3 TEACHING

a. Budget Council Statement. The budget council must provide a separate document assessing teaching performance that includes both the signatures and typed names of those responsible for preparing it. The statement is required for all tenured, tenure-track, lecturer, clinical and adjunct faculty, as well as research professor faculty that have been assigned a teaching role. The document is to provide an explanation of the evaluation procedures and measures used and the assessment should:

- discuss both student course/instructor evaluations and peer observation reports
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• discuss the candidate’s willingness to teach courses for which there is strong student demand
• describe the balance between undergraduate and graduate teaching, as applicable
• discuss relevant evidence of merit or recognition for teaching excellence
• describe and provide documentation of organized service learning instruction, as applicable
• reflect familiarity with the teaching portfolio
• describe participation on graduate committees
• describe supervision of postdoctoral students, as applicable
• consider any special circumstances concerning the faculty member’s teaching performance, including any innovative contributions described (e.g., innovative teaching methods, use of instructional technology, interdisciplinary teaching, innovative curriculum development activities, supervision of undergraduate special project courses)

In addition to the budget council assessment, the teaching section of each candidate’s dossier must contain the following supporting documentation:

b. Teaching Statement. The candidate must provide in four (4) pages or less a personal statement of teaching philosophy, educational goals for the courses taught and how they were accomplished, description of any innovations or unique methods, specific areas of demonstrated improvement, and other material in a manner that will provide colleagues with a context for interpreting other evaluative information.

c. Peer Classroom Observation Reports. These reports are broad observations of the candidate’s effectiveness as a teacher at the graduate and/or undergraduate levels by those faculty members conducting the in-class observations. The reports should cover such elements as presentation, course content, organization, clarity of written materials, rigor and fairness of written examinations, appropriateness of methodology, and student outcomes.

Peer observations of classes should be carried out repeatedly in the evaluation period of the candidate, ideally in the same class over the course of multiple semesters. Particular attention should be paid to giving constructive advice during early observations, then following up with specific progress reports in subsequent semesters observing the same class. Include in the dossier all reports of in-class observations conducted while in rank. Observation reports for the fall semester during which the candidate for promotion is expected to be reviewed (i.e., Fall 2014) should not be used unless absolutely necessary (i.e., this is the only semester for which the observation is possible). The budget council is to consider the peer observations in their assessment of the candidate’s teaching service record. Each peer observation report is to include:

• number and title of course observed
• date of report
• date of classroom observation
• description of methods by which instructor engages students in learning
• date on which the observation was discussed with the candidate
• constructive advice
• any specific improvement from previous peer observation reports
• name and signature of observer(s)

Information on how to conduct a peer classroom observation is available on the Center for Teaching and Learning’s Web page at:
http://ctl.utexas.edu/teaching/peer_review/observation_guidelines
d. Candidate's Instructional Activities. Provide a chart by academic year of all courses taught during the applicable period:

| Candidates for tenure and instructors to assistant: | Entire probationary period |
| All other candidates: | Previous three years (i.e., 2011-12 through 2013-14) |

Note: The Center for Teaching and Learning (CTL) will prepare a Summary of Recent Course-Instructor Survey Results through the Spring 2014 term for each faculty member being considered for promotion as reported by the dean. The summary will be based on the basic and expanded CIS forms and will include the applicable period for each candidate.

The Provost's Office will distribute this information to the deans and department chairs in early June, and department chairs/deans should use the summary to comply with this requirement, where possible.

If the dean chooses not to use the CTL Summary, or candidates did not use the basic or expanded form, then the dean is responsible for developing a format for college-wide use.

e. Originals of the most recent three academic years (i.e., 2011-12 through 2013-14) Course-Instructor Survey summary evaluations. Candidates who have taught at other institutions during the last three years may submit evaluations from those courses.

f. Report of graduate student supervision as provided by the Graduate School via the Committee Report on Masters and Doctoral Theses. The Provost's Office will distribute this report to the deans and department chairs in early September for each faculty member being considered for promotion as reported by the dean.

g. Postdoctoral Fellows Supervised. Provide a list of postdoctoral fellows supervised with name, institution awarding the Ph.D., and date conferred. If none were supervised, insert separate page with the statement, "No postdoctoral fellows were supervised."

h. Originals of all Students' Written Comments for the last three years (i.e., 2011-12 through 2013-14) are to be provided in a separate folder clearly labeled (e.g., J. J. Smith - CIS Student Comments), and included with Supplemental Materials (See section C.9).

i. Teaching Portfolio. The candidate (including research faculty whose assigned duties include teaching) is to develop an extensive teaching portfolio for department or college/school review. The portfolio does not accompany the dossier beyond the dean's office. The following items are examples of materials appropriate for a portfolio: syllabi, handouts, problem sets, and other written materials developed for courses; computer-assisted instructional aids; examinations.

For information on compiling a teaching portfolio, candidates for promotion may wish to consult information provided by the Center for Teaching and Learning (CTL) at: http://ctl.utexas.edu/teaching/peer_review/teaching_portfolio Budget council members also are encouraged to consult with CTL staff on how to evaluate a teaching portfolio.
C.4 RESEARCH/SCHOLARSHIP/CREATIVITY

a. Budget Council Statement. The budget council is to summarize research/scholarly/creative contributions in a separate document that includes the typed names and signatures of the members responsible for preparing the statement. The statement is required for all tenured, tenure-track, and research professor faculty as well as faculty in lecturer, clinical and adjunct titles for whom this is one of the areas of performance excellence selected for review. The summary statement should:

• describe which area(s) of the field is the focus of the faculty member’s work
• identify and comment on those items that are considered to be of major significance or outstanding quality while in rank at UT Austin or since the most recent promotion, as appropriate.
• include a brief statement of the basis for qualitative judgments in the area or discipline
• describe how the budget council evaluators conducted their review, including the standards used
• be clear about the norms of the field and indicate, for example, the quality of the outlets for a candidate’s work (i.e., journals, presses, art galleries, performance venues, etc.)
• explain the norms of co-authorship, where applicable, and whether a peer review was involved
• explain, where applicable, reasons for counting non-traditional outlets favorably for research/scholarly/creative activity, (e.g., textbooks, continuing education presentations, governmental or industrial service, etc.)
• for tenure-track candidates, make clear the level of independent scholarly activity while at UT Austin
• for tenure-track candidates with a book publication, indicate whether the book is derived from the doctoral dissertation, and if so, to what extent it has been expanded or modified

b. Scholarly Works. Copies of scholarly works must accompany the dossier as far as the Dean’s Office. The dean is responsible for ensuring that the scholarly works correspond to the vitae.

• Candidates being considered for tenure include all scholarly works.
• Other candidates include all scholarly works produced while in rank.

c. Five Most Significant Works. The internal and external review may concentrate on a smaller set of publications that are considered to be the most significant. The candidate is to make the selection of the five most significant works. Tenured associate professor candidates for promotion to full professor should select the five most significant works while in their current rank. Include a listing of the five works in the dossier.

One set of the five most significant works should accompany the dossier as far as the central administration. Place them with the other supplemental materials (see section C.9) in a separate folder labeled accordingly, not in the dossier.

d. Research Statement. The candidate must provide in four (4) pages or less a statement of goals and accomplishments in the area of research, scholarship, and creativity. Candidates for promotion to the rank of associate professor should focus primarily on accomplishments since first appointment as assistant professor (which may include work as an assistant professor at another institution), and are encouraged to articulate a plan for sustaining their program. All other candidates should focus primarily on accomplishments while in rank.
a. Budget Council Statement. The budget council is to summarize academic advising responsibilities in a separate document that includes the signatures and typed names of those preparing it. The statement is required for all tenured, tenure-track, and research professor faculty as well as faculty in lecturer, clinical and adjunct titles for whom this is one of the areas of performance excellence selected for review. The statement should describe and assess responsibilities at both the undergraduate and graduate levels during at least the last three years of service (where applicable) and describe other activities in support of the instructional process. Items to be considered in the assessment:

- how the candidate has assisted in advising undergraduate, graduate and postdoctoral students
- service as undergraduate adviser or graduate adviser is especially noteworthy and deserves particular attention
- individual instruction
- advising majors for registration
- orientation activities for new students
- offering advice to students considering advanced degrees
- offering help with internships and job placement
- advising student organization
- student recruitment and retention activities

C.6 SERVICE TO THE UNIVERSITY AND TO THE NATION, STATE AND COMMUNITY

a. Budget Council Statement. The budget council is to summarize service in a separate document that includes the signatures and typed names of those preparing it. The statement is required for all tenured, tenure-track, and research professor faculty as well as faculty in lecturer, clinical and adjunct titles for whom this is one of the areas of performance excellence selected for review. The statement should address the candidate’s contributions in the two broad service areas during at least the last three years, describe the nature of activities cited in support of the recommendation, and assess the quality of the service contributions.

1) Administrative and Committee Service. Positions of leadership, such as chairing a committee, are to be noted in particular.

2) Academic and Professionally Related Public Service. Outstanding service in scholarly or professional organizations, in particular, and its significance should be noted, for example, whether an editorship is of a highly respected refereed journal, or whether an elected office is in a significant scholarly organization. A distinction is to be made between editorship of a journal and membership on a large editorial board.

Note: Significant administrative and committee service to the department, college, or university along with academic or professionally related public service activities is to be listed in the curriculum vitae (see section C.2).

C.7 HONORS AND OTHER EVIDENCE OF MERIT OR RECOGNITION, INCLUDING CONTRACTS AND GRANTS

a. Budget Council Statement. The budget council is to summarize honors in a separate document that includes the signatures and typed names of those preparing it. The statement is required for all tenured, tenure-track, and research professor faculty as well as faculty in lecturer, clinical and adjunct titles for whom this is one of the areas of performance excellence selected for review. The statement should describe and assess the relevant evidence of exceptional academic or professional merit, as manifested by contracts and grants, medals, fellowships, invitations to speak (e.g., at other universities, at professional society meetings, and in other venues), election to office in scholarly or professional organizations, or other honors received.
1) **Special Honors.** Departmental statements on special honors should note the relative prestige of any honors or other professional recognition that the candidate may have received. It is important to distinguish between those awards made on the basis of promise and those awarded on the basis of accomplishment.

2) **External Funding.** Actively seeking and successfully obtaining external funding is a consideration for promotion in those departments where external funding is the norm. If external funding is not the norm, a comment to that effect should be part of the department's statement.

### C.8 LETTERS OF REFERENCE/RECOMMENDATION/EVALUATION

a. A **minimum of four external review letters** must be compiled that evaluate the contributions and accomplishments of the candidate.

b. **Tenured and Tenure-Track Titles.** All letters must come from external reviewers from peer institutions/programs who have an understanding of the academic setting and the standards against which the area benchmarks itself. The emphasis of the review is to evaluate the research/scholarly/creative contributions and other accomplishment of the candidate, and to summarize his or her professional standing.

c. **Lecturer, Clinical, and Adjunct Titles.** All four letters may come from internal reviewers unless research/scholarly/creative contribution is one of the areas selected for review, in which case two of the four letters must be from external reviewers. All contributions and accomplishments of these candidates should be evaluated where applicable, but special emphasis should be given to teaching performance and the other principal contribution area(s) selected.

d. **Research Professor Titles.** At least three of the four letters must come from external reviewers. The emphasis of the review is on research performance and the candidate’s overall academic-related service.

e. Responsibility for finalizing a list of appropriate external reviewers rests with the department chair/budget council. The candidate and the chair/budget council shall separately develop a list of arm’s length external reviewers using the following considerations:
   - seek out credible reviewers knowledgeable about the scholarly expectations of a peer research university
   - avoid conflicts of interest, e.g., dissertation chairs, postdoctoral mentors, co-authors, co-principal investigators, and collaborators
   - use recognized experts at peer institutions
   - provide an explanation for any deviations from these considerations (e.g., why a collaborator was chosen, etc.)

As a general rule, about half of the reviewers are to be chosen from the candidate’s preference list. The candidate must be given the opportunity to review the list of outside reviewers before the solicitation letter is sent (see sections B.1.a and B.2.b).

f. **Solicitation Letter.** Sample letters for departments and schools to use in soliciting letters from reviewers are available at [http://www.utexas.edu/provost/policies/evaluation/tenure/](http://www.utexas.edu/provost/policies/evaluation/tenure/). Departments and colleges/schools may tailor these letters to their individual circumstances. However, all referees must be informed that, under Texas law, we cannot ensure the confidentiality of letters from reviewers. Letter writers also must be informed of any extension to the probationary period.

g. **Chart of Reviewers.** All solicited review letters received concerning a candidate must be included in the candidate’s dossier. The department is to prepare a statement or chart of all reviewers solicited. Group by Received, Declined, and No Response, and list in alphabetical order by last name within each group providing the following information:
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- name and rank or title of reviewer
- name of institution (including the department) or other agency with which the reviewer is affiliated
- brief statement about the profession/academic stature of the reviewer and why they were selected
- other relevant information about the reviewer that would assist those involved in the process who are not practitioner’s in the candidate’s field
- indicate whether selected by department or candidate
- indicate date received for letters and declinations
- include the reason for declination, if provided

h. Sample Letter. Insert a sample of the solicitation letter sent to the reviewers, including a list of the five most significant works and any other materials that were sent for evaluation.

i. Letters Received. Place the letters in alphabetical order by last name. All solicited letters received must be included in the candidate’s dossier. A short version (preferably no longer than one page) of the referee’s CV or résumé is to be included behind each letter.

j. Declinations. Place any declination correspondence in alphabetical order by last name behind the letters received. A CV is not required.

C.9 ADDITIONAL STATEMENTS

Any additional, non-required statements added to the file as a result of the candidate’s review before budget council deliberations (sections B.1.b and B.2.c) or received after the candidate’s review (section B.1.c) shall be date stamped and placed in a separate folder clearly labeled (e.g., J. J. Smith – Additional Statements).

C.10 SUPPLEMENTAL MATERIALS

Supplemental materials shall accompany the promotion file at each level of review and be made available to all internal parties to whom its content is relevant for their review, deliberations and/or vote.

a. Five Most Significant Works. As stated in section C.4.d, one set of the five most significant works should accompany the dossier as far as the central administration. Place in a separate folder clearly labeled, (e.g., J. J. Smith – Five Most Significant Works). Do not include in the dossier.

b. Student Written Comments. As stated in section C.3.g, include originals of all students’ written comments for the last three years (i.e., 2010-11 through 2012-13). Place in a separate folder clearly labeled (e.g., J. J. Smith - CIS Student Comments).

c. Discretionary Items. In addition to the required materials described in these Guidelines, candidates have the discretion to include any materials that they believe are relevant to the promotion or tenure decision. Place in a separate folder clearly labeled supplemental (e.g., J. J. Smith - Supplemental Materials) and provide a table of contents.
Section D Outcomes

D.1 ANNOUNCEMENT OF DECISIONS

The Office of the President will formally notify deans of the results of the fall promotion conferences, including those pending cases where an action of terminal appointment is being considered. Every effort will be made to do so no later than Wednesday, December 17, 2014. Deans shall ensure that candidates are informed of the decisions made about their cases within three (3) business days of receiving notification from the president.

All terminal appointment pending cases will be revisited by the President’s Committee in February. Final arguments (see section D.2), if submitted, will be considered at this time. The president will endeavor to notify deans of the final action on Terminal Appointment Pending cases by Friday, February 20, 2015 (except for cases under review by CCAFR, see section D.3).

D.2 FINAL ARGUMENTS IN TERMINAL APPOINTMENT PENDING CASES

A candidate whose case is Terminal Appointment Pending may present further arguments to the president before the case is decided. A candidate wishing to submit final arguments must notify the Provost's Office of the intent to submit such arguments, with a copy to the dean by Monday, January 12, 2015. Notification to the provost can be satisfied by sending an email to evpp.aps@utlists.utexas.edu.

Address final arguments to the president and deliver (hard copy) to the Provost’s Office, Main Building 201, not later than six (6) weeks (counting calendar days) from the date of being notified or Friday, January 30, 2015, whichever is later. The president will refer the written arguments to the department and college/school for additional comment before reaching a final decision.

D.3 REQUEST FOR REVIEW BY COMMITTEE OF COUNSEL ON ACADEMIC FREEDOM AND RESPONSIBILITY (CCAFR)

The candidate or the president may request a review of the case by the Committee of Counsel on Academic Freedom and Responsibility (CCAFR). Such a review is limited to one or both of the following: 1) to determine whether, in its judgment, the procedures followed in the candidate’s case accorded with both the university’s and commonly accepted professional standards for promotion and tenure; and 2) whether the decision was based upon a violation of the faculty member’s academic freedom. CCAFR shall not review disputes about professional judgments on the merits of the faculty member’s record.

A request for review shall describe the procedural irregularity being asserted and/or the alleged violation of academic freedom being asserted and how it impacted the decision. Candidates have six (6) weeks (counting calendar days) from the date of being notified or Friday, January 30, 2015, whichever is later to submit a request for review to CCAFR (Office of the General Faculty, WMB 2.102, F9500) and provide a copy to the provost (MAI 201, G1000). The provost will distribute copies of the request to the dean and department chair.

CCAFR may delegate its work to a subcommittee of no fewer than three members. CCAFR shall report to the president, with a copy to the candidate, by Friday, February 27, 2015. The president will consider the subcommittee’s report and advise CCAFR of the outcome of the case. The president may extend the time for the subcommittee to perform its work.
D.4 RECONSIDERATION OF A PROMOTION AND TENURE DECISION IN THE TERMINAL YEAR

The university has no obligation to provide a faculty member with reconsideration of a tenure decision during the terminal year, however, a department may request it based on submission of substantial new evidence by the candidate. The department is responsible for assessing whether new evidence of productivity presented by a candidate is substantial in nature and sufficiently compelling to merit reconsideration of the decision. Such a review is to examine any new evidence (i.e., evidence not previously considered) to determine whether it clearly demonstrates that the decision made the prior year should be reversed.

If a determination of compelling new evidence is made in a terminal year case, the department will prepare a new promotion file focusing on the new evidence and submit this, along with the previous year’s dossier, to each level in the review process. The budget council shall prepare an assessment of the new evidence put forward in each service area.

Reconsideration during the terminal appointment year does not entitle a candidate to an additional terminal year.

D.5 GRIEVANCES

a) Use of Grievance Process. Nothing in this document is intended to alter a candidate’s right to use the university’s existing grievance processes as described in HOP 2-2310.

b) Grievance of a Terminal Appointment Decision. An individual who alleges evidence of an infringement of the Constitution or laws of Texas or the United States may present a grievance in person or through a representative, to the provost, who shall meet with the faculty member. A faculty member may request a review by a hearing tribunal by submitting a written request to the president describing in detail the facts relied upon to prove that the decision was made for reasons that are unlawful. If the president determines that the alleged facts, if proven by credible evidence, support a conclusion that the decision was made for unlawful reasons, such allegations shall be heard by a hearing tribunal in accordance with procedures in Series 31008, Number 2, Section 6.2 of the Regents’ Rules and Regulations and the institutional faculty grievance procedure HOP 2-2310.

D.6 RESOURCES

- For assistance with the General Guidelines or the promotion and tenure process generally: Office of the Executive Vice President and Provost at 471-0240 or evpp.aps@utlists.utexas.edu
- To speak with a neutral third party about individual concerns: Faculty Ombudsperson at 471-5866
- For questions about procedural or academic freedom concerns: Chair of the Committee of Counsel on Academic Freedom and Responsibility (CCAFR) through the Office of the General Faculty at 471-5934
Appendix A
Summary of Dossier Preparation

Recommendations:

- Change in Rank Form
- Dean's Statement
- Department Chair’s Statement
- Joint Department Chair’s Statement (if applicable)
- Courtesy Department Chair or Center Director’s Statement (if applicable)
- Affiliated Unit’s Statement (optional)
- Research Unit’s Statement (required for Research Professor titles)

CV and other information:

- CV
- Statement of Co-Authored Works with division of duties
- Statement of Works Forthcoming with each item identified as accepted, under contract, or in press
- Letters of Acceptance for works accepted, under contract, or in press with each document numbered as indicated on the CV
- Faculty Activity Reports for last three academic years (2011-12 through 2013-14)
- Dates for Leaves of Absence Without Pay – entire period in rank for tenure-track; previous five years for tenured (2011-12 through 2013-14); non-tenure track is not applicable

Teaching Section:

- Budget Council Statement with typed names and signatures of preparers
- Candidate Teaching Statement not to exceed four pages
- Peer Classroom Observation Reports with typed names and signatures of observer(s) – include all conducted while in rank
- “Summary of Recent Course Instructor Survey Results” – entire period in rank for tenure-track; previous three years for all other candidates (2011-12 through 2013-14)
- Individual “Course Instructor Survey” reports – most recent three academic years (2011-12 through 2013-14)
- Committee Report of Masters and Doctoral Theses
- Listing of Postdoctoral Fellows Supervised

Research/Scholarship/Creativity Section:

- Budget Council Statement with typed names and signatures of preparers
- List of Five Most Significant Works
- Candidate Research Statement not to exceed four pages
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Advising Section:

____ Budget Council Statement with typed names and signatures of preparers

Service Section:

____ Budget Council Statement with typed names and signatures of preparers

Honors Section:

____ Budget Council Statement with typed names and signatures of preparers

Letters Section:

____ Chart of Reviewers grouped by Received, Declined, and No Response
____ Sample of Solicitation Letter
____ List of Five Most Significant Works and any other materials that were sent for evaluation
____ Letters in alphabetical order by last name. A one page CV or resume behind each letter.
____ Declinations in alphabetical order by last name. No CV required.

Separate Folders

Additional Statements:

____ Any non-required statements or information added to the file as a result of the candidate’s review before the budget council deliberations or received afterwards during the course of the review process.

Supplemental Materials:

____ One set of five most significant works
____ Original student written comments
____ Discretionary items with table of content
Extension of probationary period

You should request an extension of the probationary period whenever appropriate. There is no downside to the request and you can decide later to go up for promotion at the earlier time. The extension will **not** affect the way your file is reviewed during the P&T process.

Regents' Rules and Regulations provide for the extension of the tenure track probationary period for faculty under certain circumstances. An extension of the probationary period is not automatic but is granted in the best interest of The University. In practice, Extension of the Probationary Period is automatic for childbirth or adoption, upon formal notification of the department. The chair is required to notify the dean who, in turn, forwards the request to the Office of the Provost.

A tenure track faculty member who determines that certain personal circumstances may impede his or her progress toward achieving demonstration of eligibility for recommendation of the award of tenure may make a written request for extension of the probationary period specifying the reasons for the requested extension. Personal circumstances that may justify the extension include, but are not restricted to: disability or illness of the faculty member; status of the faculty member as the principal caregiver of a preschool child; or, status of the faculty member as a principal caregiver of a disabled, elderly, or ill member of the family of the faculty member. It is the responsibility of the faculty member to provide appropriate documentation to adequately demonstrate why the request should be granted. The documentation should include substantiation of why the circumstance placed an unreasonable burden upon the ability of the faculty member to meet progress expectations.

Requests for an extension must be submitted to the department chair (or dean in non departmentalized colleges/schools). The request should be made during or in advance of the academic year or semester in which the extension is justified and shall not be made later than the end of the spring semester before the faculty member's sixth year of full-time probationary service ("up-or-out year"). Faculty members should not wait to request an extension but should make the request whenever it becomes clear that circumstances consistent with the policy may warrant it. Also, department chairs who recognize the possible need for a faculty member to request an extension are encouraged to discuss this policy with him or her. The request for an extension shall be limited to one academic year. In exceptional circumstances, a second academic year of extension may be requested and granted. However, the maximum duration of extension, whether consecutive or nonconsecutive, shall be two academic years.

The Executive Vice President and Provost shall decide whether to grant the extension based upon review and consideration of the faculty member's written request and the recommendation of the budget council, department chair, and dean. One consideration will be the faculty member's annual evaluations and record of progress toward eligibility for recommendation of award of tenure prior to the occurrence or circumstance that may justify the extension. The decision of the Executive Vice President and Provost will be
made within 30 days of his or her receipt of the request and all appropriate
documentation unless exceptional circumstances mandate additional time for
consideration.

The approval of an extension will be documented in writing and include the reason(s) for
the extension, the period of the extension and its effect upon the length of the
probationary period, and the plan for the faculty member to meet his or her instructional
and other academic responsibilities during the period of the extension. The faculty
member will sign this document prior to implementation of the extension. The denial of
the extension may be appealed through regular faculty grievance procedures.

Please use the form that follows, which can be downloaded from the CNS Faculty Affairs
website:
http://www.cns.utexas.edu/faculty-affairs/faculty-policies-forms-and-information/46-
deans-office/faculty-affairs/430-extension-of-probationary-period

Requests for extension based on childbirth or adoption should be acknowledged by the
chair and forwarded to the Dean’s office. Other requests should also include Budget
Council and Chair’s recommendations.
Requests should be submitted to the department chair during or in advance of the academic year or semester in which the extension is justified, but no later than the spring semester (May 31) of the fifth year in rank as Assistant Professor.

Extensions are for one academic year. In certain circumstances and in accordance with policy, a second year’s extension may be granted.

Extension of the Probationary Period is automatic for childbirth or adoption, upon formal notification of the department. The chair is required to notify the dean who, in turn, forwards the request to the Office of the Provost. In all instances other than childbirth, Extension of the Probationary Period is never automatic. The faculty member is responsible for providing appropriate documentation regarding personal circumstances that have led to this request for extension of the probationary period.

Reason for request to extend probationary period:

1. Childbirth or Adoption: Year _____ Semester _____

2. Other: ____ Please give reasons. Attach additional pages and supporting documentation if necessary.

Name and EID (printed): ______________________________ (signature): _________________________

Department: ________________________________________ Date: ______________________________

For reasons other than childbirth or adoption:

Budget Council Recommendation: For _____ Against _____ Abstain _____

Chair: ________________________________________________________________________________

Sign and date
What happens if the result of the promotion and tenure decision is unfavorable? If you are an assistant professor going up for promotion and tenure, a negative decision will result in a recommendation for a terminal appointment. This will be a pending decision to allow time for final review. You have the opportunity to present new information or to file a grievance if there were procedural problems.

**Final arguments/Appeal**

All terminal appointment pending cases will be revisited by the President’s Committee in February. The president will endeavor to notify deans of the final action on Terminal Appointment Pending cases by Friday, February 20, 2015 (except for cases under review by CCAFR, see the information on filing a grievance, below).

A candidate whose case is Terminal Appointment Pending may present further arguments to the president before the case is decided. You must notify the Provost’s Office of the intent to submit such arguments, with a copy to Dean Hicke by Monday, January 12, 2015. Notification to the provost can be satisfied by sending an email to evpp.aps@utlists.utexas.edu. Contact the Provost’s office to see you file and read it carefully to identify the weaknesses that influenced the President’s decision. Keep in mind that there is not a right to promotion and tenure. It is a privilege granted by the President if, in his or her opinion, offering you a permanent position at UT will strengthen your department and the institution. Talk with your chair about submitting final arguments and what information you should include. Typically, the final arguments would provide new information about your case. This could be funding of a grant or acceptance of publications in the period after your file was submitted for review. Address final arguments to the president and deliver (hard copy) to the Provost’s Office, Main Building 201, not later than six (6) weeks (counting calendar days) from the date of being notified or Friday, January 30, 2015, whichever is later. The president will refer the written arguments to the department and college/school for additional comment before reaching a final decision.

**Reconsideration**

The university has no obligation to provide a faculty member with reconsideration of a tenure decision during the terminal year. However, a department may request it based on submission of substantial new evidence by the candidate. The department is responsible for assessing whether new evidence of productivity presented by a candidate is substantial in nature and sufficiently compelling to merit reconsideration of the decision. Such a review is to examine any new evidence (i.e., evidence not previously considered) to determine whether it clearly demonstrates that the decision made the prior year should be reversed. If a determination of compelling new evidence is made in a terminal year case, the department will prepare a new promotion file focusing on the new evidence and submit this, along with the previous year’s dossier, to each level in the review process. The budget council will prepare an assessment of the new evidence put forward in each
service area. Reconsideration during the terminal appointment year does not entitle a candidate to an additional terminal year.

Grievance/ request for review by committee of counsel on academic freedom and responsibility (CCAFR)

You or the president may request a review of the case by the Committee of Counsel on Academic Freedom and Responsibility (CCAFR). Such a review is limited to one or both of the following: 1) to determine whether, in its judgment, the procedures followed in the candidate’s case accorded with both the university’s and commonly accepted professional standards for promotion and tenure; and 2) whether the decision was based upon a violation of the faculty member’s academic freedom. CCAFR does not review disputes about professional judgments on the merits of the faculty member’s record. A request for review shall describe the procedural irregularity being asserted and/or the alleged violation of academic freedom being asserted and how it impacted the decision. Candidates have six (6) weeks (counting calendar days) from the date of being notified or Friday, January 30, 2015, whichever is later to submit a request for review to CCAFR (Office of the General Faculty, WMB 2.102, F9500) and provide a copy to the provost (MAI 201, G1000). The provost will distribute copies of the request to the dean and department chair. CCAFR may delegate its work to a subcommittee of no fewer than three members. CCAFR shall report to the president, with a copy to the candidate, by Friday, February 27, 2015. The president will consider the subcommittee’s report and advise CCAFR of the outcome of the case. The president may extend the time for the subcommittee to perform its work.
Faculty separations should be submitted in writing from the faculty member and acknowledged in writing by the chair. Separations are submitted to the Provost through the Dean’s office. Samples of the appropriate forms follow.

- Resignation
- Retirement and phased retirement
- Emeritus
- Modified service
Faculty resigning from the University should submit a letter to the department chair. The chair should acknowledge receipt of the resignation in writing. Schedule a meeting with the faculty member to go over the following:

- If the reasons for the resignation are not clear, talk about those and determine whether changes might be made to preclude losing valued faculty.
- Are there graduate students who will need to be accommodated in other research groups or will the faculty member need an adjunct appointment to continue supervising graduate students who are nearing completion of their degree?
- Make sure all teaching-related duties are completed. All grades should be finalized and any student complaints or other issues should be resolved.
- Laboratory spaces should be cleaned up and any safety issues checked with the Office of Environmental Health and Safety.
- Other department-specific items - Because departments differ in what items need to be done before a faculty member leaves, it is useful for the chair to have a checklist. There is also a University checklist that the faculty member should use for generic items:

Refer the faculty member to the HR website for guidance on completing their separation process:
http://www.utexas.edu/hr/current/separation.html

**Last Day Return Items (for ALL separations)**

Departments should ensure that separating faculty have returned all items listed below:

1. Keys - This includes desk, file cabinet, office, building and vehicle keys.
2. Access Cards
3. Laptops, Computers, Printers and Other Equipment
4. Identification Card
5. Long Distance Card
6. Mobile Devices
7. University Records
8. Departmental Parking Tags/Cards
9. Credit Cards
10. Pro Card
11. Any items purchased with university funds including endowment funds (not limited to books, media, furnishings, and research materials.)
Faculty members may choose to retire completely or to phase-in the retirement by various combinations of partial appointments. Phased Retirement is allowed only after a determination that part-time continued appointment not only benefits the individual faculty member retiree but also will result in a significant benefit to The University. Appointment to Phased Retirement is for a specific period of time not to exceed three academic years. Such appointments terminate at the expiration of the Phased Retirement period and existing policies of The University related to modified service and/or emeritus faculty status apply. Phased retirement refers to reduced appointments in teaching service, and/or scholarship to assist an individual in preparing for full retirement. A post-retirement contract is entered into for up to three years. The tenured faculty member officially retires, then maintains a part-time (50% or 25%) term appointment without tenure until the expiration of the contract. For Planned Phased Retirement, there is an agreed plan for phasing the faculty appointment from 100% to full retirement. The plan will include the semesters involved, the percentage of appointment, workload and academic duties, and compensation.

For retirement or phased retirement requires forms that are completed by the chair and the retiree.

**Retirement or phased retirement checklist for chair***

Upon expressed interest by the faculty member, give potential retiree a personalized cover letter along with attachments listed.

___ Encourage faculty member to seek personal legal and financial advice and to contact the Human Resource Service Center directly at 512-471-4772 (HRSC).

___ Receive letter of decision and/or Phased Retirement contract from faculty member.

___ Present copy of letter/ Phased Retirement contract to any other departments where the faculty member holds an appointment, even zero time.

___ Present retirement info to Budget Council or Executive Council for recommendations regarding Phased Retirement and Emeritus status.

___ Have staff process retirement letter and/or Phased Retirement contract with transmittal sheet.

___ Provide original letter and/or Phased Retirement contract to staff administrator for processing.

___ Upon receiving an official resignation or retirement letter, write an official acceptance of the resignation/retirement effective XX/XX/XX.

___ Talk with Chris Rosales about returning portion of released funds to Dean's Reserve.

___ Inform staff administrator of any action involving return of funds.

Details of the phased-retirement process are found at:

http://www.policies.utexas.edu/policies/phased-retirement-tenured-faculty
For retirement or phased retirement, refer the faculty member to the HR website for guidance on completing their separation process:
http://www.utexas.edu/hr/current/separation.html

**Last Day Return Items (for ALL separations)**

Departments should ensure that the separating faculty have returned all items listed below:

1. Keys - This includes desk, file cabinet, office, building and vehicle keys.
2. Access Cards
3. Laptops, Computers, Printers and Other Equipment
4. Identification Card
5. Long Distance Card
6. Mobile Devices
7. University Records
8. Departmental Parking Tags/Cards
9. Credit Cards
10. Pro Card
11. Any items purchased with university funds including endowment funds (not limited to books, media, furnishings, and research materials.)
Pre-Retirement Checklist

This checklist is designed to help you through some of the important steps in planning for retirement. As you make the transition to retirement, we recommend that you do the following to avoid a gap in your benefits:

☐ **Attend TXClass PN400: “Retiring from UT Austin”**  
   Date Completed: _________  
   This session provides an overview of retiree insurance enrollment, eligibility, premium billing and payment, Social Security, Medicare and coordination with UT insurance, returning to work after retirement, and getting started with TRS or ORP. Session is offered the 2nd Wednesday every month. Register online at https://utdirect.utexas.edu/txclass/index.WBX.

☐ **UT Retiree Insurance Enrollment**  
   Date Completed: _________  
   Your insurance will not automatically continue when you retire. You must complete and submit forms to Human Resource Service Center (HRSC) prior to your retirement date (submit 31 days prior is preferred). For eligibility and enrollment information, see “Retiree Insurance Benefit Overview,” http://www.utexas.edu/hr/retiree/insurance/insurance.html.

➤ **Submit to HRSC:**
   - Insurance Enrollment/Change for Retirees
   - Dependent Information form & copy of proof of relationship document *(form and proof document required if adding a dependent not previously covered)*
   - Automatic Payment Request Authorization *(optional)*
   - Copy of TRS 30, Application for Service Retirement *(TRS participants only)*
   - ORP Declaration of Retirement *(ORP participants only)*

   **These forms are also available online at http://www.utexas.edu/hr/retiree/forms**

☐ **Group Term Life Conversion**  
   Date Completed: _________  
   If converting coverage greater than $50,000 to Individual Whole Life, contact HRSC for an application no later than 31 days after your retirement date. Information and premiums at http://www.fdl-life.com/ut/lang_en/employees/employees.htm, or phone 800-538-0379.

☐ **Long Term Care**  
   Date Completed: _________  
   Contact CNA at 888-825-0353 or https://www.ltcbenefits.com/Home.asp no later than 31 days after your retirement date to request a direct billing to your home address.

☐ **Personal Information**  
   Date Completed: _________  
   Before you retire, ensure your address and emergency contact information is current via UT Direct at https://utdirect.utexas.edu/pnbiog or submit Personal Information Update form to HRSC.

☐ **Beneficiary Designation**  
   Date Completed: _________  
   Complete the secure online beneficiary designation form for your UT Group Term Life Benefits. Log in to My UT Benefits with your EID and password: www.utsystem.edu/benefits/myutbenefits.
**Turn Unused Annual Leave into Retirement Savings**
Date Completed: __________
You may defer any portion (up to maximum annual contribution limit) of your unused annual leave (vacation) and floating holiday to a UTSaver 457(b) DCP. No federal income tax will be withheld from the amount deferred, only Medicare and SS. To participate, submit a *Purchase/Change Agreement* form to HRSC before your last day of employment. Information and form available online: [http://www.utsystem.edu/benefits/retirement/UTSaver457b_defer.htm](http://www.utsystem.edu/benefits/retirement/UTSaver457b_defer.htm)

**Medicare** (available at age 65 or younger if due to a disability) Date Completed: __________
Contact the Social Security Administration (SSA) at least 3 months before you need benefits to begin. Enroll in Medicare Parts A and B at [www.medicare.gov](http://www.medicare.gov) or phone 800-772-1213. If over age 65 when you apply, request forms CMS-40B and CMS-L564. Take form CMS-L564 to Human Resource Service Center to complete.

**Social Security Benefits** (available at age 62 or older) Date Completed: __________
Contact the SSA about 3 months before the date you want your benefits to start. Apply online at [www.ssa.gov](http://www.ssa.gov), visit any Social Security office or phone 800-772-1213.

**Teacher Retirement System (TRS Members Only)** Date Completed: __________
Contact TRS at [www.trs.state.tx.us](http://www.trs.state.tx.us), or phone 512-542-6400, 6 months prior to retirement (preferred) to allow sufficient time for completion of TRS required forms.

**Optional Retirement Program (ORP Participants Only)** Date Completed: __________
Contact your ORP provider or financial advisor 3 months before retirement to review distribution options and beneficiary designations.
- For a list of current “Approved Providers”, go to [www.utretirement.utsystem.edu](http://www.utretirement.utsystem.edu).
- Contact HRSC just prior your retirement date to request a *Vesting/Termination Status Form* be sent to your ORP provider(s) after your last paycheck is issued.

**UTSaver Program (prior or current participants only)** Date Completed: __________
Participants of UTSaver TSA 403(b) and UTSaver DCP 457(b) should contact their provider or financial advisor at least 3 months before retirement to review distribution options and beneficiary designations. For a list of current “Approved Providers”, go to [www.utretirement.utsystem.edu](http://www.utretirement.utsystem.edu).
- Cancel current UTSaver participation as of 1st of month following employment separation.

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Human Resource Service Center
Website: [www.utexas.edu/hr](http://www.utexas.edu/hr)
Email: hrsc@austin.utexas.edu
Fax: 512-232-3524; phone: 512-471-4772
Campus Mail Address: HRSC, J5600
U.S. Mail Address: P.O. Box V, Austin, TX 78713
Location: North Office Building A, 2nd Floor Lobby
101 E. 27th St., Austin, TX 78713

Updated 5/2011
Emeritus faculty

The University of Texas recognizes faculty members’ distinguished service and distinction at the University by conferring emeritus titles effective upon retirement. The conferring of these titles is not automatic upon retirement. The department nomination should include justification for the title. Emeritus titles may be given to a retired member of the faculty or in anticipation of the retirement of a faculty member, effective upon retirement.

Process:

1. Budget Council or EC vote to give emeritus status to faculty member.
2. The Department Chair sends the Dean a brief request to nominate the candidate for emeritus status. The memo should be accompanied by a current CV of the candidate. The letter should state what the departmental vote was and explain why this person should be an emeritus.
3. After reviewing the nomination packet, and if in agreement with the recommendation, the Dean will review and forward the packet to the Provost for final approval.
4. Departments will be notified by the dean's office once the emeritus request has been approved.

*Emeritus nomination letters should be done as early as possible. The Provost’s Office appreciates knowing who has been nominated as emeritus prior to the provost's annual faculty retirement dinner, held in May, so that all retirees designated emeritus can be recognized.*

Holders of emeritus titles will be granted the following privileges and perquisites:

- Membership (without vote) in the General Faculty and in the college and department faculties in which membership was held at the time of retirement.
- Eligibility to serve on graduate committees, subject to the approval of the senior vice provost and dean of graduate studies.
- Listing in the faculty directory and in the appropriate college catalog.
- Use of the campus mail service.
- Office space, when available and with the approval of the chair of the department, the dean of the college or school, and the president.
- Holders of an emeritus title will be granted all privileges and perquisites of retired faculty.
A faculty member who has retired can be appointed to modified service if it is determined that this will result in a significant benefit to the University.

Appointment to modified service is for no more than half-time and does not exceed one academic year. Appointment to modified service may be renewed in writing for successive terms of one academic year if the University determines that it is of significant benefit. Faculty will not be considered for appointment to modified service to teach during a summer session.

A faculty member who wishes to be considered for appointment to modified service should submit a request in writing to the department chairman during the fiscal year in which he or she has decided to retire, before the budget is prepared for the following year. Requests for renewals of modified service appointments shall be submitted to the chairman each successive year.

**Review and prior approval process**

The department chair should do the following:

1. Review the request with respect to the program requirements of the department
2. Review the request with respect to the impact on the instructional budget
3. Recommend to the Dean whether or not the modified service will result in significant benefit to the department and the University.
4. Submit a PAR with a recommendation for appointment to modified service

If the Dean agrees that the appointment or reappointment to modified service will benefit the University, she will forward the recommendation to the President.
<Date>

XXXXXXXXXX
XXXXXXXXXX

Dear <Candidate’s Name>:

The Dean of the College of Natural Sciences has authorized me to offer you an appointment to the following faculty position in the Department of <Department of> at The University of Texas at Austin:

<table>
<thead>
<tr>
<th>Title</th>
<th>Professor (Modified Service)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Period of Appointment</td>
<td>XX/XX/XX – XX/XX/XX</td>
</tr>
<tr>
<td>Percent Time</td>
<td>50.00%</td>
</tr>
<tr>
<td>Nine-month Academic Rate</td>
<td>$XX,XXX</td>
</tr>
<tr>
<td>Total Stipend</td>
<td>$XX,XXX</td>
</tr>
</tbody>
</table>

This temporary appointment is without tenure and for the above-stated period only.

This appointment is without tenure and is subject to confirmation by the Board of Regents of The University of Texas System. All faculty, administrators, and staff are subject to the relevant provisions of the Rules and Regulations of the Board of Regents and the Handbook of Operating Procedures of The University of Texas at Austin. The salary figure represents the gross salary and is subject to deductions as required by federal and state law and, if permitted by law, such other deductions as you may authorize.

Your teaching assignment will be <number> section(s) of <course number and title>. Should enrollment fluctuate, causing cancellation of any course section you have been assigned to teach, the percent time of your appointment or your assignment may be adjusted in accordance College policy. As a member of our teaching faculty, you will be expected to participate in the course-instructor evaluations.

It is recommended that you check with Human Resource Services – Insurance and Retirement concerning your insurance status while on modified service appointment. Normally, so long as your appointment is half time for the semester, your primary insurance coverage will be through your UT Austin insurance plan.

This offer is contingent upon satisfactory completion of a credentialing requirement that the University must satisfy for institutional accreditation. If you have not previously completed the enclosed Official Degree Certification Authorization for Current Faculty form, you will need to do so at this time and return it to the department for forwarding to the provost's office for processing. If you have completed the form, please let me know this, so we can report this information to the provost's office.

Please indicate your acceptance of this appointment by signing the original of this letter and returning it to me. The copy should be retained for your records. Don’t hesitate to contact me if you have any questions about this appointment.
Sincerely,

<Name>
Department Chair

Enclosure: Official Transcript Authorization for New Faculty

cc: Executive Vice President and Provost Gregory Fenves
    Senior Vice Provost for Faculty Affairs Janet Dukerich
    Dean Linda A. Hicke, College of Natural Sciences
    Associate Dean for Faculty Affairs Shelley Payne

I accept this offer of appointment:

<Candidate’s name>  Date
Faculty Mentoring

Mentoring is an important part of incorporating faculty into the culture of the department and University and is critical for ensuring the success of new faculty. New faculty have the right to expect mentoring, and more senior faculty should actively participate in dispensing their accumulated wisdom. The chair should assign mentors with input from both the mentor and the new faculty member. The mentoring relationship should be monitored periodically, and if the mentoring does not appear to be effective, new mentors should be suggested. New faculty members should not hesitate to request a mentor or a change in mentor.

The information that follows addresses the roles of both the mentor and the new faculty member in building an effective mentoring relationship. A copy of the University of Michigan’s Advance Program handbook on getting and giving career advice is also included in section b.
Mentoring teaching

**Teaching**

Effective mentoring will make it much easier for a new faculty member to understand the teaching goals of the department and to use his or her time most effectively in teaching undergraduate and graduate students. Both informal and formal mentoring processes should be used. Good teaching takes little more effort than poor teaching and is significantly more enjoyable for both the student and teacher.

NTT faculty should be assigned mentors for the purpose of development and communication about teaching.

1. **Peer review of teaching**

A well-designed peer review will both assess and instruct the faculty member. There should be a preliminary meeting in which the reviewer discusses the class with the faculty member and get copies of the syllabus, exams and assessment tools, and other materials used in the class. The reviewer should attend at least two class sessions and observe the instructor. After the observations, the reviewer prepares a written evaluation, which becomes part of the file for annual review, merit raises and promotion. The reviewer should provide a copy of the review to the faculty member and schedule a meeting to go over the review. The discussion should cover the goals of the class and whether the content, assessment and use of classroom time are effectively meeting those goals. If there are areas that need improvement, the reviewer should provide advice on specific ways to improve the teaching and available resources. Subsequent peer reviews will consider whether there has been improvement and if the advice has been followed.

2. **Teaching resources:**

The chair should provide a list of faculty members who have received teaching awards or recognition and who are willing to advise new faculty (or established faculty who want to improve or revitalize their teaching. New faculty members are encouraged to attend classes taught by these faculty, to look at their teaching materials and to ask them for help. Talk with your chair or faculty mentor about the services offered by the Center for Teaching and Learning and other campus resources.

3. **Mentoring graduate teaching**

Observing a lecture class is a relatively well-defined process, and there are good models in every department for mentoring undergraduate teaching. However, mentoring graduate teaching is more complex. Faculty are expected to train graduate students in their area of research, and many faculty will simply re-create their own graduate experience. This is not always a good plan. The teaching or research mentor should discuss mentoring graduate students and provide advice on effective graduate education. This should include effective communication with graduate students, making research expectations clear, understanding the financing of graduate students’ education,
Mentoring teaching

recognizing emotional problems, and dealing with conflicts within a research group. Faculty don’t arrive in the department with training in these areas, (and many never develop expertise in these areas).
The research mentor may be the same person as the teaching mentor or may be another faculty member, often one in the same area of research. There will be some overlap, particularly in the area of graduate student training. The research mentor will help a beginning faculty member understand what is needed to establish a highly regarded, independent research program. The mentor should provide advice on seeking funding for research, when and where to submit articles for publication, attendance and presentations at meetings, and generally help an assistant professor stay on track for promotion and tenure. A research mentor should read and critique grants and manuscripts prior to submission or help identify other appropriate faculty for critiques. The level of input from the mentor will depend on the individuals being mentored and how successful they are with their grants and publications.

Another area in which the mentor can be very helpful is in laboratory management. Some types of research require large amounts of equipment and reagents and a number of people to conduct the research. Help with navigating OSP, accounting, HR and personnel management, budgeting, and reporting requirement is very helpful.

An excellent resource for new faculty setting up a research program is:
Making the Right Moves, A Practical Guide to Scientific Management for Postdocs and New Faculty
This book, Based on the Burroughs Wellcome Fund and Howard Hughes Medical Institute Course in Scientific Management for the Beginning Academic Investigator, is available free online.
http://www.hhmi.org/sites/default/files/Educational%20Materials/Lab%20Management/Making%20the%20Right%20Moves/moves2.pdf

It covers a range of topics from planning for tenure to data management to getting funded and managing budgets. Every beginning investigator should have a copy of this book on their desk.
Giving and Getting
Career Advice:
A Guide for Junior
and Senior Faculty

Academic Year 2009–10
Giving and Getting Career Advice: A Guide for Junior and Senior Faculty

Table of Contents

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2) What exactly is career advising? Is it the same thing as “mentoring”?
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6) Tips for senior faculty
7) Tips for department chairs and directors
8) Tips for junior faculty
9) Integrating work and personal life: University policies
10) Summary: Questions to ask and to answer
11) Additional resources on career advising and mentoring

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1 This Guide was prepared by Pamela J. Smock and Robin Stephenson, with assistance from Janet E. Malley and Abigail J. Stewart. An early draft was reviewed by several colleagues, who provided valuable advice: Rebecca Bernstein, Aline Cotel, Danielle LaVaque-Manty, Mika LaVaque-Manty, Marvin Parnes, Martha Pollack, Michelle Swanson, Janet Weiss and Nicholas Winter.

For more information or additional copies of this resource, please contact the ADVANCE Program at (734) 647-9359 or advanceprogram@umich.edu, or visit the ADVANCE Program’s Web site at http://sitemaker.umich.edu/advance..
1) Why is career advice important?

Faculty careers develop over time. Along the way, and more than in most occupations, individuals are free to make decisions and choices about how they spend their time and about what they do. Making those decisions requires information and judgment about consequences, since the decisions you make now are likely to matter for the long term. With limited information, individuals lack the basis needed to make informed judgments. That's not likely to lead to the best decisions! And since time is finite, “yes” to a new commitment today also means “no” to a current activity or future opportunity. Career advice from people with information and experience can provide a crucial context for decision-making and career development.

Lack of access to career advice—often because of few opportunities for informal interactions in which information is conveyed casually—is one of the most widely reported barriers to career advancement. Moreover, there is evidence that all women and men of color are particularly likely to suffer career setbacks from lack of career guidance (see e.g., Bowman, Kite, Branscombe & Williams, 1999). In one study (Preston, 2003), one third of women interviewed who exited science cited a lack of guidance as the major factor leading to the exit decision, while none of the men interviewed identified this as a factor influencing exit.

2) What exactly is career advising? Is it the same thing as “mentoring”?

Many people think of “mentoring” as something that is part of the graduate school relationship between an advisor and an advisee, and one in which the advisor sets relatively strong and clear limits on the advisee’s range of choices. To avoid confusing this type of mentorship with the kind of interactions that junior faculty—who should proactively pursue their own career development—need to have with more senior colleagues, we are using the term “career advising” instead of mentoring.

There are many different forms of career advising and all of them are valuable to junior faculty. Some of them may, in fact, be similar to the mentoring of graduate students; but many are not. For example, Zelditch (1990) pointed out that junior faculty need several different kinds of people to help them: “Advisers, people with career experience willing to share their knowledge; supporters, people who give emotional and moral encouragement; tutors, people who give specific feedback on one’s performance; masters, in the sense of an employer to whom one is apprenticed; [and] sponsors, sources of information about, and aid in obtaining opportunities.” In a similar vein, the University of Michigan Gender in Science and Engineering Subcommittee on Faculty Recruitment, Retention and Leadership’s April 2004 Final Report broadly defined a mentor as a person who “facilitates the career and development of another person, usually junior, through one or more of the following activities: providing advice and counseling; providing psychological support; advocating for, promoting, and sponsoring the career of the mentee.”

Senior faculty can provide some or all of these forms of career advice to their junior colleagues. However, it is not feasible or desirable to single out one individual to fulfill all possible mentoring roles or provide all possible kinds of career advice.² For example, a particular faculty member

² While this guide is particularly aimed at the needs of untenured faculty, tenured faculty also need, and should seek, career advice—about the next career stage (e.g., promotion to full professor), or about taking on leadership roles or choosing not to, or about their next project, or next life stage (e.g., the period after children are grown, or retirement).
may be a great example of a programmatic research approach and successful external funding, but may not be a particularly constructive citizen of the department; another may work in an area very distant from junior colleagues’ interests, but be a marvelous teacher and beloved mentor of graduate students; still a third may simply seem to radiate good judgment and a balanced and humane approach to life. Each of these people has valuable things to offer to junior colleagues, but no one of them is likely to be able to help with all aspects of someone else’s career development.

3) What is the goal of providing career advice?

The ultimate goal of giving career advice to junior faculty is to enhance their chances of career success in earning tenure (for instructional faculty) or advancement and promotion (i.e., for research or clinical track faculty) through achievements in scholarship, success in obtaining external funding, teaching, and/or service. Thus, senior faculty can offer information and assistance not only by providing advice about one’s area of scholarship, but by:

- Providing information about promotion and tenure processes
- Demystifying departmental, research center, college, and university culture
- Providing constructive and supportive feedback on specific work or on career progress
- Providing encouragement and support
- Helping to foster important connections and visibility
- Looking out for junior faculty interests

Junior and senior faculty alike should consider these topics for their discussions:

- Inside story on departmental culture
- How to navigate department and institution
- Grant sources; strategies for funding
- Publishing outlets and processes
- Teaching
- Research
- Key conferences to attend
- Service roles inside and outside the University, including work on committees
- Relationships to cultivate
- How to recruit students or post-doctoral fellows to your research group
- Advice about the career ladder and alternative tracks
- How to plan a career trajectory
- External visibility
- Tenure and promotion processes
- Family issues
- National sources of support
- Publishing outlets and processes

4) What are the different forms of career advising?

Where will junior faculty find career advice? We believe they may find it in many kinds of interactions and relationships, including with peers. The following identifies several types of career advising:

Specific (one-on-one) advising: This kind of advice depends on conferring with someone very familiar with specific issues unique to the junior faculty member’s field, or involves direct and
specific feedback from a supervisor such as a department chair. Types of specific advising include:

- Review of current activities and future plans. These may include:
  - research activity, including publishing, grant activity, etc.
  - service activity, on campus and nationally
  - teaching activity, both in formal courses and mentoring students
  - clinical assignments
- Review of documents, like curriculum vitae, annual reports, required professional statements
- Critical feedback in the crucial years prior to tenure reviews or promotions, with delineation of the exact criteria by which that faculty member will be evaluated at the annual or third year review
- Personal advice on sensitive issues that individuals do not feel comfortable discussing in groups
- Identification and facilitation of specific opportunities for faculty members to grow into leadership positions

Group advising: Not all career advice requires one-on-one interaction. “Group advising” refers to advising that can be accomplished for the benefit of multiple individuals simultaneously. Sessions can be led by one or by a few senior faculty and address broad issues such as a collegial conversation about the intellectual concerns of the department or program, developing new courses, teaching evaluations, time management, or policies on tenure.

Zone advising: This refers to interactions with individuals with particular areas of expertise (zones) such as successful grant funding, university service assignments, or teaching and learning resources such as the Center for Research on Learning and Teaching (CRLT). In this variation on the group advising idea, one senior leader can serve as a resource on a particular topic for multiple junior faculty members.

Peer advising: Another variation on group advising is provided by facilitating career-relevant interactions among peers. Junior faculty can assist one another by sharing information, strategies, knowledge about resources, and general moral support. Types of peer advising activities include:

- Dissemination of information on institutional policies similar to the packages provided to all junior faculty/new hires. Topics may include dual career programs, modified duties, delays of the tenure review, leave policies, and work-family resources.
- Guidance in preparation of annual reports and tenure and promotion dossiers.
- Discussion of the level of achievement expected for promotion in various areas (e.g., research, teaching, success at obtaining external funding).
- Communication of eligibility for internal awards and external national and international recognition.

In general, career advising activities can take many forms and do not have to occur in formal settings. In addition, they can include both on-campus and national resources. The following list of potential locations or settings for career advising activities is adapted from the Association for Women in Science (AWIS) website on mentoring: http://www.awis.org/resource/mentoring.html.
Career advising contacts can be through:

- Informal office visits
- Phone calls
- Email
- Meals and coffee breaks
- Campus Events
- Professional society meetings
- “Shadowing” a senior faculty member by agreement
- Poster sessions or other special presentations
- Touring a lab or workplace
- Symposia
- Recreational activities
- Conferences
- Travel support
- Workshops
- Lectures
- Symposia
- Workshops

5) Common issues for junior and senior faculty regarding career advising

1. Think of yourself as establishing a respectful collegial relationship. Try to engage in ongoing conversations with one another. Try to meet at least once each semester to discuss professional development and progress in all key areas. Don’t be invisible or cancel meetings unless absolutely necessary.

2. Work together to define your roles and to set goals. Remember that the career advising process is a two-way street, and you both have to establish the ground rules. This may include agreeing on what you will ask of each other. Things to consider regarding career advising may include:

   - Reading drafts of grants or papers
   - Helping create opportunities or connections
   - Providing feedback about progress
   - Providing advice about teaching issues
   - Providing information about the department
   - Meeting yearly. Every semester. Or monthly

You can avoid letting each other down, or surprising each other, if you have an explicit sense of the nature of your expectations. And of course you both need to listen and be respectful, and recognize that both of you can benefit from these interactions.

3. Don’t expect career advising to be a panacea for every academic and career problem; it can’t address every issue, and no one relationship can encompass all aspects of anyone’s career. Sometimes there are problems or issues that cannot be solved through the career advising process, although often the process can help redirect efforts to other sources of assistance (other faculty, colleagues at other institutions, or even institutional assistance, such as the Center for Research on Learning and Teaching). It’s also true that sometimes you may give or be given genuinely bad advice (usually unintentionally!). A good way to guard against taking bad advice is to gather advice from multiple sources and compare what you hear. And never feel that just because someone gave you advice you have to take it; it’s your career! You’re interested in other people’s perspectives, because they may help you understand or see things you otherwise wouldn’t. But in the end you make the decisions.

4. Finally, like all other human relationships, relationships between junior and senior faculty may produce discomfort, despite everyone’s best intentions. For example, some people (junior or senior) may feel that career advising requires them to expose vulnerabilities they are more
comfortable concealing (a frequent concern of academics, who are occupationally subject to “impostor” anxieties) or to permit another person some degree of “control” over their decisions. A career advising relationship may even lead someone to feel more grateful, or more nurturant, than is comfortable in a professional relationship. If these uncomfortable feelings arise, they should not provoke alarm; instead, they are signs that the relationship may need some adjustment or fine-tuning. It is often possible to gain perspective on uncomfortable feelings like these from another colleague, preferably one not too directly involved with the other faculty member.

6) Tips for senior faculty

As a senior faculty member, you can help shape careers and encourage successful outcomes. You know and can explain the system, pointing out pitfalls, shortcuts, and strategies. Often, junior faculty need to learn what they may not even know to ask.

Think of your own experiences as a junior faculty member and how you achieved your current status. Giving valued advice is usually rewarding for the senior faculty member, as well as for her or his more junior colleague—it can be an invigorating connection with people in touch with the most recent advances in the field you share. But recognize that it is often difficult and intimidating for junior colleagues to articulate their questions and needs, and to approach more senior faculty. Recall that things you say may—without you intending it—lead them to feel more anxious, more inadequate, or hopeless about their own future. It’s important to contextualize your feedback so it is actually constructive rather than undermining, and offers direction rather than simply criticism.

1. Let your junior colleagues know that they are welcome to talk with you—just on one occasion or on a frequent basis. The gift of your full attention is often the most important one you can give a less experienced colleague.

2. Clarify expectations about the extent to which you can, or will, offer guidance concerning personal as well as professional issues. If you are not comfortable assisting in some areas, suggest another faculty member who may be able to assist. Recognize and evaluate what you can offer, and keep in mind that you cannot be expected to fulfill every function.

3. Inform junior faculty about how frequently you will be able to meet with them. Be explicit if you have a heavy travel schedule, are about to take a sabbatical, or will be assuming an administrative position. Discuss alternative means of communication (e.g., email or telephone) and encourage them to consult others who have proven to be reliable advisors. Try always to keep appointments you do make.

4. Provide specific information about as many topics as you can, such as the informal rules of the profession and of navigating the department and institution. Help junior faculty learn what kinds of available institutional support they should seek to further their own career development. Tell them about funds to attend a workshop, for example, or release time for special projects.

5. Recognize that sometimes your own experience is relevant and useful to colleagues who are more junior; hearing accounts of how you accomplished something (or failed to), including obstacles you faced, can help normalize and contextualize experiences
for them. At the same time, it’s good to bear in mind that circumstances change in academia, in the various colleges, units, and in departments. So it’s good to underscore the need for junior colleagues to look into specific rules, policies and practices as they currently exist rather than relying on information passed on anecdotally.

6. Share the “tacit” rules of being successful in the business of research and within the relevant unit with junior colleagues.

7. Provide opportunities for junior colleagues. For example, suggest his/her name to be a discussant at national meetings or other such opportunities that will increase his/her visibility. Generally, take opportunities to promote the junior faculty member’s research.

8. Ask your junior colleague to develop and share a work plan that includes short-term and long-term goals as well as a time frame for reaching those goals.

9. Give criticism as well as praise when warranted. Always present criticism in a private and non-threatening context with specific suggestions for improvement in the future. Rather than emphasize past problems or mistakes, focus on future actions that may remedy or redress those problems.

10. Tell junior faculty where they stand—how they are doing, whether they are meeting your expectations, and if they are showing what it takes to move up. Be specific. Don’t just tell a junior faculty member that it’s necessary to publish more in high-quality journals, but suggest which journals those are, and give guidelines about approximately how many papers to shoot for in those journals before tenure.

11. Take responsibility to encourage junior faculty to be proactive about asking questions, seeking feedback, and making connections with senior colleagues. Take the time to make sure junior faculty are doing so.

12. Communicate. Failing to communicate is the biggest pitfall for all relationships. Remember that face-to-face meetings can often clear up misunderstandings better than email. Problems need to be discussed as soon as possible.

There are a number of specific areas in which you may be in a good position to help, or you may feel it is best to point the junior colleague toward someone who might be a better source of advice. These include:

1. Grantwriting. There are many features of the process of obtaining external funding that are unwritten or vague. Advisors can help by clarifying funders’/referees’ criteria for successful grant proposals. Sharing negative experiences you have had in trying to secure outside funding, and how you managed or overcame them, may also be helpful.

In some fields, junior faculty may be well-served by including senior colleagues as Co-PIs, Co-investigators or consultants in grant proposals. Give junior faculty advice about who might be helpful to include. Also, encourage junior faculty to apply for one of several “early career” grants (e.g., K01-Mentored Career Development Award
[NIH; Young Investigator Award [NSF]) and be available to provide substantial feedback on their early efforts.

2. Fostering networks for your junior colleagues. Whether or not you can provide something a junior colleague needs, suggest other people who might be of assistance: other UM faculty or colleagues from other universities. Introduce your junior colleagues to those with complementary interests within your unit or department, elsewhere on the UM campus, or at other universities. For example, at conferences, a simple introduction at a coffee break or an invitation to join your table for lunch may be sufficient to initiate a lasting advising relationship for a junior colleague.

3. Providing forthright assessments of their research through close readings of their work and trying to provide these assessments in a timely manner.

4. Providing opportunities for junior colleagues. For example, suggest his/her name to be a discussant at national meetings or other such opportunities that will increase his/her visibility. Generally, take opportunities to promote the junior faculty member's research.

7) Tips for department chairs and directors

Department chairs and program directors set the tone for how many faculty in the unit—senior and junior—will view the issue of career advising. If the chair or director does not appear to truly value the practice, or merely gives it lip service, it will be clear to all concerned that it is not a valued activity in the unit. By taking career advising seriously, and consistently communicating that it is part of the responsibility of all faculty, chairs and directors can help create a climate in which better career advising takes place.

1. Build into the evaluations of senior faculty a share of responsibility for mentoring new colleagues. For example, during reviews for merit increases, chairs and directors can take into account the quality and quantity of career advising by asking explicitly for this information on the annual review forms. Have senior faculty document in their annual report their efforts to assist junior faculty in getting research grants, establishing themselves as independent researchers, and having their work published in peer-reviewed outlets. Collaborative research—especially when the junior scientist is the lead author—may also be a sign of a productive career advising relationship. You may also want to ask junior faculty to indicate which senior faculty have been helpful to them, as a sort of check on these self-reports.

2. Take multiple opportunities to communicate to senior colleagues the importance of providing career advice to junior faculty.

3. Ensure that the procedures and standards involved in the tenure and promotion processes are clear to junior faculty.

4. Ensure that all junior faculty know about University policies intended to ease the work-family conflict such as stopping the “tenure clock” and modified duties.

5. Create opportunities that encourage informal interaction between junior and
senior faculty. You might create a fund for ordering pizza, a lunch budget, a gift card for a local coffee shop for them to share, etc.

6. Provide a “tip sheet” for new arrivals. A tip sheet would include items such as contact people for key services around the Department or unit. More broadly, check to ensure that the newly-arrived faculty have access to the information, services, and materials (e.g., computing or lab equipment) needed to function effectively in the environment.

7. Recognize that senior faculty may not be completely certain how best to engage in career advising. Help them! For example, sponsor a lunch for senior faculty in which the topic of discussion is career advising and faculty can exchange information and ideas on the subject.

8. Provide the junior faculty member with a yearly review—in addition to a formal interim (3rd year) review—of her/his accomplishments and discuss goals for the future. Recognize that junior faculty may find it difficult to assess the significance of criticism; be careful to frame criticism in a constructive way, but also be as clear as possible. Be sure to provide some written follow-up, summarizing the discussion (or to ask your junior colleague to do that, so you can review it).

9. Use email as a mechanism to ensure the entire faculty has equal access to key decisions, information, and career opportunities.

8) Tips for junior faculty

Many units or departments will formally assign one or more senior faculty members to assist junior faculty. Sometimes, however, these relationships never develop or additional people are needed. In the worst case, the relationships set up formally may actually be destructive. More benignly, but still seriously, sometimes senior faculty appear to have no available time; then junior faculty feel they are either not getting what they need or fear they are intruding.

Junior faculty should feel that they are in charge of establishing and maintaining mentoring relationships. If a relationship is destructive or unhelpful, allow it to languish. It is much better to avoid interaction with a senior colleague who is not helpful than to continue it. However, avoidance alone is not enough. At the same time that you let one relationship dwindle, be sure to seek alternative relationships that are more helpful.

Despite appearances, most senior faculty are committed to the development of junior faculty and will readily provide career advice, if asked. Try to identify senior faculty in your department—or even in another department—who you think might have helpful advice for you; be the one to initiate a meeting. Alternatively, ask for an introduction from a colleague if you are uncomfortable introducing yourself. The ADVANCE Program at the University of Michigan\(^3\) offers advice and help connecting faculty with career advisors, or your chair or director can assist in identifying someone who would be an appropriate career advisor.

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\(^3\) The ADVANCE Program at the University of Michigan (ADVANCE) began as a five-year, grant funded project promoting institutional transformation with respect to women faculty in science and engineering fields. With the University’s commitment to continue funding through June 2011, the program will gradually expand to promote other kinds of diversity among faculty and students in all fields.
Additionally, don’t limit your search for career advisors to your own institution. To establish a relationship with senior faculty in your research area from other institutions, ask them if they would be willing to meet with you on the phone, over email, at a conference, or invite them to present a seminar or talk in your department.

One person might serve as an advisor or mentor on departmental matters, another might provide information about and assistance with career opportunities, and another might serve as a role model for managing career and family responsibilities.

1. Read the faculty handbook (http://www.provost.umich.edu/faculty/handbook/), and become familiar with the research and background of your advisors’ research and career. Read their CVs whenever you can.

2. Get the unwritten information. There are unwritten organizational structures, rules and customs defining the departmental and institutional culture. Respect and become acquainted with the staff clerical workers and treat them like the professional colleagues they are; they can be valuable sources of information about informal structure. Learn what services are available from the department and institution such as clerical help, release time, research assistance, and financial support.

3. Recognize the influential people in the department. Be observant and find out which behaviors are valued and which are not.

4. Be active and energetic. Do not assume that anyone else will look out for your interests. For example, in some departments teaching assignments are scrupulously fairly assigned, in others not. Equally, in some departments, junior faculty are encouraged only to develop a few new courses during the tenure probationary period, and they are encouraged to repeat them. If you feel that any of your teaching assignments is either unfair or unwise for you, be sure to seek out advice from other faculty about the issue, and about how to get it addressed. It is not best to simply suffer in silence; it is best to get the situation remedied and senior faculty in the department or even in the dean’s office will be able to advise you about it.

5. For those on tenure track, develop a strategy that will guide your progress as a scholar, teacher, and colleague over the next five years. A lot of information about the tenure process is not written down. Make it your responsibility to find out by asking questions. Share the information and your strategies with your peers as a way to build camaraderie and to develop additional sources of information and support. For those not on a tenure track, develop a strategy for promotion and advancement. Again, ask questions about how to achieve your career aims.

6. Keep careful records of your activities (e.g., research and scholarship, grants written and funded, service activities, teaching and/or mentoring). Scrutinize your own record regularly to judge if your effort and priorities are aligned; be a proactive manager of your own career portfolio. This will greatly assist you, while evaluating new opportunities, and as you prepare for career advancement or tenure.

7. Determine if there are publications that you should avoid publishing in because they are not valued. Try to not waste your time serving on committees that are not valued, or teaching courses that do not strengthen your case for advancement or for tenure.
Be sure to seek advice from senior faculty members about what committees to serve on, and then volunteer for those committees.

8. Seek information, advice, and assistance in developing, implementing, and revising your strategy; do not make major decisions without talking to other people.

9. Actively seek feedback from colleagues, senior faculty, department chair, or unit director. Recognize that other junior faculty—both at the University of Michigan and elsewhere—are often sources of valuable advice and help too. For example, another junior faculty member may have developed a teaching module that you can adapt for your purposes; or, as a group, junior faculty in a department or across a couple of departments may be able to provide one another peer mentoring; or ask specific administrators or senior faculty to discuss particular issues.

10. Do not assume that no feedback means there are no problems.

11. If your position was defined in specific terms when you were hired, be sure you have a copy of the job description. You want to be sure there are no aspects of the job you are expected to do that you don’t recognize.

12. An annual review should be in writing. If it is negative and you believe the comments are legitimate, you should discuss them with your career advisors, including your chair or director, and plan what you need to do to improve. If you believe a comment is not accurate, provide written materials to refute the evaluation.

13. Develop your own networks with junior faculty colleagues and others in your field.

14. Read and discuss any written policies about tenure and/or promotion with your career advisor(s).

15. Let your career advisors, chair or director, and colleagues know when you have done good work. Be sure that professional information is put into your personnel folder.

16. Communicate. Failing to communicate is the biggest pitfall for all relationships. Remember that face-to-face meetings can often clear up misunderstandings better than email. Problems need to be discussed as soon as possible.

9) Integrating work and personal life: University policies

In March 2004, the University of Michigan Gender in Science and Engineering Report of the Subcommittee on Family Friendly Policies and Faculty Tracks published recommendations to modify policies related to work-family issues. The policies being examined for revision include more flexible and extensive coverage for leave without pay, modified duties, and stopping the tenure clock. The report also discusses the need for additional on-campus daycare. The report and all UM policies are available online at the links listed below.

http://www.provost.umich.edu/faculty/handbook/index.html
http://spg.umich.edu
http://www.provost.umich.edu/programs/dual_career
Other UM resources include:
Work/Life Resource Center: http://www.umich.edu/~hraa/worklife
Center for the Education of Women: http://www.umich.edu/~cew

10) Summary: Questions to ask and to answer

This is a list of questions junior and senior faculty may use to remind them of issues they need to discuss that were outlined in the previous sections.

<table>
<thead>
<tr>
<th>Department or Research Unit Culture</th>
<th>Research</th>
</tr>
</thead>
<tbody>
<tr>
<td>Who are the key people in the department or research unit?</td>
<td>Can you tell me about the Institutional Review Board, which provides approval for human and animal subject experiments?</td>
</tr>
<tr>
<td>What are appropriate ways to raise different kinds of concerns or issues and with whom?</td>
<td>How do I set up my lab?</td>
</tr>
<tr>
<td>Who can help me set up an email account, find out about resources like copying or processes like grading?</td>
<td>How do I get grants?</td>
</tr>
<tr>
<td>How do people find out about and get nominated for awards and prizes?</td>
<td>Are my grant proposals appropriate for this department or unit?</td>
</tr>
<tr>
<td>What organizations are important to join?</td>
<td>Are there research or equipment projects being developed by other faculty in the department that I can or should get involved with?</td>
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</table>

<table>
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<tr>
<th>Research</th>
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<tbody>
<tr>
<td>May I read some successful grant proposals, as close to my research area as possible?</td>
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<tr>
<td>Are there people that I should collaborate with?</td>
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<tr>
<td>How do you get on professional association panels?</td>
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<tr>
<td>What are the journals to publish in? Have any colleagues published there?</td>
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<tr>
<td>Am I publishing enough?</td>
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<tr>
<td>How can I increase my visibility in the field?</td>
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<tr>
<th>Teaching</th>
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<tr>
<td>What classes do I need to teach?</td>
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<tr>
<td>How do I get a good teaching schedule?</td>
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<tr>
<td>How do I get to teach important classes?</td>
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<tr>
<td>How do I deal with sticky situations or problems with students?</td>
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<tr>
<td>Do I have enough graduate students?</td>
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<td>How are teaching evaluations handled and weighted?</td>
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<tr>
<th>Service</th>
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<tbody>
<tr>
<td>What are the important committees to serve on?</td>
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<td>How can I get nominated to be on them?</td>
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<tr>
<td>Are there committees to avoid?</td>
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</table>
### Promotion and Tenure

<table>
<thead>
<tr>
<th>Question</th>
<th>Answer</th>
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<tbody>
<tr>
<td>What are the department’s formal and informal criteria for promotion and tenure?</td>
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<td>What or who can clarify these criteria?</td>
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<tr>
<td>What would you have wanted to know when you began the tenure process?</td>
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<tr>
<td>How does one build a tenure file?</td>
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<tr>
<td>Who sits on the tenure committee and how are they selected?</td>
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<tr>
<td>How should I prepare for the annual review?</td>
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<tr>
<td>What can I negotiate when I get an outside offer?</td>
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<tr>
<td>How should I prepare for the third year review?</td>
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<tr>
<td>Is my job description matching the work I do?</td>
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<tr>
<td>Are my research, teaching, service and grants of an appropriate level?</td>
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<tr>
<td>Who should I meet in the institution, in the discipline and even worldwide?</td>
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</tbody>
</table>

### 11) Additional resources on career advising and mentoring

**Web and institutional resources**


[http://www.nap.edu/readingroom/books/mentor/index.html](http://www.nap.edu/readingroom/books/mentor/index.html)

The Association of Women in Science is a non-profit association which works to promote women’s activities in all scientific fields, from mentoring to scholarships to job listings.

[http://www.awis.org/careers/mentoring.html](http://www.awis.org/careers/mentoring.html)

The Center for Research on Learning and Teaching (CRLT) website provides a bibliography and links to online resources on mentoring. Topics covered include: institutional mentoring programs, mentoring women faculty and faculty of color, discipline-specific mentoring, and training materials for mentors and mentees.

[http://www.crlt.umich.edu/publinks/facment.html](http://www.crlt.umich.edu/publinks/facment.html)

How to Mentor Graduate Students: A Guide for Faculty at a Diverse University.


How to Get the Mentoring You Want: A Guide for Graduate Students at a Diverse University.


Providing Faculty with Career Advice or Mentoring: Principles and Best Practices, UM, College of LSA, August 2007.

[http://www.lsa.umich.edu/lsa/facultystaff/academic_affairs/policies/](http://www.lsa.umich.edu/lsa/facultystaff/academic_affairs/policies/)

*Select on this page: Faculty Career Advising (Mentoring) - 8/07 Version*
The University of Michigan Office of the Provost and Executive Vice President for Academic Affairs has links to articles and other information on mentorship. 
http://www.provost.umich.edu/mentoring/index.html

The Center for the Education of Women offers free counseling to University of Michigan faculty (as well as to staff, students and residents of surrounding communities; call 998-7210). Faculty may wish to discuss career goals, job fit, negotiation strategies, work/life issues, problems affecting career progression or other needs. CEW also supports two professional development networks for faculty women: the Women of Color in the Academy Project and the Junior Women Faculty Network. In addition, CEW offers other kinds of programs addressing, for example, salary negotiation, grant proposal writing, parenting in the academy, financial planning, and research presentation. For more information contact the Center at 998-7080, or visit www.umich.edu/~cew.

Other resources and bibliography


Retentions and counteroffers

There are a number of issues that are considered when a counteroffer is negotiated.

- Relative value of retaining the faculty member vs. hiring new faculty members. All resources for retentions come from the same pool as for hiring new faculty.
- The nature of the competing institution. Is it a peer or more highly ranked institution? Reputation of the institution making the outside offer will be a determining factor in the strength of a counteroffer.
- Contributions to salary for retention will come from the department’s retention salary pool, merit increase pool or funds designated for future faculty hires in the department.
- In general, special teaching reductions will not be part of a retention negotiation.
- Equipment or resources that contribute to the common good of the department or college will be viewed as better investments than resources specifically for one faculty member.
If you receive an outside offer, please discuss the offer with your chair. Talk to your chair about the reasons for considering the offer and what is most important to your staying at UT. Provide the chair:

1. Your current CV
2. Copy of the outside offer letter(s)
3. If space in the Child Care Center is an important consideration in staying at UT, complete the Child Care Retention Application form.

The counteroffer will be negotiated with the dean's office.
Twelve slots are set aside annually to assist in faculty recruitment and retention. Applications for these spaces are submitted by the department, and decisions are made by May 1 of the preceding spring on a first-come, first-served basis.

**Process**

- The department submits the form to the coordinating administrator, Carmen Shockley, via Shelley Payne. A copy of the form follows.
- Decisions are made by May 1 of the preceding spring on a first-come, first-served basis.
- If the recruit declines or the retention is unsuccessful, the department assumes financial responsibility for tuition until another child is enrolled or a period not the exceed 6 months. There is usually a long waitlist for slots and it is unlikely that another child would not be enrolled.

http://www.utexas.edu/provost/policies/childcare/
THE UNIVERSITY OF TEXAS AT AUSTIN
OFFICE OF THE EXECUTIVE VICE PRESIDENT AND PROVOST
1 University Station, G1000
Austin, Texas 78712
(512) 471-4363

THE UNIVERSITY OF TEXAS CHILD DEVELOPMENT CENTER
RETENTION APPLICATION FORM

Date: _________________________

College: ____________________________________________________________

Department: __________________________________________________________

Department Contact: ___________________________ Contact Phone: _________

Employee’s Name: ____________________________________________________

Employee’s Title: _____________________________________________________

Employee’s Office Address: ____________________________________________

Employee’s Phone & Email: _____________________________________________

Offer From: ____________________________ Need child care beginning: _________

Institution Semester and Year

Child(ren) needing care:

Child's name: ___________________________ Date of Birth: _________________

Child's name: ___________________________ Date of Birth: _________________

Child's name: ___________________________ Date of Birth: _________________

This application is to apply for one or more child care spaces at a UT Child Development Center (UTCDC) to be used as part of a faculty retention package

_________________________________________ Date

Department Chair

_________________________________________ Date

Dean

_________________________________________ Date

Executive Vice President and Provost
Faculty may request leaves or modifications of duties to accommodate research activities or in alignment with UT family-friendly policies.

Leaves are not automatically granted. When considering leave requests, your chair will consider impact on course scheduling and availability for students. It is the Department Chair’s responsibility to evaluate whether the leave is in the best interest of the department and to document how departmental teaching obligations will be met in your absence. The chair will not forward a leave request to the Dean’s Office until curricular issues are resolved.

Associate Dean for Faculty Affairs will review leave forms and FRA Acceptance forms as part of the overall Faculty Teaching Assignments, due March 15 for each academic year.

Approved leave requests are forwarded to the Office of the Executive Vice President and Provost [and the FRA Acceptance to the Office of the Vice Provost and Dean of Graduate Studies, as applicable] for final approval.

- Teaching workload
- Requests for faculty leave
- Requests for modified instructional duties
- Requests for unbalanced teaching loads
- Requests for outside employment
- Faculty sick leave form
- Faculty Research Assignments (FRA)
- Chair’s Fellow
Departments must balance fulfilling undergraduate and graduate teaching needs and ensuring full participation of all faculty members in our teaching mission. Teaching activities for tenured and tenure track faculty can include formal courses, training undergraduate and graduate students in the research environment and developing new curricula and courses. Your department has developed a teaching workload plan to determine the number and type of courses that each faculty member teaches every year. The specific courses are assigned in the spring for the following academic year, and any requested for leaves or modification of teaching duties should be finalized before that time.

NTT faculty may be assigned to teach any departmental course, in accordance with the department needs. The normal workload is three 3-hour courses per semester for full-time appointment. Certain courses, or administrative assignments, will reduce the total number of courses for a full-time appointment. These may include, but are not limited to, teaching large laboratory courses, teaching sections of large lecture courses (for example, classes with more than 300 students), developing and teaching new courses, and serving as coordinator for courses with large numbers of sections. Such reductions in teaching load must be approved by the department workload committee and the CNS Workload Committee. Departmental workload adjustments will be publicized within the department and will be applied consistently.

Departments will try to accommodate faculty requests for specific courses, class times and classroom assignments. However, the primary concern has to be student needs and some flexibility on the part of the faculty member is essential.
Faculty leave requests may include:

- Leave without pay (LWOP)
- Leave from the instructional budget (release time)
- Faculty Research Assignment (FRA see 9g)
- Chair’s Fellows
- Leaves associated with family friendly policies (see 13b, 13c)

Leave without pay

- Receiving no pay from the university for all or a portion of regular assignment. These may be for academic development, e.g. external fellowship, or for personal reasons, e.g. parental leave
- Limit of two years except for extraordinary circumstances
- At the discretion of the department and college, supplements may continue during academic development LWOP periods but not for personal leave.

Leave from instructional budget

- The faculty member continues to have full time assignment with all or a portion of salary paid from funding sources other than faculty salaries.
- There are no instructional responsibilities for the portion of assignment on other funds.
**FACULTY REQUEST FOR LEAVE**

For instructions and definitions used, please see Instructions for the Faculty Request for Leave Form

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### 1. Please list ALL Primary and Joint faculty positions

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### 2. Leave request information

#### Choose First Type:
- Leave Without Pay (LWOP)
- Release Time (RT)

#### Choose Second Type (if applicable):
- Leave Without Pay (LWOP)
- Release Time (RT)

**To be completed by department administrator**

4a. Length of faculty service

b. Previous LWOP and RT in last five years

**To be completed by department head**

5a. Teaching arrangements

b. Instructional and service-related activities that will remain

**To be completed by dean's office**

6a. Instructions for supplement

### 3. Benefit to the university

- **Executive Action**
  - Approved
  - Approved with Contingency
  - Approved with Special Notification
  - Denied

Executive Vice President & Provost

Date

Updated July 2014
Instructions for the Faculty Request for Leave Form

Line 1. Positions.
Include all primary and joint positions, even if from multiple colleges. Note: Position ID’s can be provided by a department administrator.

Line 2. Leave Type.
Choose up to two types per form, if applicable. Additional forms may be submitted if necessary.
- Leave Without Pay (LWOP) – Funding not paid/administered through the university.
- Release Time (RT) – Release from the instructional budget using funds administered through the university.

Line 2a. Leave Reason.
Check all boxes that apply.
- Research, Scholarship, Creative Works – e.g. grant research, college research fellowship, writing a book, etc.
- Visiting Faculty – e.g. Faculty teaching at another university; might/might not be part of a formalized Visiting Faculty Agreement.
- Professional Activities – e.g. Serving as Director of XYZ Institute.
- Personal – Do not include specific details on leave form.

Line 2b. Project Title or Subject.
Provide the name or subject matter of project you will be involved with while on leave (if applicable).

Line 2c. Description of Activity.
Provide a brief description of activities to be conducted during leave period. e.g. Conduct research related to work on book.

Line 2d. Source of Leave Stipend.
Include percent time funded by each source for both LWOP and RT requests. Include account number(s), if known, for Release Time requests. If an external organization/institution is paying the faculty member directly then that organization’s name should be noted. Personal Funds should be noted in cases where a faculty member’s own funds are being used.

Example 1
LWOP (100%): Guggenheim Foundation 75%, personal funds 25%

Example 2
RT (50%): National Science Foundation 25% (26-XXXX-XXXX), National Institutes of Health 25% (26-XXXX-XXXX)

Line 2e. Work Location.
Include international and/or domestic location(s); do not use abbreviations.

Line 3. Benefit to the University.
Include a brief description of why the leave is in the best interest of the university and how it will improve your teaching and scholarship. e.g. Will bring prestige to the university and new ideas and concepts to the classroom.

Line 4a. Length of Service.
Provide the number of years of faculty service at UT Austin.

Line 4b. Previous Leave(s).
Include the dates for all LWOP and RT leaves taken within the past five years.

Line 5a. Teaching Arrangements.
List the class(es) that will not be taught and describe how each will be handled. e.g. Class(es) will be canceled, taught in another semester, or taught by another faculty member (provide name).

Line 5b. Instructional and Service-Related Activities.
Describe the instructional and service-related activities that the faculty member will still be responsible for during the leave period. e.g. Supervision of graduate students, individual instruction courses, course development, advising, serving on budget councils and departmental committees. Indicate "None" if not applicable.

Individuals on leave without pay for personal reasons may not continue to receive their supplement during the period of leave. The dean’s office should provide instructions for handling the supplement, if applicable.

Updated July 2014
Tenure-track and other full-time faculty members may request **modified instructional duties** (MID) for one semester when certain personal circumstances prevent them from being able to perform their classroom teaching duties, and when such modifications are found to be in the interest of the University's instructional programs. MID is not a leave, does not affect the probationary clock, and replaces the faculty member's classroom teaching duties only with an alternative work assignment.

**Procedure:**

1. The faculty member writes a request to his/her Chair.
2. If the Chair is in agreement with the faculty member's request, he/she will forward the request, along with an accompanying memo of support, to the Dean.
3. If the Dean is in agreement with the proposal, she will then send the Provost a memo of support along with the chair's letter and the requesting faculty member's original letter.
4. The Provost replies to the Dean, and the Dean notifies the department.
Outside employment activities that contribute to the effectiveness of the faculty member as a teacher and productive scholar and can meet the individual’s and institution’s obligation of public service are encouraged. There are, however, limits, and approvals must be obtained.

Outside activities:

May not interfere with performance of primary responsibilities

May not exceed 20% when full-time with the University

The faculty member cannot receive additional compensation for consulting within own school, college, ORU

Procedure

Near the beginning of each fall semester, faculty and staff submit Requests for Outside Employment to their supervisors for approval. This fall, the university will continue to implement the UT System Conflict of Interest/Conflict of Commitment/Outside Activities policy found in HOP 5-2011. However, there are three changes in the process that have been implemented by the Board of Regents and the UT System:

1. The process will include Requests for Prior Approval of outside activities and outside employment in addition to disclosures such as those made earlier this year.
2. Faculty and FLSA-exempt staff should use UT System’s electronic Outside Activity Portal (OAP) instead of the Outside Employment paper forms used previously.
3. Reporting will be on a calendar-year instead of academic-year basis.

Directions for preparing and submitting Requests for Prior Approval and disclosures for this conflict of interest policy are on the Provost’s Office website. Employees should make timely disclosures of outside employment and activities throughout the calendar year. UT System requires individuals to certify their disclosures in the OAP for the previous calendar year January 1 and March 31 of each year. Please consult the Provost’s Office website to determine if you are subject to this policy, to learn about training for HOP 5-2011, and to access information about using the OAP. Anyone who does research and has disclosed already under Objectivity in Research – Financial Conflict of Interest (HOP 7-1210), does not have to disclose the same activities again in the OAP. However, you may need to file a Request for Prior Approval for outside activity using the OAP. Additional information about this policy is available on the Provost’s Office website.
In some circumstances, a faculty member may request an unbalanced teaching load to maximize research and scholarship or to facilitate department course offerings. With an unbalanced teaching load, the faculty member teaches shifts all or part of the teaching from one semester to the other.

Procedure:

1. The faculty member writes a request to his/her Chair.

2. The chair confirms that this will not adversely affect course scheduling and course availability for students. The unbalanced teaching load must not result in an increase in the instructional budget. Unbalanced teaching loads will not be approved if there is a negative effect on either course offering or on the budget.

3. If the Chair is in agreement with the faculty member's request, he/she will include the modified teaching as part of the faculty workload and teaching assignments for the academic year (see form in Section 9c).
Outside employment activities that contribute to the effectiveness of the faculty member as a teacher and productive scholar and can meet the individual’s and institution’s obligation of public service are encouraged. There are, however, limits, and approvals must be obtained.

**Outside activities**

May not interfere with performance of primary responsibilities

May not exceed 20% when full-time with the University

The faculty member cannot receive additional compensation for consulting within own school, college, ORU.

Requires approval by Chair, Dean, and Provost

http://www.utexas.edu/provost/policies/outside_employment/

If consulting is within the faculty member’s own field or area of research, or if there is a likelihood that intellectual property will result from this outside employment or consulting, the form also requires approval by the VP for Research.
The University of Texas at Austin

FACULTY MONTHLY REPORT OF SICK LEAVE TAKEN

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| EID: ___________________________ | College/School: ___________________________ |
| Title: ___________________________ | Account No: ___________________________ |

Certification (Signatures)

| Faculty Member: ___________________________ | Department Chair: ___________________________ |
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For UT FACULTY:
Original: Executive VP and Provost
Copy 1: Dean,
Copy 2: Chair
Faculty Research Assignments are:
• Administered through the Graduate School
• Provide release from teaching responsibilities 100% for one semester or 50% for long-session
• Require a return to service
• Half of the funding is provided by Faculty Development funds, the rest is faculty salaries

Purpose:
Faculty Research Assignments (FRA) provides semester-length leaves for tenured faculty members. Typically, the objective of an FRA is initiation, furtherance, or completion of a specific research project. Occasionally, awards are made for longer-term research development. FRAs are usually not awarded merely to allow faculty members more time for research; most successful proposals encompass objectives that would be difficult to accomplish without an FRA. In any case, the proposed work must have its own coherence, limits, and purpose. FRAs are awarded only when there is a reasonable prospect that the proposed project will have a positive outcome.

Eligibility
Tenured faculty members (associate and full professors) who satisfy the following standard eligibility condition may apply for a 2014 - 2015 FRA: by the beginning of academic year 2014 - 2015 the faculty member must have completed at least four full academic years of service in residence at UT Austin since any previous FRA award. (Example: a tenured faculty member who was supported by an FRA at any time during the academic year 2009 - 2010 would be eligible to apply for another FRA to be held during the academic year 2014 - 2015 provided the faculty member had fulfilled his or her normal duties at UT Austin during all the intervening four academic years.) If there is no previous FRA award, then by the beginning of academic year 2014 - 2015 the faculty member must have completed at least four full academic years of service in residence at UT Austin. Faculty will use the Graduate School Online Awards System in UT Direct to apply for FRAs and SRAs - no hard copies are involved. The online system is designed to make the nomination, review and award processes much more streamlined. The FRA applications are reviewed and ranked by a faculty committee within CNS. Depending on the level of available funding, the Dean will approve the top-ranked applications and forward the successful applications to the Faculty Development Program in the Graduate School.

All FRA applications must be approved by the chair before they can be submitted for review.
Each chair has an allocation of Chair’s Fellow assignments that can be used to release a faculty member from teaching for one semester to allow time for faculty academic development, curriculum development or service activities. Departments are allocated 1 Chair’s Fellow for every 15 research-active faculty not on other fellowships or teaching reductions plus 1 for every 25 faculty.

**Assignments**
- Faculty member remains on the instructional budget but is released from teaching responsibilities for that semester
- Chair’s Fellows are listed on the department faculty workload template
- Return to service required
Undergraduate and Graduate Teaching

Teaching is a major component of our mission and faculty will be engaged in teaching at both the undergraduate and graduate level. You will work with the department chair and the chair of graduate studies to determine your teaching assignments.

Being part of the community of students, faculty and staff in your department will enhance the educational mission and make your academic career more rewarding.

a. Course scheduling and coursework policy
b. Academic integrity
c. Student grievances
d. Teaching Awards
Teaching assignment

Departments must balance fulfilling undergraduate and graduate teaching needs and ensuring full participation of all faculty members in our teaching mission. Teaching activities can include formal courses, training undergraduate and graduate students in the research environment and developing new curricula and courses. The department chair is responsible for determining the number of undergraduate courses offered by the faculty each year and distributing these among faculty at different levels of seniority and research activity.

Your teaching assignment will be determined by the department workload policy, your expertise and the undergraduate and core graduate teaching needs. Although faculty have considerable flexibility in their teaching, the specific course, time and location may have to be adjusted to meet student needs. Talk to the chair or associate chair about your teaching assignment and about any plans you have for leaves that may impact teaching needs in the department.
Course scheduling

Course scheduling (see Sections 9 and 12b) should be done with student needs in mind. Faculty convenience can be considered but should not be the driving force in determining the time, frequency and capacity of classes. It does not work to have all classes scheduled between 9 and 3:30 on Tuesday/Thursday.

Posting of Course Syllabi: A syllabus must be provided to students on the first class meeting day, and it be posted electronically. As department chair, you are responsible for ensuring that your faculty meet this requirement. This policy is consistent with the biggest piece of advice that the Associate Dean for student Affairs offers to faculty—if you provide students a thorough syllabus and stick to what it says, then they have little room for later grievance.

Posting of Required Textbooks: By Texas statute, faculty are now required to provide public notice of required textbooks for courses no less than 30 days prior to the start of the semester. Departments will be working with faculty to collect this information and provide notice through the University Co-Op. Faculty may also directly upload information to the Co-Op through a web portal, but may also work through your department.

A BAKERS’S DOZEN OF COMMONLY ABUSED ACADEMIC POLICIES

These constitute the most common student complaints. Since student grievances will come to the chairman first, it is in your best interest to make sure your faculty are aware of and adhere to these policies.

1. Final examination. Guidelines for final examination are the most detailed of all academic policies, and are also the most abused. Adherence to the posted final exam schedule, posted in the Course Schedule, is required and exceptions are rare. Requests for time or room change require approval of the department chair and the dean of the college. In addition, permission of the department chair is required if a final exam is not given.

2. Course syllabus. The syllabus is essentially a contract between student and instructor. It is the first thing the department chair and the dean of the college ask for to arbitrate disputes between faculty and students. Fortunately, the faculty member is required to provide a copy of the syllabus by the first meeting day of the class and make it publicly available on the University web site. The syllabus should include details about course content, prerequisites, drop deadlines, attendance policy, exam times, make-up policy, grading procedure and much more. The bigger the syllabus, the less the instructor is to get hassled later.

3. By the 12th class day. Students with special concerns, be they athletes who might miss class meetings, students with religious observances that interfere with class meetings, or students with disabilities who need special accommodation, are all supposed
Course scheduling and coursework policies

to notify the instructor about these special needs. Especially in large classes, responding to these requests can be difficult to manage, so you need to be organized and responsive. If the instructor is going to be a stickler for that 12th class day requirement, they should keep lists of student requests and what the accommodation will be.

4. Required meetings outside scheduled course times; night exam conflicts. Required class meetings including required office hours, discussion sections, lectures and exams can be scheduled only at times published in the Course Schedule. If exams are scheduled at times not identified in the Course Schedule, make-up exams must be provided without penalty. Be aware that because there has been a significant increase in the scheduling of evening exams, it can be difficult for students to create a full schedule without a conflict arising. When a scheduled night exam unavoidably conflicts with other scheduled evening exams or labs, a solution must be found that does not affect student performance.

5. Substantial examination during the last week of classes. It is not permitted to give exams counting for more than 30% of the course grade during the final week of classes. Also be aware that a large percentage of faculty schedule exams during the final week of class instead of during the official final examination period.

6. Incompletes. An incomplete (X) is a temporary delay in reporting the final course grade. It is to allow students with nonacademic issues the time to make up missing work so that a fair final grade is assigned. It is not to allow a student to replace graded coursework. A written agreement between student and instructor should accompany every “incomplete” so there is a clear understanding of what must be done to complete the work. The student must complete the requirements and the instructor must report a final course grade by the last date for grade reporting in the next long-session semester, or an F will be recorded as the final grade. In the event of a need for extending this deadline, the dean’s office looks carefully at such requests and may require students to provide documentation of their circumstances prior to making decisions on extensions.

7. Course evaluations. Course Instructor Surveys (CIS) must be completed for every formal course taught at UT Austin. The University takes a dim view of faculty who do not complete this, if for no other reason than that the evaluations are an essential piece of promotion, post-tenure review, merit raise, teaching awards and reappointments. You will be emailed later in the semester with the option to choose online vs. paper evaluations for your courses. Instructors and Teaching Assistants are not to be present in the room while surveys are being administered.

8. Grading equity and clarity. Equity: Grading policies must be applied uniformly in accordance with the grading policy identified in the syllabus. Replacement or “extra credit” grading opportunities must be provided to every student. Not providing the same opportunity to earn a grade to every student in a class raises an immediate flag in the Dean’s Office. Clarity: Many faculty curve the course grades, since this allows correction of any unanticipated difficult challenges on a test, etc. At the same time, one has to manage and appreciate the ambiguity as to where a student stands in your course. A common student complaint is “I had a xx% going in to the final so I don’t understand
why I ended up with a grade of C.” Articulating your standards as clearly as possible in the course syllabus will reduce explaining things to students at the end of the semester.

9. **Availability of coursework.** Faculty must provide students with access to all written material submitted as part of a course. If coursework is not returned to the student it must be retained by the instructor for one long semester following the completion of the course. If a student asks to see the work, you have to provide it.

10. **Makeup work.** A reasonable policy for makeup work should be identified in the syllabus. Requiring a student to drop a course because an exam is missed for good cause is not acceptable, nor is it appropriate to view makeup work in a punitive manner. Although the Dean’s Office cannot enforce simple human decency, it will exert pressure through the department chair to achieve fairness for students who have documented nonacademic reasons for incomplete assignments.

11. **Q-drop policy.** Know and correctly implement the Q-drop policy. In particular, faculty must:
   1. Provide substantial course assessment before the imposed Q-drop deadline (in principle by the 20th class day) but certainly no later than the mid-semester drop deadline (typically around the 49th class day). See the Registrar’s page at http://registrar.utexas.edu/calendars for specific dates.
   2. Provide realistic advising to students considering a Q-drop and do not encourage them to remain in the class past the Q-drop deadline unless there is a reasonable possibility of success;
   3. After approximately the 49th class day, students can only drop a course by providing substantiated nonacademic reasons to the College or the Dean of Student’s Office (exact dates vary by semester and are listed on Registrar’s link above or the next page of this memo). After the drop deadline the instructor may be asked to provide information about student progress in the course to validate or refute a nonacademic drop or withdrawal request, but the College has ultimate authority in assessing these.
   4. Please encourage students experiencing significant nonacademic problems (extended health problems or family emergencies) to contact the Dean’s Office or the Dean of Student’s Office for assistance.

12. **Processing of nonacademic and scholastic dishonesty cases.** Refer nonacademic (family, health, etc) problems and scholastic dishonesty cases to appropriate offices. If uncertain about where to refer a student with a nonacademic problem, contact the Assistant Dean Mike Raney mraney@mail.utexas.edu in the Dean’s Office. Also contact Mike Raney for consultation or advice about cases of potential academic dishonesty. For advice, you can also call Student Judicial Services in the Dean of Students Office (http://deanofstudents.utexas.edu/sjs/). Do not decide to manage academic dishonesty issues off the record. It can end badly if you do not follow procedure, and a large number of the cases that end up in the dean’s office come from incorrect handling of such cases.
13. Confidentiality. A student has a right to confidential distribution of grade information. The return of graded coursework must be done in a manner that ensures confidentiality. Further, spreadsheets with student grades is considered “category 1” data by the university and must be protected with encryption on your local computer and in email communications. Instead consider switching your grading to one of the secure web-based grading systems. Finally, parents may not be given information about student performance without student consent. To be safe, politely minimize conversation with parents about their children and speak only in general terms about academic issues. Persistent parents should be referred to the Dean’s Office for an explanation of confidentiality rules.

REGISTRATION AND GRADING POLICIES

ROSTERS
Official class rosters are available to instructors through CLIPS and Blackboard. CLIPS furthermore provides instructors with a roster including a picture of each student. This is a very easy procedure that requires only that you know your UTEID. It is a great way to familiarize yourself with the names of your students. Please note that the roster and the photo ID list is considered “category 1” data by the university and requires appropriate measures be taken in their use and distribution.

ATTENDANCE
University regulations require instructors to keep attendance records for students with less than 30 hours. If the size of the class makes checking roll impractical, assign several homework sets and check these against your class roll to isolate attendance problems. Report these problems to the student's academic dean. This can be done electronically using the absence/failing report (see below).

ADDING AND DROPPING COURSES
The academic calendar is provided at http://registrar.utexas.edu/calendars. The College of Natural Sciences adheres strictly to the published deadlines of the University. The following information is generally true during each new long semester. Summer courses are subject to a somewhat compressed version of this procedure:

4th class day: Dropping courses electronically: During the first four class days, students may add and drop courses with the Registrar’s online registration service, ROSE (Sept. 4 for Fall, Jan 17 for Spring).

5. 12th class day: Dropping a class with possible refund: During days five through twelve students may drop courses online, but must go to the department offering the course to seek permission to add a course. Be advised that some departments do not allow adds/drops after the fourth class day. For those departments that do allow adds/drops, the add-transactions before the twelfth class day will be processed in the respective department. Students who wish to add a class after the twelfth class day should be required to go to the Student Division of the Dean's Office (first floor of W. C. Hogg) to provide justification.
for the proposed change. The student must have written permission and documentation of class attendance from the instructor and departmental approval.

6. **49th class day (approximate): Last day to drop a course with approval:** After the 12th day of class, and until the deadline for dropping courses a student wishing to drop a course will get the forms from the Dean's Office (WCH 1.106) or their departmental advising center and ask the instructor to sign the drop form. Instructors are also asked to indicate on this form the grade (A-F) that the student has earned in the class up to this point. In contrast to previous years, instructors are not asked or able to assign a Q vs F on this form; henceforth the students are completing this paperwork for a Q-drop.

7. **Nonacademic Q-drop:** After the last day for academic Q-drop students with substantiated nonacademic reasons (as determined by the Dean’s Office) may be allowed to drop a course. Faculty will be asked to provide information on student performance up to the time of the nonacademic Q-drop request but are not responsible for making the decision about assigning a grade of Q. Please encourage students who experience significant nonacademic problems such as extended health-related problems or family emergencies to contact the Dean’s Office.

8. **One-time Drop Policy:** Students have the option once in their undergraduate degree to drop a class or drop out of all classes in a semester right up to the last class day. This new policy was proposed and approved by UT Faculty Council on May 9, 2011, and more information is available at http://www.utexas.edu/faculty/council/2010-2011/legislation/EPC_OTE.html. According to the policy as approved by the Provost, a student who has completed at least two long semesters here at UT can drop a class only if he or she has an average grade of D+ or below in the class at the time of the request and if there are no pending investigations of scholastic dishonesty for the course in question. Please include this information about adds and drops with your course syllabus. It will help to clear up much of the confusion that students have about the add/drop cycle.

**REPETITION OF FAILED AND DROPPED COURSES**

Students who complete courses with grades of C- or better cannot retake any course offered in the College of Natural Sciences for the purpose of improving their grade point averages. Exceptions can be made when a student has a legitimate academic reason for repeating a course (e.g., repeating a calculus course completed several years ago when a change of major requires additional calculus coursework, or coursework directly dependent on calculus). Students also can audit a course without enrollment, with permission of the instructor.

**ABSENCE AND FAILING REPORTS**

Faculty should notify students of excessive absences or poor performance on-line via "Absence-Failing" notices. These can be filled out on CLIPS or Blackboard, such that that student will receive an email from you with a notice of the situation and a direction to meet with you, a TA, etc. Absence-Failing reports need to be filled in after the first
Course scheduling and coursework policies

reporting period and before the end of the Q period if students are to receive maximum benefit from them. If you have questions, you may speak Mike Raney mraney@mail.utexas.edu here in the CNS Student Division offices

PROHIBITION OF SUBSTANTIAL EXAMINATIONS DURING LAST CLASS WEEK
No final examinations may be given before the examination period begins, and no change in time from that printed in the official schedule is permitted. An instructor with a compelling reason to change the time of an examination must obtain the approval of both the department chair and the dean of the college or school in which the course is taught before announcing an alternative examination procedure to the students. No substantial examinations may be given during the last class week or during the reading days and the no-class days included in the final examination period. An examination counting for more than 30% of the final course grade is considered to be substantial. A change in the room assignment for an examination may be made only with the approval of the registrar.

FACULTY PRESENCE ON CAMPUS DURING FINAL EXAMINATION PERIODS
A faculty member is responsible for ensuring that final examinations for his or her courses are adequately staffed, that he or she is available for related questions and to resolve problems, and that final course grades are turned in on time. Unless a faculty member has received approval for travel under regular University policy, he or she must be available on campus during final examinations in his or her courses, or available in the Austin area and easily reachable by telephone or e-mail. The faculty member must remain in the Austin area until his or her grades are finalized. If a faculty member must travel during this time, he or she must include on the request for travel authorization how final examination matters will be handled and how he or she can be reached in case of an emergency.

COURSES TAKEN ON A PASS/FAIL BASIS (CR/NC)
The University defines a D- as a passing grade for undergraduate students. The instructor is obliged to assign a grade of CR (Credit) for a student registered on a pass/fail basis who has a D- or better in the course. It is important that the roster indicate the student is registered for the course on a pass/fail basis. Otherwise, a letter grade must be assigned. There is a time limit for students to change courses from a grade basis to pass/fail basis and vice versa. During the long session, it is the same as the final deadline for drop/withdrawal for academic reasons. See the current academic calendar for the exact date. After that deadline, students should see a counselor in the Student Division of the Dean's Office of their college.
For majors in CNS, the College has instituted a minimum C- standard of passing grades for courses in order to progress to subsequent courses. For example, a grade of C- in M408N (calculus-I) is required to progress to M408S (calculus-II). This standard applies to graduation requirements as well (see +/- grading below).

INCOMPLETE GRADES (X)
(From the UT Austin General Information Catalog) A grade of Incomplete, X, is a temporary delay in reporting the final course grade. A student is expected to complete a course, including self-paced courses, in a single semester, summer term, or summer session. If the course is not completed as expected, the student normally will not be given additional time to complete it, or to do additional work to achieve a better grade. In rare instances, for nonacademic reasons and at the discretion of the instructor, a temporary delay of the final course grade, symbol X, may be recorded.

Improper uses of the symbol X. A student must not be assigned the symbol X to provide (1) the opportunity to raise a grade for any reason other than the approved reasons cited below; (2) time to prepare coursework in addition to that assigned the entire class; or (3) time to repeat the entire course.

Approved uses of the symbol X. The symbol X is not issued for student or faculty convenience; it may be issued for one of the following reasons only in the case of compelling, nonacademic circumstances beyond the student's control.

1. Missing the final examination: The student is unable to take a final examination because of illness or for another nonacademic reason. A physician's statement or other satisfactory verification is required.

2. Incomplete classroom assignment: The student has not been able to complete the required class or laboratory assignments for a reason other than lack of adequate effort. A request for temporary delay of the final course grade because of incomplete class or laboratory work can be made only if the student has a passing average on the class work or laboratory work already completed and has taken and passed the final examination (unless a final examination is not given in the course or the student is unable to take the examination for reasons indicated in the previous paragraph).

3. Reexamination petition: Only a student who has a grade average of at least C on all class work and laboratory work submitted before the final examination may request a temporary delay of the final course grade because he or she failed the final examination, which is the examination given during the final examination period as defined in the official examination schedule. If the instructor denies the petition, the student's final course grade remains as originally determined. If the instructor grants the petition, and the student earns a grade of at least C on the reexamination, then the instructor substitutes the reexamination grade for the original examination grade in determining the student's final course grade. If the instructor grants the petition, and the student earns a grade on the reexamination of less than C, then a final course grade of F must be recorded.

Our perspective in the Dean's Office is that students sometimes pressure their instructors to assign an X. This results in the X often being assigned improperly, as a means of allowing a student to avoid a poor grade. Here are considerations that should be used in deciding whether to give an incomplete:

- An X may properly be assigned for students who must miss the final due to illness or other imperative nonacademic reasons.
- An X may also be given when the student has not been able to complete all the required assignments for reasons other than lack of diligence but only if the student has a passing grade on the work completed. Finally, an X may be
assigned if the student qualifies for a reexamination and the instructor chooses to give a reexamination. (See the General Information bulletin for details.)

- An X should not be assigned to allow the student an opportunity to repeat the entire course; the only assignments or exams that should be completed to resolve the X are those that were missed for legitimate reasons during the semester.
- An X should be assigned only if the student has been informed and the exact procedures by which the student will make up the work are agreed upon. The assignment of an X constitutes a contract between the student and the instructor. It is often helpful to have the arrangement in writing, specifying what the student is expected to do to complete the course, including due dates. The instructor who assigned the X is responsible for evaluating the student's subsequent work. If another faculty member is to be involved, the procedures for this should be clearly understood by all parties in advance. If an instructor does not assign a grade or a symbol to a student on the final roster, the Registrar will automatically insert an X. This grade in no way obligates the instructor to allow the student to complete missing work. Students who stopped attending class or who never attended class should be assigned an F. Students have one long semester to make up an X and extensions are rare. After one long semester, the X converts to an F if no other grade is reported.

**FINAL GRADES**

**Faculty should** not leave town or disappear before turning in final grades for your students. Seniors' names are starred on the grade sheets and their grades must be received in time to determine eligibility to graduate. A schedule for reporting final grades is provided to the department. Please notify the College if you are unable to comply with these deadlines so we can try to prevent problems for students.

**PLUS/MINUS GRADING** The university has instituted plus/minus grading for all students. Instructors have discretion whether to implement the +/- system in any course where a letter grade is assigned, but you must state your intention in the course syllabus. That is, they may choose to award grades of A, B, C, D, F, or the full list of +/- grades below. The instructor should indicate which grading system will be used and the requirements to earn these grades. The plus/minus grades and grade points listed below will be used to calculate grade point averages for undergraduate and graduate students.

<table>
<thead>
<tr>
<th>Grade</th>
<th>Value</th>
</tr>
</thead>
<tbody>
<tr>
<td>A</td>
<td>4.0</td>
</tr>
<tr>
<td>A-</td>
<td>3.67</td>
</tr>
<tr>
<td>B+</td>
<td>3.33</td>
</tr>
<tr>
<td>B</td>
<td>3.0</td>
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<tr>
<td>B-</td>
<td>2.67</td>
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<tr>
<td>C+</td>
<td>2.33</td>
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<tr>
<td>C</td>
<td>2.0</td>
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<tr>
<td>C-</td>
<td>1.67</td>
</tr>
<tr>
<td>D+</td>
<td>1.33</td>
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<tr>
<td>D</td>
<td>1.0</td>
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<tr>
<td>D-</td>
<td>0.67</td>
</tr>
<tr>
<td>F</td>
<td>0.0</td>
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</tbody>
</table>

The College of Natural Sciences, in consultation with faculty representatives from each department on the College Course and Curriculum Committee, have decided that in general, a grade of C- constitutes a passing grade for the course, both to meet degree requirements and to meet prerequisites for later coursework in Natural Sciences.

**ACADEMIC POLICIES CONFIDENTIALITY**
Student confidentiality is protected under the Family Educational Rights and Privacy Act (FERPA) of 1974. This means that it is not possible to give out any information about students or grades to anyone without the student's written permission. Issues to consider include:

- Grades may not be posted by name or social security number
- No portion of the SSN may be posted, distributed or made public in any way, even with consent of the student.
- Students must give written permission to discuss academic issues with others, including parents.
- Homework or exams may not be left unsupervised for students to pick up and should be returned in a manner that maintains student confidentiality.
- Written permission must be given by a student prior to writing letters of recommendation if the student’s academic record is to be discussed. Faculty may continue to use student specific password protected systems (such as UT Direct and its applications) to communicate academic work, grades or other confidential information to individual students. Students may also access their final course grades using UT Direct services. ITS has developed an e-grade book application that provides faculty with a password protected system to communicate academic work grades to individual students. For those faculty who wish to post student grades on the Web, at least two options are available through the University.

**Quest** Quest is an assessment system maintained by the College of Natural Sciences which also has a gradebook feature. https://quest.cns.utexas.edu. Training is provided. Contact Heather Van Ligten heather.vanligten@austin.utexas.edu.

**Canvas** The university is phasing out Blackboard in favor of a new platform called Canvas. More information and training modules are available from the Center for Teaching and Learning: http://ctl.utexas.edu/teaching/technology/lms. Confidentiality of student records also extends to the electronic storage of this information. Such data is considered ‘Category 1’ data by the University and must be handled with great care. For example, storing spreadsheets with student grades on your laptop can only be done if you have encryption software protecting it; spreadsheets of student grades cannot be emailed between you and TAs unless the email is encrypted, etc. In the latter case, it is better practice to communicated information via Blackboard or CLIPS, or Quest. For more information on “CAT1” data, you may consult the College’s Director of IT, Mark McFarland m.mcfarland@austin.utexas.edu.

**PROHIBITION OF SEXUAL HARASSMENT OF STUDENTS**

It is the policy of the University of Texas at Austin to maintain an educational environment free from sexual harassment and intimidation. Sexual harassment is expressly prohibited and offenders are subject to disciplinary action (http://www.utexas.edu/student/registrar/catalogs/gen-info/appD.html)

"Sexual harassment" is defined as either unwelcome sexual advances or requests for sexual favors, or other verbal or physical conduct of a sexual nature, by a faculty member or other employee of the university, when
• submission by a student to such conduct is made explicitly or implicitly a condition for academic opportunity or advancement;
• submission to or rejection of such conduct by a student is used as the basis for academic decisions affecting that student
• the intended effect or reasonably foreseeable effect of such conduct is to create an intimidating, hostile, or offensive environment for the student. The Office of the Dean of Students has been given the primary responsibility for responding to questions about and receiving complaints of sexual harassment of students. Students who believe they have been subjected to sexual harassment may consult with the associate dean of students. However, they also may address their questions or complaints to the department chairperson or other University administrative personnel. In such cases the chairperson or the administrator should immediately contact the associate dean of students for consultation. Investigation of a specific complaint of sexual harassment will be initiated upon submission of a written and signed statement by the student to the associate dean of students, department chairperson, or dean. Investigation and resolution of such complaints will be through the Office of the Executive Vice President and Provost. Confidentiality will be maintained to the extent permitted under the law, and the rights of the individuals involved will be protected. Disagreement with the resolution of the complaint will be handled according to the usual procedures for grievances. In addition to complying with the above policy dealing with sexual harassment, students and faculty members should conduct themselves in an appropriate manner and should avoid compromising situations involving any romantic or sexual relationship between a faculty member and a student who is enrolled in a course taught by the faculty member or who is otherwise under the supervision of the faculty member. This policy is not intended, in any way, to discourage the interaction of faculty and students where harassment or a conflict of interest is not a factor; however, the policy is intended to clarify that it is inappropriate for a faculty member to form romantic or sexual relationships with students working under the faculty member's direct supervision. It should be stated that students making unwanted advances on faculty or teaching assistants is also not to be tolerated. If a faculty member or teaching assistant is ever in an uncomfortable interaction of this nature with a student, he or she should contact the Dean of Students. This also applies to situations of harassment or verbal abuse by students. STUDENTS WITH DISABILITIES (http://www.utexas.edu/diversity/ddce/ssd/) The rights of students with disabilities are protected under Section 504 of the Rehabilitation Act of 1973 and the Americans with Disabilities Act, which are civil rights provisions aimed at ending discrimination against persons with disabilities. Section 504 specifically refers to post-secondary and vocational education services. The legislation reads: "No otherwise qualified handicapped individual in the United States shall, solely by reason of his handicap, be excluded from the participation, be denied the benefits of, or be subjected to discrimination under any program or activity receiving Federal financial assistance." The University of Texas at Austin provides a wide variety of services to assist students with
disabilities in becoming active members of the University community. These services vary according to the different types and severity of impairments. The Services for Students with Disabilities (SSD) office of the Student Dean’s Office is charged with assisting disabled students. They estimate that about 2000 students suffer from disabilities including mobility impairments, learning disabilities, visual impairments, hearing impairments, ADD and ADHD, and others. By law, these students are guaranteed a learning environment with reasonable accommodation of their disability. As an instructor you are required to provide reasonable accommodation of students with disabilities. Many of the problems that might arise during the semester can be avoided by letting students know that you are aware of your responsibility to provide these accommodations, especially with respect to modifications to the examination procedure.

OBSERVANCE OF RELIGIOUS HOLY DAYS (Student and Faculty)
Religious holy days sometimes conflict with class and examination schedules. Sections 51.911 and 51.925 of the Texas Education Code relate to absences by students and instructors for observance of religious holy days. Section 51.911 states that a student who misses an examination, work assignment, or other project due to the observance of a religious holy day must be given an opportunity to complete the work missed within a reasonable time after the absence, provided that he or she has properly notified each instructor.

It is the policy of The University of Texas at Austin that the student must notify each instructor at least fourteen days prior to the classes scheduled on dates he or she will be absent to observe a religious holy day. For religious holidays that fall within the first two weeks of the semester, the notice should be given on the first day of the semester. The student may not be penalized for these excused absences but the instructor may appropriately respond if the student fails to complete satisfactorily the missed assignment or examination within a reasonable time after the excused absence.

Section 51.925 prohibits the University from discriminating against or penalizing an instructor who is absent from class for the observance of a religious holy day. Proper notice must be given to the department chairman. Prior to the beginning of classes each semester, the instructor must provide the department chairman a list of classes that will be missed due to observance of a religious holy day and acknowledged by the chair. Consistent with regular University policy, the instructor is responsible for finding a qualified substitute U.T. Austin instructor for any such classes.

ACADEMIC DISHONESTY
Cheating is not tolerated in this College. If there are questions about a suspected cheating problem, Assistant Dean Mike Raney (mike.raney@austin.utexas.edu) in the Dean’s office is a resource. Ultimately the Office of the Dean of Students is responsible for adjudicating academic dishonesty complaints. Additional information on the definition of academic dishonesty including plagiarism can be found at http://deanofstudents.utexas.edu/sjs/.

COURSE MANAGEMENT RECOMMENDATIONS
COURSE MANAGEMENT RECOMMENDATIONS

QUEST
The College maintains a homework and content service, Quest Learning and Assessment (https://quest.cns.utexas.edu) of which many faculty are familiar for assigning online homework or preparing printable exams. Faculty can choose from questions in the 80,000 item bank spanning all disciplines or can write their own questions. Students can complete homework online and Quest will record and manage grades in the grade book feature. We have the facility for content delivery (either in the form of text modules or short video tutorials/lectures), which can be linked to assessment question as an evening "learning module" assignment to be given to students. More information on Quest and how it can be used in your class can be found at http://getquest.cns.utexas.edu/.

A support team is available to work with you in the design and assembly of your course in Quest.

- Heather Van Ligten (program coordinator) hvanligten@utexas.edu
- April De Costa (billing support) quest.billing@utlists.utexas.edu
- Dr. Nathan Erickson (content support) nathanwerickson@cns.utexas.edu
- Ian Campbell (technical support) quest@cns.utexas.edu
- Ryan Reasor (videographer) ryan.reasor@austin.utexas.edu
- Farley Fite (videographer) farley.fite@austin.utexas.edu

Please feel free to call on these folks as you work on your courses or want to learn about the resources Quest has to offer.

The College assesses a cost recovery charge to students for access to Quest. Students will pay $25/semester/course, with no student required to pay more than $50/semester. Similar to other mandatory instructional materials such as textbooks and iClickers, students must be notified of this charge in course syllabi. The following syllabus language is required:

This course makes use of the web-based Quest content delivery and homework server system maintained by the College of Natural Sciences. This homework service will require a $25 charge per student for its use, which goes toward the maintenance and operation of the resource. Please go to http://quest.cns.utexas.edu to log in to the Quest system for this class. After the 12th day of class, when you log into Quest you will be asked to pay via credit card on a secure payment site. You have the option to wait up to one week to pay while still continuing to use Quest for your assignments. If you are taking more than one course using Quest, you will not be charged more than $50/semester. Quest provides mandatory instructional material for this course, just as is your textbook, etc. For payment questions, email quest.billing@utlists.utexas.edu.
PIAZZA
Several faculty have experimented favorably with a commercial discussion board product called Piazza. It allows students to post questions on a discussion board and then either you, TAs, or other students in the class can respond. Questions can be tagged by topic or section of the course. File uploads are possible. For those doing math-intensive work, it accepts LaTeX commands for mathematical typesetting. I have found it a great reliever of stress amongst students to have questions answered at their pace, not restricted solely to my office hours. For more information, please contact Heather van Ligten hvanligten@math.utexas.edu.

CENTER FOR TEACHING AND LEARNING—FACULTY INSTRUCTION SERVICES AT UT
The University has strengthened and consolidated its faculty support services for instruction with creation of the Center for Teaching and Learning. The Web site, http://www.utexas.edu/academic/ctl/ is a remarkable source of materials and information that can help you improve your entire teaching experience. Please go to the web site and explore. I am sure you will learn things that will be of real value to improving the quality of your course as well as providing resources to simplify the teaching process.

TUTORING AND STUDY GROUPS
The College and University are committed to providing attractive learning environments outside the classroom for students who need additional assistance beyond what you can provide through discussion sessions and office hours. Both the CNS Academic Communities Program and the UT Learning Center offer these kinds of resources, especially for faculty teaching the large lower division courses.

Academic Communities. The Academic Communities Program (ACP) was created in 2005 to provide to University of Texas at Austin students resources and services that promote success in introductory courses in math and sciences and encourage students to utilize positive learning and study skills throughout their academic careers. Through a combined effort between CNS course instructors, the College and UT Housing, residence hall dining rooms are transformed into evening study environments with a TA presence, tutoring, and study group formation. For more information on the various activities offered by ACP, go to http://cns.utexas.edu/community/resident-hall-study-groups.

Undergraduate Teaching Assistants: Many departments are increasingly relying on undergraduates to assist with courses either as lab assistants, study coaches, tutorial leaders, etc. Besides being a low-cost supplement to an instructional team, such trusted undergraduates can often identify well with the students enrolled in your course and provide faculty valuable feedback on the student perspective. The College has several programs to aid in the training and professional conduct of such assistants. Contact Jennifer L Smith jlsmith@austin.utexas.edu for information.

Learning Center. The UT Learning Center in Jester provides a variety of opportunities for students to improve their chances for success in the classroom. A broad array of workshops and classes assist students with study skills development as well as foundational preparation in math, reading and writing, and English-language skills. In addition, free or inexpensive tutoring is provided for many introductory-level courses.
Why Academic Integrity Matters

Maintaining the highest ethical standards is an important commitment for every member of The University of Texas at Austin community. Our reputation as a world-class institution and our development of the next generation of leaders means it is critical that students learn how to make ethical decisions. Although the majority of our students do not cheat, with a campus of over 50,000 students, we all know that it can occur. The Office of the Dean of Students – Student Judicial Services (SJS) maintains a system for officially reporting instances of academic dishonesty as outlined by the Regents' Rules and Regulations. Every act of academic dishonesty should be reported. Engaging in academic dishonesty harms our reputation and it harms those students that do not cheat. Reporting each incident not only provides a learning opportunity for the student, but also helps to protect faculty.

End of Semester Vigilance

With the end of the semester quickly approaching, it is important to be vigilant as students may attempt to take shortcuts in their coursework. There are many things you can do to deter academic dishonesty. The following are steps you can take to discourage academic dishonesty in the classroom.

* Send an email to the entire class that outlines expectations for academic integrity. This message could read, as follows:

Dear class, with the end of the semester becoming very busy for all of us, it is important to maintain academic fairness for all of our students. My expectation is that you will complete your work without improper assistance. Do not take any shortcuts in completing your work, be honest, and do not be tempted to cheat in any of your classes. Academic Integrity is important not only to the reputation of our University but also to ensure academic fairness to the majority of students who do not cheat.

* Use a tool in Blackboard called SafeAssign to check papers for plagiarism. SafeAssign is easy to use, but it requires that you have electronic copies of the papers. This is most important if you have reused any of your assignments in previous semesters. Utilizing technology to detect plagiarism is a quick and easy way to safeguard a course against academic dishonesty. For more information, contact the ITS Help Desk at 512-475-9400 or, to access the documentation, click here.

* Reduce the likelihood of cheating on final exams by removing obvious temptations. For example:

  * Require students to leave electronic devices and backpacks at the front or back of the room. This allows the proctor to easily control what is available to students during exam time.
  * Distribute different versions of the exam by mixing up questions. This is perhaps the easiest way to reduce the likelihood of roaming eyes during exams.
  * Arrange for TAs or proctors to assist during final exams.
  * Ask students to hand Blue Books in prior to the start of the exam, then randomly redistribute them to the class.
  * Make sure that the number of Scantrons handed out is equal to the number of students sitting in the exam.

* Walk around the classroom to not only stretch your legs, but to let the students know that you are monitoring the exam.

The Adjudication Process

Although there are steps faculty members may take to proactively discourage academic dishonesty, what should you do if someone cheats in the classroom? Faculty have two official avenues to report suspected cases of academic dishonesty. To access the official Faculty Referral/Faculty Disposition form, click here.

Faculty Disposition Form:

- Meet with the student, reach an agreement and have the student sign the form.
- Send form and evidence to SJS for processing.

Faculty Referral Form:

- Does not require faculty to meet with the student.
- Submit evidence, along with a recommended sanction, and SJS will meet with the student to investigate the matter.

SJS invariably provides the student and faculty member with official resolution documentation. Since students often leave campus after finals—making in-person meetings difficult to arrange—Faculty Referral cases submitted at the end of the semester may take several months to conclude. You may need to assign the student an incomplete until the case can be resolved. SJS staff can address any questions or concerns regarding the formal adjudication process. Please contact us at 512-471-2841 or sjs@austin.utexas.edu.
If a student complaint cannot be handled by an individual instructor or through informal negotiations (see Section 23), there are formal processes that must be followed. Most of these go through the department chair. As department chair, you should note whether there are patterns of complaints and grievances involving a particular faculty member. Early intervention can prevent continuing problems and abuse.

**STUDENT COMPLAINTS AND GRIEVANCES**

Should a student have a concern about your course that you are unable to remedy to both party’s satisfaction, the next recourse for the student is the department chairperson. Please direct the student to your chairperson rather than to the Dean’s Office. It is the chairperson’s responsibility to send the student to the Dean’s Office if the grievance is not resolved at the departmental level. If you wish, please consider making use of the Office of the Ombudsman. The ombudsman is authorized to investigate and seek to mediate and resolve student complaints and grievances concerning academic or administrative policies, procedures, or decisions at the University. Each complaint is carefully scrutinized to determine whether the student's grievance is actionable. The telephone number is 471-3825.

**Undergraduate student grievances**

1. **Academic Integrity issues:**
   Contact Assistant Dean Mike Raney

2. **Academic grievances including grade disputes**
   If a student concern cannot be handled with the instructor, the next recourse for the student is the department chair. The student should be sent to the Dean’s Office only if the grievance is not resolved at the departmental level. If you wish, please consider making use of the Office of the Ombudsman. The ombudsman is authorized to investigate and seek to mediate and resolve student complaints and grievances concerning academic or administrative policies, procedures, or decisions at the University. Each complaint is carefully scrutinized to determine whether the student's grievance is actionable. Students should initiate grievance question with the instructor, then the department chair and Student Ombuds. If the problem cannot be resolved by the department or Student Ombuds office, the next step is Associate Dean David Vandenbout.

3. **Non-academic grievances** (primarily issues involving either discrimination or misconduct)
   - Grievances involving any form of discrimination or harassment should be filed directly with the Office of Institutional Equity, [http://www.utexas.edu/eos/](http://www.utexas.edu/eos/).
   - Issues involving faculty, staff or supervisor misconduct should be presented first to the department chair, then to the Dean.
Graduate student grievances

It is Graduate School policy that Graduate students have the right to seek redress of any grievance related to academic or nonacademic matters. Every effort should be made to resolve grievances informally between the student and the faculty member involved or with assistance of the graduate adviser, Graduate Studies Committee chair, or department chair. The Student Ombuds (Section 23) can also provide valuable assistance.

Four main categories of grievances are:

1. **Academic Grievances** (examples include: adherence to degree requirements, changes in supervising committee membership, situations involving program termination). When these grievances cannot be resolved at the departmental level, the Graduate School will handle the formal grievance process, which is outlined in the Handbook of Operating Procedures. A graduate student must submit a formal written grievance to the Graduate School within 6 months of the acquisition of knowledge of the grievance. The Grad School will notify the chair of the GSC, the department chair or program director, and the dean of the college when a grievance is filed.

2. **Non-academic grievances** (primarily issues involving either discrimination or misconduct)
   - Grievances involving any form of discrimination or harassment should be filed directly with the Office of Institutional Equity, http://www.utexas.edu/eos/.
   - Issues involving faculty, staff or supervisor misconduct should be presented first to the department chair, then to the college Dean, and then to the Graduate School (if necessary, in that order).

3. **Employment Grievances for Teaching Assistants and Assistant Instructors** (issues related to the academic freedom of individual TAs, non-renewal of a TA or AI position, withholding of salary or promotion). When there is a grievance, the teaching assistant or assistant instructor may request the informal assistance of the Faculty Grievance Committee and Hearing Panel, or a formal complaint can be filed with the chairperson of the Faculty Grievance Committee.

4. **Employment disputes involving Graduate Research Assistants**
   Whenever possible, grievances should be resolved informally between the GRA and the employing faculty member. Employment disputes by GRAs should be handled according to departmental review policies. The order for review for employment disputes is:
   
   a. The faculty member employing/supervising the GRA
   b. The graduate advisor
   c. The department chair or head of the hiring unit that employs the GRA
   d. The dean of the college. The decision of the dean is final.

One exception to the academic grievance process is the case of grade disputes. Graduate student grade disputes should be handled according to standard departmental review policies, not by the Graduate School. The order of review for grade disputes is: course instructor, graduate adviser, department chair (or director of the graduate program) and the dean of the college.
The College has established a Teaching Awards Committee to ensure that our outstanding teachers are nominated for appropriate awards. The committee is chaired by Associate Dean David Vandenbout. Departments can ensure that their faculty members receive consideration for awards by preparing and maintaining teaching files for their faculty. Your department may have an awards committee that reviews peer evaluation, CIS scores and other materials to identify outstanding teachers in the department. If so, provide them with your teaching statement and any unsolicited statements and correspondence from students to add to the file.

**University-Wide Teaching Awards**

- Academy of Distinguished Teachers Award
- William David Blunk Memorial Professorship
- Dads' Association Centennial Teaching Fellowships
- Friar Centennial Teaching Fellowship
- Jean Holloway Award for Excellence in Teaching
- Minnie Stevens Piper Foundation Teaching Award
- President's Associates Teaching Excellence Awards
- Regents' Outstanding Teaching Awards
- Joe and Bettie Branson Ward Endowed Excellence Award

The College committee will help determine the appropriate award category for each candidate. For some awards, e.g. Academy of Distinguished Teachers and Regents’ Teaching Award, length of teaching career and previous awards are important considerations. Others are entry-level awards. Be aware of specific criteria and emphasize strengths in those areas in the application. The chair letters are usually given strong consideration by teaching award committee members. It is important that the chair’s letter shows strong and compelling support for the candidate and is tailored to the specific award. The college-level committee will assist with an initial review of the packet and will help identify any missing information or apparent weaknesses in the file so that these can be addressed prior to final submission.
The University and CNS provide some funding for faculty travel to present original research at meetings. This section provides information on the travel grants and on the rules and procedures for travel.
University Travel Grants
Eligible faculty will be guaranteed up to $1,200 from the University per academic year for travel expenses to present original papers at scholarly and professional meetings. This includes reimbursement for all allowable travel related expenses and can also be used to cover extra childcare expenses incurred because of the travel (a taxable reimbursement). An approved “Request for Travel Authorization” (RTA) must be on file prior to making the travel. Funds may be used for foreign or domestic travel. All business-related air travel must be arranged through Anthony Travel or Corporate Travel Planners. See Section 11c.

Eligibility
All tenured and tenure-track faculty members (Professor, Associate Professor, Assistant Professor and Instructor) and emeritus faculty are eligible. Senior Lecturers and Distinguished Senior Lecturers with at least five years of service at UT Austin are also eligible.

Purpose
The purpose of the travel grant is to support presentation of the applicant's original research or creative effort. The research must be presented at a recognized organized conference or professional meeting. The presentation will usually be in the form of an oral or poster presentation, but can vary with field (example: performance of a new musical work, or art exhibit). Attending a meeting or chairing a session does not qualify. Accepting an invitation to present a seminar or giving a colloquium at another university does not qualify.

Allowable Travel Expenses
The usual rules for travel on “local funds” will apply when using these funds. A short summary of these rules is presented below, but refer to your Travel Officer for specifics.

- Airfare – normal restrictions
- Taxis – receipts not needed for taxis within city, required between cities
- Lodging and Meals – limited to actual costs (single occupancy rate) - within Texas, total limit of $220 per day ($41/day for meals) - outside Texas (continental USA), total limit $325/day ($41/day meals)
- Personal Mileage – 56.5 cents per mile (effective Jan 1, 2013 - Aug 31, 2013)
Also see - http://www.utexas.edu/business/accounting/hbp/11_trav/

Extra Childcare Expenses
Faculty may also claim extra childcare expenses incurred because of the travel, subject to the $1200 total limit. The faculty member will need to sign a document that these are extra expenses due to the travel, and are above and beyond the normal childcare expenses. Faculty should also be aware that these expenses will be paid as a TAXABLE reimbursement to the faculty member. The form to claim reimbursement for these expenses may be downloaded at http://www.utexas.edu/provost/policies/ftgp/.

Application process
See http://www.utexas.edu/ogs/faculty/ftg/
**Rom Rhome Travel Grants**
Provided by the Rom Rhome International Professional Development Fund.

These funds are made available through an endowment started by Mr. Rom Rhome, who was a long-standing member of the College of Natural Sciences Advisory Council. Faculty members who will be attending an international meeting during the upcoming academic year to present a lecture or poster are eligible for an award. Department chairs submit nominees including professor’s name, conference name and dates of the meeting, and the nature of their presentation (lecture or poster) to the Faculty Affairs office by November 1st. Faculty members will be notified of their awards by mid-November.

Postdoctoral fellows are also eligible to apply for these funds.

**Big XII Faculty Fellowship Program**
The University of Texas at Austin is collaborating in a Big XII Faculty Fellowship Program to stimulate scholarly initiatives among the universities that became affiliated through the Big XII Athletic Conference. The program offers faculty the opportunity to travel to member institutions to exchange ideas and pursue research. Faculty visits will ordinarily be for one to two weeks, but longer or shorter visits are possible. The visitor's home university pays for the trip. You can apply to the Graduate School for funding to visit another Big XII university, or you can invite a faculty member from another Big XII university to come here if their university participates in the Big XII Faculty Fellowship Program.

For details of the application process:
http://www.utexas.edu/ogs/faculty/ffp/
**RTA**

A Request for Travel Authorization (RTA) is submitted for almost any kind of university business travel. The University of Texas policy states that all employees, prospective employees, and students receiving reimbursement for airfare and other eligible expenses while traveling on university business are required to complete an RTA prior to departure. Even if the travel expenses are being provided by a source other than UT, the RTA should be submitted to show how missed classes will be covered and who will be in charge of your research group in your absence.

Automated RTA — Your department will complete the electronic VE5 document using DEFINE. RTA numbers are automatically assigned once the document receives initial approval.

**Reimbursement**

An electronic Travel Payment Voucher (*DEFINE VP5) must be prepared to reimburse any traveler with an approved RTA. The person who handles travel in your department will print the VP5 coversheet, get your signature, and forward the signed coversheet and all required receipts to Travel Services in the Office of Accounting (K5300). For more information about receipts, refer to **11.5.4. Receipts**.
Information about travel policy and travel planning is available on the UT travel Management website (http://www.utexas.edu/travel/). Faculty may use any online travel reservation system for travel arrangements in addition to the university’s online tool, Concur.

International reservations made through sources other than Concur will need to be entered into the ISOS database manually by the traveler prior to departure, per the Chancellor’s 2010 directive.
https://mytrips.travelsecurity.com/Login.aspx?ci=Hrp7pMUl1a8=

Agent assisted reservations should continue to be made through the universities contracted travel agencies, Anthony Travel and Corporate Travel Planners.
http://www.utexas.edu/travel/agency_contacts.php

If you decide to use an online reservation tool other than Concur, the purchase invoice submitted to the Office of Accounting for reimbursement should now include the traveler’s statement:
“Online selection is best value as consistent with institutional priorities.”

If you are mixing business with a personal trip Example: Austin-New York-Austin (business roundtrip) with personal destination as Boston: Austin-New York-Boston-Austin ticket purchased, you must include a copy of a cost comparison for the business roundtrip airfare in reimbursement request.
Staff members are critical to the smooth operations of the department and research groups. This section outlines the University procedures for staff positions, including hiring and evaluating staff and handling grievances and dismissals. Any research personnel, other than full-time students, are considered staff. This would include postdoctoral fellows appointed on research or start-up funds.

Student appointments will depend on whether they are TAs, GRAs, or fellowship recipients. Check with your department if you have questions about hiring or other procedures. Most of the paperwork will be done by your department staff.
Staff hiring

Good recruiting and hiring practices will help you identify employees who are a good fit for your research group. There are a number of university resources but you should start by talking with the staff person in your department who handles personnel matters. Links to templates and information on the hiring process can be found at http://www.utexas.edu/hr/manager/hiring/hire.html

Steps in the process
http://www.utexas.edu/hr/manager/hiring/

- Post the position and recruit: In order to post a job opening for any type of benefits-eligible position, you must get the position approved by Staffing and Career Management Services. Your department will use HRMS to request the position for you.

- Interview and select the best candidate: Because applicants must meet all of the position's required qualifications in order to be considered, you'll probably want to start by screening each applicant's materials to determine if they meet the requirements. You can then eliminate any applicants who don't meet all the required qualifications—this is an efficient way to avoid wasting time on selection matrixes for unqualified applicants. Once you eliminate unqualified applicants, you can either proceed to interview the entire applicant pool or you can use the matrix to help you select the top, most-competitive candidates for interviews. Focus on the technical and performance skills of the job, and design questions that get specific examples from the applicant about how their experience relates to your position. If you’re not sure if you can legally ask a question, don’t ask it. Remember to ask the same questions to every applicant you interview.

The following steps will be done by your department personnel person:

- Request a background check
- Review criminal history
- Check references
- Verify eligibility to work in the US
- Hire. See template letters that follow.
- Complete the recruiting summary or assign the person to the position in HRMS.

Once you have hired someone, you should send regret letters to the other job candidates.

After you have hired, the department will

- Register the new employee through TXClass for the New Employee Orientation
- If the employee will need mainframe access, create a *DPUSER logon
- Request authorizations for all applicable mainframe applications and Web systems
- Request that the *DEFINE office manager place the new employee on any necessary desks and views
• Create the beginnings of a performance appraisal
• Create an employee file for the new hire. See Employee files (http://www.utexas.edu/hr/manager/hiring/files.html) for more information.
• Have the employee complete the items in the New Employment Checklist http://www.utexas.edu/hr/current/new/checklist.html

**Required training for new staff employees**

New employees should complete required training, e.g. laboratory safety, compliance, as appropriate. You are responsible for making sure that any laboratory personnel complete required training.
Inclusive Search and Recruitment Toolkit
FOR FACULTY, GRADUATE STUDENTS, AND POSTDOCTORAL FELLOWS
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*Links to online resources highlighted in examples are included in the references and resources section.*

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The University of Texas at Austin is an Equal Opportunity Employer with a commitment to diversity at all levels. All qualified applicants will receive consideration for employment without regard to race, color, religion, gender, national origin, age, disability, or veteran status.  
(Compliant with the new VEVRAA and Section 503 Rules)
Introduction

Compiled by Strategic Initiatives (SI) in the Division of Diversity and Community Engagement (DDCE) at The University of Texas at Austin (UT Austin), the following comprehensive search and recruitment toolkit for faculty, graduate students, and postdoctoral fellows provides strategies and ideas drawn from best practices from across UT Austin, comparable institutions, and relevant research literature. SI and the Office of Institutional Equity (OIE) partner to provide consultations that enhance recruitment initiatives across campus. UT Austin fosters an environment of inclusive excellence in education, research, and public service that supports a diverse group of individuals with different perspectives, backgrounds, and experiences. The pursuit of excellence and diversity are intertwined and integral to achieving the university’s mission and core purpose of transforming lives for the benefit of society.

A more diverse campus community comprised of students, faculty, and staff contributes to a richer and more welcoming teaching, learning, research, and work environment (see for example Chang, Milem, and Antonio, 2010; Hurtado, Alvarez, Guillermo-Wann, Cuellar, and Arellano, 2012; Reddick and Saenz, 2012). As President Bill Powers stated, “America draws much of its strength from its diversity—diversity of color, certainly, but diversity of culture, ideas, points of view, and skills as well. These things not only make America strong—they are the *sine qua non* of university life.” In this toolkit, diversity is defined as demonstrating respect for all individuals and valuing each perspective and experience. Diversity includes but is not limited to dimensions of dis/ability, gender, gender identity and expression, international/national origin, race/ethnicity, religion, sexual orientation, socioeconomic status, and veteran status.
In this section, we provide suggestions and practical examples of strategies academic administrators in departments, colleges, and schools can pursue and implement to help facilitate an inclusive search and recruitment process.

Utilize active recruiting strategies on an ongoing basis to establish pathways for potential new graduate students, postdoctoral fellows, and faculty members

- Encourage department members to make personal connections and generate potential candidate pools at professional meetings and conferences even when the department is not actively recruiting

- Send departmental representatives to discipline-specific conferences for diverse and underrepresented students and faculty

**EXAMPLE:** Faculty representatives from the Division of Pharmacology and Toxicology in the College of Pharmacy at UT Austin attend the Annual Biochemical Research Conference for Minority Students (ABRCMS), which attracts approximately 1,700 undergraduate students; 400 graduate students and postdoctoral scientists; and 1,200 faculty, program directors, and administrators each year. In addition, a faculty member within the division has been an active member of the Society for Advancement of Chicanos and Native Americans in Science (SACNAS), providing information during student recruitment sessions at the annual meeting.

- Seek out connections and collaborations at Texas institutions with diverse students and faculty members including but not limited to University of Texas at San Antonio, University of Texas at El Paso, University of Texas at Brownsville, University of Texas-Pan American, University of Houston, University of North Texas at Dallas, St. Edward’s University, Texas State University, Huston-Tillotson University, Texas Southern University, Prairie View A&M University, Texas A&M University-Corpus Christi, and Texas A&M at Kingsville

- Create innovative programs to establish pathways and pipelines for graduate students, postdoctoral fellows, and faculty members

**EXAMPLE:** Dr. Marvin Whiteley, professor of molecular biosciences at UT Austin, and Dr. Patricia Baynham, associate professor of biological sciences at St. Edward’s University, through several grants over the years (including a current grant through the USDA Agricultural Research Service), give undergraduate biology majors the opportunity to participate in a collaborative research experience between UT Austin and St. Edward’s University. Students also have the opportunity to present their research at the Annual Biomedical Research Conference for Minority Students (ABRCMS).

**EXAMPLE:** The University of North Carolina at Chapel Hill’s Carolina Postdoctoral Program for Faculty Diversity offers two-year postdoctoral appointments that focus heavily on research, which as stated on the program’s site, are part of the university’s “commitment to building a culturally diverse intellectual community and advancing scholars from underrepresented groups in higher education.” Individuals carry a one-course teaching load per year.

- Articulate the department’s commitment to diversity and develop a plan for increasing diversity

- Create a standard departmental presentation/overview that faculty, postdoctoral fellows, and graduate students can use when visiting other institutions that articulates the department’s commitment to diversity

- Invite diverse guest speakers to campus or create a visiting scholars program

- Ensure an inclusive departmental climate and culture where all identities are respected and have a voice

- Consider partnering with SI to conduct a climate assessment within the college, school, or department to better understand the current climate and culture,
as well as to inform future efforts that will promote inclusivity and diversity

- Collect and share best practices, successes, and challenges related to recruitment of diverse individuals from peer institutions, aspirant institutions, the college and/or department with colleagues and students
- Track alumni from graduate programs and provide outreach to share potential opportunities at UT Austin

Establish policies, procedures, and practices that support faculty and student success including:

- Clear, transparent, and accessible policies and procedures for recruitment, evaluation, and promotion
  
  **EXAMPLE:** The College of Liberal Arts (COLA) maintains a website that outlines COLA recruitment procedures for faculty positions, as well as links to relevant policies.

- Mentoring resources and programs for junior faculty, postdoctoral fellows, and graduate students
  
  **EXAMPLE:** Professional development workshops are available to postdoctoral fellows through the UT Austin Postdoctoral Office.

Track and share demographic and equity data within the department, specifically related to recruitment, hiring, and enrollment

- Determine the types of information currently collected by the department, college/school, and university
- Examine university-wide, college-specific, and departmental reports such as the Final Report of the Gender Equity Task Force (2008) or the Report of the UT Austin Graduate School Climate Study (2011)
- Reflect upon additional types of information that might be helpful, such as looking at the intersectionality or multidimensionality of identities (for example, the intersection of race and gender), or collecting new information

**EXAMPLE:** Data might include the number of women and faculty of color that were interviewed and hired in past searches, the distribution of tenured/tenure track/non-tenure track faculty by gender and race/ethnicity, the number and percentage of women and faculty of color in leadership positions, and salary equity information. Other information might include the number of students of color applying to and accepting admission offers, information on first-generation students in the program, institutions typically recruited from, and retention/graduation rates by gender and race/ethnicity.

Coordinate departmental opportunities for inclusive diversity education with appropriate campus offices which may include:

- Partnering with Services for Students with Disabilities (SSD) to ensure web and print materials, tours, and applicant inquiries are accessible
- Participating in ally training with the Gender and Sexuality Center (GSC) or inviting Peers for Pride to perform, a peer facilitation program utilizing theater techniques to conduct workshops that explore the lives of lesbian, gay, bisexual, transgender, and queer people
- Building awareness of social identities, developing an inclusive workplace, and exploring privilege in order to foster a climate of inclusive excellence with staff from DDCE. Participating in one of OIE’s TX Classes, such as Hiring Talent for a Diverse Work Environment, which provides an overview of the processes, policies, and best practices for using UT Austin recruitment tools including compliance, fairness, competencies, interviewing, selection, and hiring

Identify departments or colleges in other universities that have been successful in generating robust and diverse applicant pools in order to examine potential models and expand best practices

**END OF SECTION 1**

Before Recruitment Begins
This section provides information about ways to ensure the search committee has a proper foundation in search and recruitment practices that promote an equitable process. Examples range from creating the search or admissions committee to writing the position or program description to reviewing past searches. In addition, information about how to mitigate psychosocial and organizational barriers, myths, assumptions, and cognitive errors and biases is included to assist in fostering an equitable evaluation process for all candidates.

Creating the search or admissions committee
- Include a diverse group of individuals with different perspectives, backgrounds, and expertise, as well as a commitment to diversity and excellence
- Include committee members who will serve as advocates for underrepresented and/or underserved communities
- Be mindful of overburdening committee members with heavy service loads

Training search and recruiting committees
- Have the dean and/or department chair meet with the committee to reiterate and situate the importance of diversity and inclusion within the department and school/college, as well as the larger campus context
- Designate a diversity and equity liaison from within the department, the college/school, and/or DDCE to advise the committee on best practices in recruiting diverse candidates throughout the search process and to be a part of the post-search report process
- Establish a process for how the committee will actively recruit members from underrepresented and/or underserved communities

**EXAMPLE:** In order to maximize the audience, ensure the posting is distributed to diverse venues and networks managed by underrepresented communities (including list serves and periodicals), as well as to prominent underrepresented scholars and practitioners.

- Review and ensure compliance with applicable laws, policies, and procedures, as well as confidentiality, with OIE and the Office of Legal Affairs as needed
- Develop clear screening and selection criteria for candidates, as well as a process for evaluating candidate applications
- Ensure each candidate’s file is read by multiple committee members
- Examine and implement best practices that address psychosocial and organizational barriers, myths, assumptions, and cognitive errors and biases that result in unfair evaluations, including but not limited to:

  **Psychosocial and organizational barriers** – characterized by marginalization, avoidance/social distancing, discrimination, and the perpetuation of social stereotypes and privilege
  - Messages that devalue and delegitimize applicants such as dismissing researchers who conduct research and publish on underrepresented communities
  - Unequal callback rates during the process leading up to interviews based on the presumed race/ethnicity or gender of applicants
  - Stereotyping and the perception of “fit” with the department for women and underrepresented candidates and applicants

  **Myths and assumptions** – being aware of assumptions that may influence interviews
  - Beliefs about child-rearing or family responsibilities affecting research or professional activities
• Assuming candidates will only be interested in research or professional activities tied to their identities
• Assuming only candidates from highly ranked graduate programs are worthy of consideration

Cognitive errors and biases –
cognitive processes and shortcuts for sorting through, interpreting, and reaching conclusions about information
• Tendency to rely on first impressions and make inferences based on personal values and preferences such as rating people who are like the interviewer higher than those who are least like the interviewer
• Channeling or self-fulfilling prophecy where interactions with the candidates are structured to support assumptions and myths such as setting up the interviews so that some candidates are highlighted in more positive ways
• Consider having committee members take one of Harvard University’s Project Implicit online assessments and provide a reflective group discussion opportunity afterwards

Avoid narrowing the recruitment and search to one specific research area, as a broader charge will increase the likelihood of a diverse candidate pool

Consider new and emerging fields of research, including interdisciplinary initiatives

Develop a realistic timeline for recruitment and be clear about the committee’s role in the recruitment process

Writing the position or program announcement
• Consider possible implications of the job description that may exclude applicants, and define positions and program announcements in broad terms consistent with the department’s needs to ensure a broad candidate pool
• Include as a qualification in the job description a reference to demonstrated experience teaching or working with diverse populations; examples might include mentoring activities, research interests, committee service, courses taught, recruitment and retention activities
• Interweave the importance of diversity throughout the job or program announcement

EXAMPLE: In a recent faculty position, the University of California Berkeley included the following text in the position announcement, as well as a link to Calcierge, a comprehensive online resource focused on the recruitment and retention of faculty offered through UC Berkeley’s Office of the Vice Provost for the Faculty: “We are interested in candidates who will contribute to diversity and equal opportunity in higher education through their teaching, research, and service. UC Berkeley is committed to addressing the family needs of faculty, including dual-career couples and single parents.”

Reviewing past searches with OIE and SI
• If members from underrepresented/underserved groups have been selected from recent recruitment efforts, consider asking the individuals and the committee how they were successfully recruited
If members from underrepresented/underserved groups have not been selected from past recruitment efforts, consider evaluating the searches to identify opportunities for change in the process, including but not limited to:

- Where were advertising and marketing efforts focused? For example, were advertisements placed in a broad range of publications?
- Was the position or program announcement too specific and narrow?
- Were candidates only selected from a small geographic area or from a few universities?
- Were interviews and campus visits equitable and welcoming?
- Are there best practices and successful recruiting strategies implemented by other departments on campus?
- Would the department be willing to share or present the strategies?

END OF SECTION 2
Planning the Search and Recruitment Process
During the actual recruitment process, marketing both the position and the department is an important first step. This section includes a number of suggestions to assist academic leaders in this phase of the search process. Suggestions range from information about expanding the marketing of the job posting to enhance the diversity of the applicant pool to setting up the interviews and campus visits to evaluating candidates following the interview process. A sample rubric used at a comparable institution to evaluate applicants is also referenced to assist in the creation of an inclusive review process.

Marketing the position and the department

- Consider creating a prospectus or information packet that highlights the diversity and equity successes within the department and college
- Develop guidelines and best practices for advertisement text that conveys a strong commitment towards diversity and inclusion that goes beyond the federally mandated regulations, such as (Note: examples are from a wide range of past search announcements from peer institutions):
  - The department seeks candidates whose research, teaching, or service prepared them to contribute to our commitment to diversity and inclusion.
  - The department is committed to a diverse and inclusive working and learning environment.
  - Candidates should describe and include specific examples on how their experience and commitment to diversity would contribute to the department’s mission and values, including but not limited to their research, methodological and pedagogical approaches, teaching content, mentoring and recruiting activities, community engagement, interdisciplinary collaborations, experiences working with underrepresented communities on and off campus, etc.

- Advertise and market to a large audience
- Determine the professional networks, websites, and publications that will be utilized for marketing the position/program including existing departmental faculty and students; organizations or special interest groups within professional societies for underrepresented communities; journals, conferences, newsletters, and/or directories of prestigious fellowship programs that support diverse individuals, etc.
- Identify ways the campus community can assist with marketing, including a nomination process for potential candidates
- Place job description and program announcements on the department and/or college website, as well as relevant information such as the department’s commitment to diversity, resources on work/life balance, quality of life factors, surrounding Austin-area community and resources, etc.

Evaluating and broadening the pool

- Develop a list of resources for identifying potential candidates, such as universities awarded National Science Foundation ADVANCE grants for the advancement of women in science and engineering, organizations or special interest groups within professional societies, directories of prestigious fellowship programs that support diverse individuals, and web portals and directories for underrepresented populations
- Create pathways for your own graduate students’ career advancement
- Seek nominations for strong candidates from faculty, postdoctoral fellows, and graduate students in the department
- Actively seek and interview a diverse pool of candidates
- Broaden the range of institutions from which the department recruits to include Historically Black Colleges and Universities, Hispanic Serving Institutions, and Tribal Colleges and Universities
Include all committee members in the evaluation process and utilize screening and selection criteria established earlier in the process.

Review how the applicants’ experience and commitment to diversity would contribute to the department, school/college, and university’s missions, including but not limited to their research record, methodological and pedagogical approaches, teaching content, mentoring and recruiting activities, community engagement, interdisciplinary collaborations, experiences working with underrepresented communities on and off campus, etc.

Setting up interviews and campus visits

- Develop a consistent set of interview questions for each candidate.
- Consider interviewing more than one person from an underrepresented group, as research shows that interviewers more fairly evaluate candidates when there is more than one in the candidate pool.
- Ensure all candidates receive equal treatment and are welcomed on campus.
- Ensure that during interviews and campus visits, people focus on the qualifications (scholarship, teaching, service, etc.) and potential academic roles of every candidate.
- Allow all candidates the opportunity to talk with people from outside the committee and department about campus climate and culture.
- Allow candidates to spend part of the interview day away from campus so that candidates can get a sense of life within the Austin area.

Utilize inclusive language and questions during interviews and campus visits.

- Be conscious of terms that assume identity or demographics, as well as psychosocial and organizational barriers, assumptions, myths, discrimination, and biases and cognitive errors that result in unfair evaluations.
- Provide faculty, staff, and students with opportunities for inclusive diversity education prior to the interview and campus visit process with appropriate campus offices which may include Office of Institutional Equity, Gender and Sexuality Center, and Services for Students with Disabilities.

Review policies and procedures for discussing information with candidates prior to interviews and campus visits with OIE, including illegal personal and work/life questions about age, gender, national origin, religion, marital status, dis/ability status, language, veteran status, etc.

**EXAMPLE:** Both the University of Washington’s chart for fair and unfair pre-employment interview inquiries and Massachusetts Institute of Technology’s interviewing policies and procedures offer suggestions.

Provide information on relevant resources to all potential candidates through an accessible and comprehensive departmental website with critical information on dual career assistance, work-life balance policies and practices, disability accommodations, etc. so that candidates do not need to ask for or seek out the resources.

END OF SECTION 3
During Recruitment
This final section of the toolkit includes suggestions about how to evaluate the search and recruitment process. Information gathered during the evaluation process can be used to make adjustments in future searches to create the most inclusive hiring process possible.

Collect written feedback from those that met with or interviewed candidates

Conduct a thorough and transparent debrief with the committee after the recruitment process concludes to identify what went well, as well as opportunities for improvement, with the diversity and equity liaison

- Document how the committee actively recruited members from underrepresented and/or underserved communities, as well as details about the applicant pool and overall recruitment process
- Provide an overview of the meeting as a part of the post-search report to the Executive Vice President and Provost’s Office

Share best practices and opportunities for improvement with future recruitment committees

END OF SECTION 4
Evaluating the Recruitment Process
The following section includes selected references and additional resources utilized to compile the toolkit. Information is current as of 3/25/14 and will be updated on an annual basis.

Links to online resources highlighted in the examples (in alphabetical order)

Calcierge
http://calcierge.berkeley.edu/

COLA recruitment procedures for faculty positions
http://www.utexas.edu/cola/business-affairs/manual/Faculty-Recruitment/Approval-to-Recruit.php

Collaborative research experience between UT Austin and St. Edward’s University
http://academic.stedwards.edu/usda_grant/


Gender and Sexuality Center (GSC)
http://ddce.utexas.edu/genderandsexuality/

Harvard University’s Project Implicit online assessments
https://www.projectimplicit.net/index.html

Massachusetts Institute of Technology’s interviewing policies and procedures
http://hrweb.mit.edu/policy/2-5

Office of Institutional Equity (OIE)
https://www.utexas.edu/equity

Peers for Pride
http://ddce.utexas.edu/genderandsexuality/programs/

Report of the UT Austin Graduate School Climate Study (2011)
http://www.utexas.edu/ogs/about/climatestudy/

Services for Students with Disabilities (SSD)
http://ddce.utexas.edu/disability/

Strategic Initiatives (SI)
http://ddce.utexas.edu/strategicinitiatives
REFERENCES AND ADDITIONAL RESOURCES

STRATEGIC INITIATIVES
INCLUSIVE SEARCH AND RECRUITMENT TOOLKIT

TX Classes
https://www.utexas.edu/equity/education/tx-class

University of North Carolina at Chapel Hill’s Carolina Postdoctoral Program for Faculty Diversity
http://research.unc.edu/carolina_postdoc/applicants/

University of Washington’s chart for fair and unfair pre-employment interview inquiries
http://www.washington.edu/admin/acadpers/admin/interviewing.html

UT Austin Postdoctoral Office
http://blogs.utexas.edu/postdoctoraloffice/

UT Austin Resources and Reports Related to Recruitment, Climate, and Culture

Office of the Executive Vice President and Provost  http://www.utexas.edu/provost/

Diversity Mentoring Fellowships for Graduate Students
http://www.utexas.edu/ogs/funding/fellowships/diversity_recruit/

The merit fellowships help faculty recruit, mentor, and support outstanding new graduate students who will add to the diversity of the university’s graduate programs.

Family Matters: Work-Life Resources and Family Friendly Policies for Faculty
http://www.utexas.edu/provost/policies/family/


Office of Information Management and Analysis
http://www.utexas.edu/academic/ima/

http://www.utexas.edu/provost/research/racial/

Report of the UT Austin Graduate School Climate Study (2011)
http://www.utexas.edu/ogs/about/climatestudy/

Division of Diversity and Community Engagement  http://www.utexas.edu/diversity/

Office of Institutional Equity (OIE)
http://www.utexas.edu/equity

OIE supports the University’s commitment to the establishment of an inclusive and respectful workplace as well as furthers the commitment to diversity and equal opportunity for all members of the university community.
Strategic Initiatives (SI)  
http://ddce.utexas.edu/strategicinitiatives

Strategic Initiatives (SI)—within the Division of Diversity and Community Engagement—provides leadership for the advancement of an equitable campus culture by engaging in and facilitating campus diversity planning, departmental and unit climate assessment, and divisional strategic planning and assessment. SI supports the Senior Vice Provost for Faculty Affairs on efforts related to advancing faculty recruitment and retention, gender equity, and mentoring. In addition, SI leads faculty, assistant instructors, and teaching assistants in discussions about strategies for creating and sustaining an inclusive classroom climate through the Inclusive Classrooms Leadership Seminar. SI staff members also collaborate closely with the leadership of the UT Elementary School and the UT Charter School in facilitating initiatives that advance the vision and mission of both schools. Throughout its areas of responsibility, SI actively partners across the university with academic deans, department chairs, faculty, students, and administrators to further the Division of Diversity and Community Engagement’s mission.

Thematic Faculty Hiring Initiative  
http://issuu.com/ddce/docs/fellows_pages_2014_final_low__1_

Since the inception of the thematic faculty hiring initiative in 2005, which utilizes unique partnerships among the Division for Diversity and Community Engagement, the Office of the Executive Vice President and Provost, and academic departments, colleges, and schools across campus, academic partners have been assisted with attracting and retaining faculty members in areas of scholarship that are underrepresented within the university. Academic partners have included the College of Liberal Arts, College of Fine Arts, College of Education, School of Law, College of Pharmacy, and School of Architecture.

For more information, contact DDCE staff members Susan Somers-Willett, associate director of communications and policy, at susansw@austin.utexas.edu and Helen Wormington, assistant to the vice president, at kim.helen@austin.utexas.edu

Office of the Vice President for Legal Affairs  http://www.utexas.edu/vp/irla

Office of the Vice President for Research  http://www.utexas.edu/research

Postdoctoral Office  
http://blogs.utexas.edu/postdoctoraloffice/

Resources at Peer Institutions:

University of Michigan, ADVANCE Program  
http://sitemaker.umich.edu/advance/home

The University of Michigan ADVANCE Program enhances the campus environment for faculty in four primary areas including recruitment, retention, climate, and leadership. Initially focused on increasing the representation of women faculty in science and engineering fields, the program has now broadened its approach to include strengthening institutional support for diverse faculty, postdoctoral fellows, and graduate and undergraduate students.1

The Ohio State University, The Women’s Place (TWP)  
http://womensplace.osu.edu/

Created in 2000, TWP supports and expands opportunities for women on campus, including addressing institutional barriers, creating a positive campus climate, developing leadership pathways, and publishing comprehensive reports on the status of women at OSU.2
University of Washington, ADVANCE Center for Institutional Change  
http://advance.washington.edu/  
Like many other ADVANCE programs across the country, UW ADVANCE is focused on increasing the number of women in the STEM fields. The CIC provides leadership development workshops, pre-tenure workshops, and a mentoring for leadership lunch series, as well as serves as a clearinghouse for relevant resources on recruitment and retention.iii

University of Wisconsin-Madison, Women in Science and Engineering Leadership Institute (WISELI)  
http://wiseli.engr.wisc.edu/  
WISELI is a campus-wide entity studying gender equity for women in STEM. As a result of its research, WISELI develops and implements solutions, provides retention and recruitment workshops, as well as shares resources and best practices in gender equity programming and assessment.iv

National Associations, Organizations, and Programs

American Indian Graduate Center  
http://www.aigcs.org/  
The American Indian Graduate Center (AIGC) supports American Indian and Alaska Native graduate students across the country through fellowships, program services, magazine, and events.v

Asian and Pacific Islander American Scholarship Fund (APIASF)  
http://www.apiasf.org/index.html  
The fund provides resources, often in the form of college scholarships, to support Asian Americans and Pacific Islander students. In addition, the fund offers a higher education summit series, research reports, leadership opportunities, and mentoring resources.vi

Association of Public and Land-grant Universities’ Commission on Access, Diversity and Excellence  
The Commission focuses on the development of a public higher education agenda as it relates to the expansion of access and opportunity, advancing student and faculty diversity, and creating mutually-beneficial partnerships between universities and communities.vii

The National Science Foundation’s ADVANCE Program Portal  
The National Science Foundation ADVANCE program portal houses resources and materials created by ADVANCE grantees that support the representation and advancement of women and underrepresented populations in STEM.viii

The Association of American Colleges and Universities’ Office of Diversity, Equity, and Student Success  
http://www.aacu.org/resources/diversity/index.cfm  
Through the development of initiatives and publications grounded in best practices, meetings, institutes, resources, and toolkits, the office supports institutional change that advances diversity and equity in higher education.ix
INCLUSIVE SEARCH AND RECRUITMENT TOOLKIT

Black Doctoral Network, Incorporated
http://www.blackphdnetwork.com/

Launched in 2011, The Black Doctoral Network serves as a conduit, creating pathways among scholars, disciplines, and universities. The Network serves over 4,500 members and operates with four primary functions as its focus: serving as a resource, a support system, a space of intellectual exchange, and a place to create connections.

Compact for Faculty Diversity (Compact) and the Doctoral Scholars Program Scholar Directory

The Compact for Faculty Diversity focuses on increasing the number of underrepresented students with doctoral degrees who choose careers in higher education.

The Scholar Directory is a database that presents the vitae, profiles, research, and scholarship areas of more than 1,000 accomplished doctoral scholars and successful Ph.D. recipients.

Gates Millennium Scholars Program
http://www.gmsp.org/

Annually, the Gates Millennium Scholars (GMS) Program selects 1,000 talented students from underrepresented communities to receive a “good-through-graduation” scholarship to use at any college or university. In addition to academic support, Gates Millennium Scholars also receive personal and professional development through leadership programs.

Higher Education Recruitment Consortium
http://www.hercjobs.org/about_herc/

HERC is a non-profit consortium of colleges, universities, hospitals, research labs, government agencies, and related non- and for-profit organizations dedicated to equity and excellence. HERC is well known for its work both on a regional and national level through higher education jobs websites, diverse job seeker pools, and networks of colleagues at campuses within close proximity who collaborate on dual-career hiring issues. HERC members also meet regularly for professional development opportunities.

Hispanic Scholarship Fund (HSF)
http://hsf.net/

As the nation’s largest not-for-profit organization supporting Hispanic American higher education, HSF has awarded over $400 million in scholarships to Latino students, as well as provided programs for students and their families.

Mellon Mays Undergraduate Fellowship (MMUF) Program
http://www.mmuf.org/

MMUF seeks to increase diverse faculty representation in higher education. The fellowship provides students with multiple types of support, including programming, faculty mentoring, stipends, support for research, and repayment of undergraduate loans of up to $10,000 provided that the student pursues doctoral study in designated fields.

Minority Postdoc
http://www.minoritypostdoc.org/

Minority Postdoc is a web portal focused on the experiences of underrepresented graduate students and postdoctoral fellows. Highlighting the experiences of scholars in the STEM disciplines, the portal features job postings, articles, resources, professional development opportunities, and an internal contact list of over 1,100 diverse postdoctoral fellows.
STRATEGIC INITIATIVES
INCLUSIVE SEARCH AND RECRUITMENT TOOLKIT

National Center for Faculty Development and Diversity (NCFDD)
http://www.facultydiversity.org/
NCFDD is a professional development, training, and mentoring community of over 40,000 graduate students, postdoctoral fellows, and faculty members. Programs and services offered include on-campus workshops, professional development training, and intensive mentoring programs that aid faculty in their career transitions.xviii

National Registry of Diverse and Strategic Faculty (The Registry)
http://www.theregistry.ttu.edu/Default.aspx
The Registry, supported by Texas Tech University, is a resource for tenure track/academic ladder faculty members from underrepresented groups and for colleges and universities actively working to recruit and hire highly accomplished and qualified candidates for faculty positions.xix

PhD Project
http://www.phdproject.org/
The PhD Project’s mission is to increase the diversity of corporate America by increasing the diversity of business school faculty. The PhD Project’s network helps underrepresented students attain their business doctorates, become business professors, and mentor the next generation of students.xx

End Notes


END OF SECTION 5
References and Additional Resources
All staff, including research staff; receive yearly evaluations. The purposes of performance evaluations are (1) to provide a fair assessment of the employee's performance, (2) to assist the employee to improve performance, (3) to provide a basis for an appropriate level of compensation, and (4) to support and provide documentation for personnel actions under approved policies. You are responsible for completing annual reviews for all staff, including postdoctoral fellows, in your employ.

**Evaluation schedule**

Performance evaluations are scheduled to ensure that every regular employee (appointed one-half time or more for at least four and one-half months) is evaluated annually prior to reappointment for the succeeding year.

**Confidentiality and Disposition of Forms**

The completed annual Performance Evaluation form for each employee is part of that employee's official personnel file in each department. Each supervisor is to conduct performance evaluations. The final step in the evaluation process involves review by the department Chair or Director. Chairs will be asked to verify that all staff in their department have been evaluated each year. As an official part of each departmental personnel file, the Performance Evaluation form shall be treated as confidential.

**Completing the evaluation**

Performance evaluation forms are available online (http://www.utexas.edu/hr/forms/university_appraisal_form.doc). A copy follows. No other form should be used, unless approved by the President. (Supplementary departmental planning materials or management information should be kept separate from this form.) The evaluator should describe each key responsibility by using a word or a brief phrase or sentence to say what, how, and when each task is performed. The "Guide for Evaluation" on the back of the form will assist in describing performance levels which meet, exceed, or fail to meet expected levels. The review includes an overall summary of the performance evaluation, taking into consideration the level of performance on each key responsibility. The overall summary, again using the "Guide for Evaluation," may be very brief or may be more descriptive if needed. Specific targets for improvement should be noted. The review must note the actual date of the evaluation, name and title of the evaluator/supervisor who has direct knowledge and supervisory responsibility for the employee. Spaces are also provided for the supervisor to date and initial the form to record when the performance evaluation was discussed with the employee. It is not necessary for the employee to sign or initial the form but doing so provides a record that the evaluation was discussed with the employee.

**Management Review**

After you have completed the review, forward it to the department Chair, or research institute Director.
The University of Texas at Austin
Annual Performance Appraisal
For Classified Personnel and Non-Teaching Professional Staff

For Appraisal Period Ending: 

Employee Name: 
Title: 
Department: 

Overall Purpose of the Position

Key Responsibilities

Appraisal of Performance

Overall Performance Appraisal

Guide for Appraisal:
- Performance exceeds expectations: Performance overall exceeds expectations.
- Performance meets expectations: Overall performance is good and solid.
- Does not meet expectations: Performance has not met key responsibilities.

In the space below, please provide a rating and summary of the employee's overall performance. In determining the overall rating, please consider the ratings in each key responsibility and, if applicable, the percent time or weight of each key responsibility.

Please also note specific areas of performance where improvements can be made and describe the Performance Action Plan for addressing any performance deficiencies and the scheduled follow-up dates on the plan.

Overall Rating and Comments:
Many jobs are positions of Special Trust since the employees filling them have access to Category-I data. For more info on Special Trust and/or Category I data go to [http://www.utexas.edu/vp/it/policies/uts165/specialtrust.php](http://www.utexas.edu/vp/it/policies/uts165/specialtrust.php).

The position for which this appraisal is being completed [ ] is or [ ] is not a position of Special Trust.

If this is a position of Special Trust, compliance procedures call for the completion of a new form each year. As part of this annual appraisal process, all Special Trust employees should log on to [http://www.utexas.edu/vp/it/policies/uts165/specialtrust.php](http://www.utexas.edu/vp/it/policies/uts165/specialtrust.php) and complete a new form. Questions should be directed to the Chief Information Security Officer.

### SUPERVISOR/EVALUATOR INFORMATION

<table>
<thead>
<tr>
<th>Name of Evaluator/Supervisor:</th>
<th>Signature:</th>
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<tbody>
<tr>
<td>Title:</td>
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This performance appraisal was discussed with the employee on: ___ (date) ___.

### EMPLOYEE INFORMATION

<table>
<thead>
<tr>
<th>Name of Employee:</th>
<th>Signature:</th>
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<tbody>
<tr>
<td>Title:</td>
<td></td>
</tr>
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</table>

This performance appraisal was discussed with me on: ___ (date) ___.

### MANAGEMENT REVIEW

In the space below, please enter any comments on this evaluation (optional).

Department Head: ___

Signature: ___ Date: ___

### EMPLOYEE COMMENTS

In the space below, please enter any comments on this evaluation (optional). Your comments are part of the appraisal and will be included in your personnel file.
Grievances and processes for resolving them are discussed in more detail in Section 17. Official university grievance policy can be found in the Handbook of Operating Procedures Policy 5-2430 at http://www.policies.utexas.edu/policies/grievance-policy

The chair should try and resolve problems at the department level. This process can be assisted by Conflict Management and Dispute Resolution Services http://www.utexas.edu/hr/current/services/dispute/

The Conflict Management and Dispute Resolution Office promotes the resolution of workplace disputes at the lowest level possible using conflict resolution and collaborative processes. The office further supports university departments in providing a neutral setting where conflicts are resolved in a positive and constructive manner for all employees. The dispute resolution officer (DRO) serves as an impartial third party to help staff express their workplace concerns, resolve and manage conflict, and learn more productive ways of communicating. The DRO seeks to promote a fair and interest-based conflict management system through the alternative dispute resolution process under the Grievance Policy, mediation, conflict coaching, and training.
Take advantage of every opportunity to recognize staff through CNS and University Awards. Particularly in times of tight budgets, the recognition and monetary awards can help with morale. Have your department awards committee keep a file of letters and comments regarding outstanding service by staff members and other materials that will allow them to submit recommendations for awards.

**The President's Staff Awards**

These awards recognize staff of The University of Texas at Austin in four categories:

- Staff Service
- Outstanding Staff
- Outstanding Supervisor
- Student Employee of the Year

Information about these awards can be found at: [http://www.utexas.edu/hr/awards/excellence/](http://www.utexas.edu/hr/awards/excellence/)

**CNS Staff Excellence Awards**

- **New Employee**
  This award recognizes excellent work performance by a new natural sciences staff member whose efforts to impact their department go above and beyond the day-to-day responsibilities of their job, including conscientious performance, excellent customer service, outstanding dedication, competence, and resourcefulness. One new employee award is given annually.

- **Supervisor**
  This award recognizes excellent work performance by a current natural sciences supervisor whose efforts to impact their department and lead their employees go above and beyond the day-to-day responsibilities of their position, including creating a positive and motivating work environment, maintaining open lines of communication, and exhibiting fairness and equality in resolving issues. One supervisor staff excellence award is given annually.

- **Staff**
  This award recognizes excellent work performance by a natural sciences staff member whose efforts to impact their departments go above and beyond the day-to-day responsibilities of their job, including conscientious performance, excellent customer service, outstanding dedication, competence, and resourcefulness. Four staff will be selected to receive this award.

Nominations are due in March
[http://www.cns.utexas.edu/about/excellence-awards/nomination](http://www.cns.utexas.edu/about/excellence-awards/nomination)
Staff separations
This list is to be used as a comprehensive guideline for successfully separating employees from the university and the College of Natural Sciences. Not all items listed will apply to every separating employee.

1. **Have the resigning staff member write you a resignation letter or email.** You should accept the letter in writing by signing and dating the resignation letter, or if the resignation was via email, reply to the email with acceptance.

2. Notify your department personnel manager for help with the separation and for ending the appointment in HRMS.

3. You or the personnel manager should reclaim Physical Resources. You are responsible for reclaiming any items bought with grant or start-up funds under your control. You should also obtain originals or copies of any research results or materials. Other items may include:
   - Keys - desk, file cabinets, office, building, vehicle, etc.
   - Access Cards
   - Uniforms
   - Tools/Equipment
   - Identification Card
   - Long Distance Card
   - Mobile Devices
   - Laptop/Computer/PDA
   - University Records
   - Departmental Parking Tags/Cards
   - Credit Cards
   - Pro Card
   - Business Cards

4. **Remove IT Resources**
   - Lock Mainframe ID
   - Deactivate Web space account
   - Deactivate UTS account
   - Remove Data Warehouse authorization
   - Deactivate EID roles
   - Remove Apollo authorizations
   - Remove DUSER authorization
   - Deactivate Mail systems
     - AEMS
     - UTmail
   - Remove DEFINE (ERP) authorization
   - Remove authorization in Blackboard

5. **Remove Telephone Access**
   - Reclaim Long Distance card
   - Deactivate Long Distance account
   - Disconnect EID from Smartvoice mailbox
   - Clear out Smartvoice mail box
   - Reset Smartvoice PIN
   - Reset Smartvoice message
6. Department Administrative Process
   - Ensure timesheets are completed
   - Collect employee’s optional Sick Leave Pool Donation form
   - File a “Supplemental Report of Injury” (SR6) form for each lost-time WCI claim within the previous 2 years
   - Send request to Employee Management Services to remove any unused FML or SLP hours
   - Ensure employee updates forwarding mailing address online
   - Delete signature authority
   - Deactivate building access codes (BACS)
   - Reset door access codes
   - Notify UTPD to disable employee secret code (471-4441)
   - Change organizational chart
   - Remove/replace additional duties responsibility (i.e. Fire Warden, Staff Council, Facilities Manager, committees, councils etc)
   - Change bldg. directories and signs
   - Rescind UT driving privilege (UTDRIVERS)
   - (Drivers who no longer drive for your department should be deleted from the system. Make a copy of the driver’s detail screen, note when and why the driver is being deleted, and put a copy into the driver’s personnel file.)

7. Department Network Process
   - Notify desktop support
   - Clean hard drive, etc.
   - Remove fileserver access
   - Update staff databases
   - Update staff mailing list
   - Update departmental Web pages
   - Change shared passwords
   - Remove desktop access (active directory)
   - Remove access to departmentally run software
Staff separations and dismissals

Staff dismissals – reorganization, reduction in staff, or funding sources not realized

Dismissals under the following conditions are without recourse to the University's procedure for appealing disciplinary actions, but may be processed for review through the grievance policy. This policy applies to all classified and non-teaching employees, other than Administrative Officers, regardless of the length of appointment, or the percent time appointed.

Funding Source Not Realized

Each appointment to a classified or other non-teaching position other than an administrative officer position is made for a period of time not to exceed one fiscal year. Subject to the availability of funds, such employees may be considered for reappointment for the succeeding fiscal year. If you have hired someone using grant funding and that funding is not renewed, the employment will not continue beyond the date current funding for that position is exhausted. Recommendations for dismissals due to funding sources not realized should be transmitted through appropriate through your department and the dean’s office for final approval by the President or the President's delegate. Advance notice, when possible, should be given to employees to be dismissed under provisions of this policy. To the extent possible, notice should be at least sixty (60) days in advance of the proposed termination. Recommendations submitted for approval must clearly set out the positions to be deleted, why the deletions are necessary, and why the specific positions were targeted for deletion rather than those being retained. Any employee so dismissed shall be offered reemployment if his or her position is reinstated within the next twelve-month period.

Special Assistance by Human Resources ("HR")

Affected employees who express a desire to continue employment with the University may apply for other suitable vacant positions within the University. They shall be given assistance by Human Resources, which will give special notice to departments having vacant positions of the availability of subject employees. Such employees may be appointed without the necessity of a job posting as normally required for vacant positions. This special consideration will continue for a twelve-month period, or until regular University employment is secured, whichever comes first.
Staff separations and dismissals

Staff dismissals – disciplinary

Purpose
It is the policy of The University of Texas at Austin ("University") to encourage fair, efficient and equitable solutions for problems arising out of the employment relationship and to meet the requirements of state and federal law. These policies and procedures are applicable to conduct or job performance of an employee that results in a decision to impose a disciplinary penalty of demotion, suspension without pay or dismissal.

Discipline and Dismissal Policy and Procedures - Requisite Standards of Conduct
Each employee is expected to acquaint themselves with performance criteria for their particular job and with all rules, procedures, and standards of conduct established by the Board of Regents of The University of Texas System, the institution and the employee's department or unit. An employee who does not fulfill the responsibilities set out by such performance criteria, rules, procedures and standards of conduct may be subject to adverse personnel action.

Conduct that is subject to disciplinary action:

Work Performance, misconduct.
All employees are expected to maintain standards of conduct suitable and acceptable to the work environment. Disciplinary action, including dismissal, may be imposed for unacceptable conduct. Examples of unacceptable conduct include, but are not limited to:

- falsification of times sheets, personnel records or other institutional records;
- neglect of duties, loafing or wasting time during working hours;
- smoking anywhere except in designated smoking areas;
- gambling, participating in lotteries or any other games of chance on the premises at any time;
- soliciting, collecting money or circulating petitions on the premises other than within the rules and regulations of the institution;
- bringing intoxicants or drugs onto the premises of the institution, using intoxicants or drugs, having intoxicants or drugs in one's possession, or being under the influence of intoxicants or drugs on the premises at any time;
- abuse or waste of tools, equipment, fixtures, property, supplies or goods of the institution;
- creating or contributing to unhealthy or unsanitary conditions;
- violations of safety rules or accepted safety practices;
- failure to cooperate with supervisor or coworker, impairment of function of work unit, or disruptive conduct;
- disorderly conduct, horseplay, harassment of other employees (including sexual harassment) or use of abusive language on the premises;
- fighting, encouraging a fight or threatening, attempting or causing injury to another person on the premises;
Staff separations and dismissals

- neglect of duty or failure to meet a reasonable and objective measure of efficiency and productivity;
- theft, dishonesty or unauthorized use of institutional property including records and confidential information;
- creating a condition hazardous to another person on the premises;
- destroying or defacing institutional property or records or the property of a student or employee;
- refusal of an employee to follow instructions or to perform designated work that may be required of an employee or refusal to adhere to established rules and regulations;
- repeated tardiness or absence, absence without proper notification to the supervisor or without satisfactory reasons or unavailability for work; and
- violation of policies or rules of the institution or The University of Texas System.

Investigations

1. All incidents that involve the potential for disciplinary action shall be investigated by the employee's supervisor or other designated administrative official.
2. If the investigation results in evidence that establishes with reasonable certainty that the employee engaged in conduct that warrants disciplinary action, the supervisor shall follow the pre-disciplinary hearing procedures before seeking approval for the proposed disciplinary action.

Pre-disciplinary Hearings

Policy
An employee shall be informed of the basis for any proposed disciplinary action resulting in demotion, suspension without pay or dismissal and have an opportunity to respond before a final decision is made to take disciplinary action. The hearing serves as an opportunity to avoid mistaken decisions to impose discipline and is not intended to definitively resolve the propriety of the disciplinary action being considered.

Procedures
There is no prescribed form for this hearing. It should be informal. However, before reaching a final decision to impose discipline, the supervisor shall:

a. inform the employee, either in person or in writing, of the reasons for the proposed disciplinary action, the facts upon which the supervisor relies, the names of any persons who have made statements about the disciplinary incident and the content of such statements;
b. give the employee access to any documentary material which the supervisor has relied upon; and
c. give the employee an opportunity to respond to the charges either orally or in writing within a reasonable time and to persuade the supervisor that the evidence supporting the charges is not true.

If the supervisor is not persuaded that the evidence is untrue, the supervisor will review the evidence and proposed disciplinary action with the Associate Vice President for Human Resources or his or her delegate and will obtain the approval of the appropriate
department head or administrative equivalent before proceeding to impose the disciplinary penalty.

**Imposing the Disciplinary Penalty**

**Notice**
Upon completing the pre-disciplinary hearing procedures and obtaining the approval of the appropriate department head or administrative equivalent, the supervisor shall inform the employee in writing of the following:

a. whether the disciplinary penalty is demotion, suspension without pay or dismissal;
b. the effective date of demotion or dismissal;
c. a specific period for a suspension without pay, not to exceed five (5) working days;
d. the specific incident, conduct, course of conduct, unsatisfactory work performance or other basis for the disciplinary penalty;
e. any previous efforts to make the employee aware of the need to change or improve work performance or conduct; and
f. reference to any relevant rule, regulation or policy.

The supervisor shall also inform the employee of the right to appeal the disciplinary action and provide them a copy of the appeal procedure.

**Effect Upon Employee Benefits**

a. An employee who is demoted or suspended without pay continues to accrue vacation and sick leave, to be covered by group insurance, and to be entitled to other employee benefit programs.
b. If a demotion or suspension without pay is appealed and it is determined that there was not good cause for the demotion or suspension, the employee shall be entitled to payment for wages lost as a result of the demotion or suspension.
c. If it is determined upon appeal that a dismissal was not for good cause, the employee shall be reinstated to the same or similar position and shall be entitled to payment of back wages less any unemployment benefits received by the employee after the date of dismissal. Employee benefits such as vacation and sick leave shall be credited back to the date of dismissal.

**IV.** The Procedure For Appealing Disciplinary Actions is outlined in HOP 2420.
The CNS Staff Committee exists to improve communication, access to job-specific training, and staff morale by promoting a culture where staff members receive support and recognition of their contribution to the work of the College of Natural Sciences. The Committee originated out of a charge from Dean Linda Hicke to examine ways in which the College can better serve, support and enhance its staff.

Committee members are representative of staff across the various departments and job descriptions within CNS. The current membership is as follows:

Ana Aguilar, Culture Collection of Algae
Sandra Catlett, Mathematics (Chair)
Stuart Cross, McDonald Observatory
Liz Flynn-Whittenton, Computer Science
Annette Hairston, UTeach
Cecil Harkey, ICMB
Norma Hernandez, Biology Advising Office (Secretary/Treasurer)
Dan Machold, Computer Science
Mike McIntosh, CNS ITS
Meghan Mullaney, Human Ecology
Katherine Reynolds, CNS Research and Facilities
Gary Thomas, Physics
Liz Wyckoff, Molecular Biosciences (Vice-Chair/Parliamentarian)

Ex officio members:
Cathy Stacy, Senior Assistant Dean for Strategy and Planning
Ricardo Medina, Assistant Dean for Business Services
Family-friendly policies

The University has numerous policies, services and resources to support faculty and staff and their families. Some of these pertain specifically to recruitment and retention while others pertain to all faculty and staff.

- Sick leave and sick leave pool
- Family medical leave
- Parental leave
- Child Development Center
**Sick leave eligibility**

- All employees appointed half-time or more for 4.5 months or longer accrue sick leave.
- Full-time employees accrue 8 hr/month. Part time employees accrue leave on a proportional basis.

www.utexas.edu/hr/current/leave/sick.html

**Sick leave usage**

- May be used when sickness, injury or confinement due to pregnancy prevents performance of duties.
- When the employee is needed to care for and assist a member of immediate family who is ill.
- If the absence occurs during a normal work day for regular employees, sick leave must be reported even if no classes were missed.

**Sick leave notification**

- Staff notifies supervisor and reports sick leave through weekly time reports
- Faculty member notifies department chair when there is a need to be absent for reasons related to sick leave use
- Department chair reports use through a monthly report (see form in section 10e) sent to the provost’s office
- Licensed practitioner’s certification may be required for extended leave period and for return to work
- Department must inform HRS-Leave Management when circumstances suggest Family Medical Leave (FML) may apply

**Sick leave pool**

- Serves benefits eligible employees who have exhausted all accrued leave to which they are otherwise entitled
- Program awards up to 720 hours (18 weeks) from the sick leave pool per condition
- Employee or immediate family member must be suffering from a catastrophic (life-threatening, illness or injury
- Employee continues to receive a paycheck and benefits
- Use of sick leave pool time is reported either through weekly time reports (staff) or monthly sick leave reports (faculty)
- Award is in hours only, salary is from department budget
- All employees ay make annual contributions to the pool as long as their own balance does not drop below 50 hours
- Employees terminating or retiring may donate their entire accrued sick leave balance to the pool

www.utexas.edu/hr/current/leave/pool.html
Family medical leave provides up to 12 weeks of job-protected leave during any 12-month period and up to 26 weeks for military

- All employees appointed half-time or more for 4.5 months or longer accrue sick leave.
- Full-time employees accrue 8 hr/month. Part time employees accrue leave on a proportional basis.
- Premium sharing continues during FML even when the employee is on leave without pay

FML eligibility

- Employees with a total of 12 months of state service AND who have worked at least 1,250 hours during the preceding 12-month period

FML usage

- Serious health condition of the employee
- Birth and care of employee’s child
- Placement of a child for adoption or faster care with the employee
- Care of the employee’s spouse, child or parent with a serious health condition
- “Qualifying exigency” for military active duty
- Care of covered military service member with a serious illness or injury sustained during active duty

Applying for FML

- Whenever the department or the employee feels there may be a need for FML, contact Human Resource Services immediately.
- HRS will provisionally designate the event as FML and send the employee the required paperwork
- Employee has 15 business days to return paperwork to HRS
- The University is responsible for designating leave as FML
- Certification from a licensed practitioner is required
- Employees must apply all available leave unless receiving disability benefits through Workers’ Compensation
- FML may be taken intermittently, i.e. in blocks of time

www.utexas.edu/hr/current/leave/fmla.html
Parental and Foster Parent Leave

Parental leave provides up to 12 weeks of *unpaid* leave for employees who are not eligible for Family and Medical Leave coverage for the birth of a child or for the adoption or foster care placement of children under 3 years of age.

**Parental leave eligibility**

- Employees less than 12 months of state service or who have worked less than 1,250 hours during the preceding 12-month period
- Employees are required to use all accrued and available annual leave, floating holiday and sick leave, when applicable, while taking parental leave.

**Employer premium sharing**

- The University will continue to contribute its share of premiums for an employee’s insurance during the time that an employee is using available and appropriate leave accruals
- The employee is responsible for the total cost of insurance premiums while on Leave Without Pay

**Foster Parent Leave**

- Paid administrative leave for a foster parent to a child under the Department of Protective and Regulatory Services conservatorship to attend meetings in accordance with state law
- Applies to regular employees appointed half-time or more for 4.5 months
The University of Texas at Austin Child Development Center provides outstanding child care services to university students, faculty, and staff. They offer a developmental early childhood program for children six weeks to five years of age.

Eligibility

- Faculty, staff, students and affiliated campus programs are eligible to use the program
- Priority is given to faculty, staff who are appointed to a position for 30 hours or more with benefits, and students who are attending full time. For graduate students full time is 6 credit hours per semester and for undergraduate students it is 12 credit hours per semester.
- To be eligible to enroll, children must be 6 weeks to 5 years of age.

Application

- There is usually a waiting list for spaces in the Center. Applications for the waiting list should be submitted as soon as the employee becomes pregnant, or begins the adoption process
- Twelve slots are set aside annually to assist in faculty recruitment and retention. Applications for these spaces are submitted by the department (see 8c), and decisions are made by May 1 of the preceding spring on a first-come, first-served basis.

http://www.utexas.edu/childcenter/

If you are unable to secure a place in the campus center, there are resources to help you find child care in the Austin community:

http://www.utexas.edu/familylife/childcare/
Service and participation

Service is part of your academic career. You are expected to participate in department and CNS activities. More senior faculty are expected to take on a greater portion of the service to allow junior faculty time to establish their research and teaching.

- Commencement and award ceremonies
- CNS committees
Commencement

All chairs are expected to participate in Commencement activities. Additionally, at least 10% of the faculty in the department should attend and participate. Let your chair know early in the semester if you need the college to rent regalia for you.

Other occasions:

All faculty are encouraged to participate in award ceremonies, celebrations and activities that recognize accomplishment and build community. These include Honor’s Day, Faculty and Staff Appreciation Day.
College-level committees

You may be asked to serve on a college-level committee. Committee members are appointed by the Dean in consultation with the chair. These committees are important to the mission of the college and allow faculty and department-level input into decisions made in CNS. These committees include:

Promotion and Tenure
Teaching awards
Non-Tenure Track Faculty
Maintaining a safe working and learning environment is everyone’s responsibility. The chair’s role is to ensure that faculty, staff and students receive appropriate safety training and know how to get help when needed.

Safety

a. Campus safety
b. Research laboratory safety and training
Campus emergency information
For information on campus emergencies, including alerts, closures and openings during emergencies or unfavorable weather situations, and lockdowns, go to http://www.utexas.edu/emergency/

Fire Alarms

Occupants of buildings on The University of Texas at Austin campus are required to evacuate buildings when a fire alarm is activated. Alarm activation or announcement requires exiting and assembling outside. Familiarize yourself with all exit doors of each classroom and building you may occupy. Remember that the nearest exit door may not be the one you used when entering the building. Students requiring assistance in evacuation shall inform their instructor in writing during the first week of class. In the event of an evacuation, follow the instruction of faculty or class instructors. Do not re-enter a building unless given instructions by the following: Austin Fire Department, The University of Texas at Austin Police Department, or Fire Prevention Services office.

Behavioral concerns
Behavior Concerns Advice Line (BCAL) 512-232-5050

If there are concerns about a student in a class about the behavior of a faculty or staff member, contact the Behavior Concerns Advice line at 512-232-5050

Cases that present an immediate threat to self, others, or property should be considered an emergency and should be directed to The University of Texas Police Department (UTPD) by calling 911.

Defibrillators on campus
Know the sites of automated external defibrillators in your building:
http://www.utexas.edu/safety/aeds/

Environmental Health and Safety
For concerns about biosafety, hazardous waste, radiation safety, for example 512-471-3511
http://www.utexas.edu/safety/ehs/

Major hazardous spill or leak
Immediately evacuate the area and call 911 from a campus phone or 512-471-4441 from a cell phone.

Additional information on emergency preparedness:
http://www.utexas.edu/safety/ehs/
Many research laboratories on campus have hazardous materials and other safety issues. Chairs should remind faculty and research staff that all University safety rules must be followed. The University requires safety training for laboratory employees to insure that they are adequately informed about physical and health hazards present within the laboratory and methods for minimizing the risks of exposure. “Laboratory employees” include faculty, staff, and employed students who work in a laboratory setting. For this document the term “laboratory employees” applies as well to graduate and post-doctoral fellows and visiting scientists who work in laboratories. Required training is determined by job duties of the laboratory employee and the specific hazards within the lab.

PIs/lab supervisors are required to insure all their employees receive proper training, and to provide Site-Specific Hazard Communication training to “laboratory employees” and students in individual instruction courses. PIs/lab supervisors are responsible for ensuring that all training is properly documented and that individuals working in their labs do not engage in activities for which they have not been trained.

Details regarding required training are available on the Environmental Health and Safety website.

http://www.utexas.edu/safety/ehs/train/requirements.html

Any laboratory accidents must be reported to EH&S. If there is an injury, a first report of injury should be completed within 24 hours.
http://www.utexas.edu/hr/hrpro/wci/report.html

Injured employees contact the HealthPoint Occupational Health Program (OHP) for consultation at (512) 471-4OHP (4647). Students in a non-employment status should consult with a qualified medical provider for consultation, since University Health Services does not accept Worker’s Compensation.

More complete information on laboratory safety is found in the EHS Laboratory Safety Manual:

http://www.utexas.edu/safety/ehs/lab/manual/3_fundamentals.html#iii9
Compliance and Ethics

There are some things that have to be done by faculty or staff: fill out the forms/do the online training/provide information in a timely manner. Some of these are state statutes or regents’ rules and we don’t have the option of ignoring them.

Among other things, these include:

- Providing a syllabus and other required materials to the students at the beginning of classes.
- Uploading undergraduate classroom course syllabi and instructor-of-record CVs to the Access Syllabi and CVs system no later than seven days after the first day of classes each semester.
- EEO and sexual harassment training must be done within the first 30 days of hire and every two years thereafter.
- Submitting travel requests.
- Certifying effort on sponsored projects.
- Yearly performance evaluations of all staff.
- Complete compliance training and any other required training modules.
- Requesting permission for outside employment and filing appropriate disclosures and reports.
- Writing letters to endowment donors.

a. Americans with Disabilities Act (ADA)
b. EEO and discrimination
c. Required compliance training
d. Sponsored projects
e. Reporting research expenditures
f. Misconduct
g. Entertainment expense policy
ADA Background and Definitions
The Americans with Disabilities Act (ADA) of 1990 is the nation’s first comprehensive civil rights law addressing the needs of people with disabilities, prohibiting discrimination in employment, public services, and public accommodations. The Americans with Disabilities Act Amendments Act (ADAAA), which was enacted in 2009, clarified the mandate to eliminate discrimination against individuals with disabilities. A disability is defined by the ADA and the ADAAA as a physical or mental impairment that substantially limits one or more major life activities. The impairment may be permanent, chronic or progressive. Conditions that are episodic or in remission may also be considered disabilities under the ADAAA if they are substantially limiting when active.

Reasonable accommodations are provided to qualified individuals with a disability in order for them to enjoy equal benefits and privileges of work. Reasonable accommodations are alterations/changes in the workplace that enable persons with disabilities to perform the essential functions of their jobs. Found in job descriptions, essential functions are duties which are integral to the position. They may be physical or behavioral, require specialized skills or competencies, as well as may take a significant amount of time to accomplish. In addition, there may be significant business consequences if the function is not performed and/or there are a limited number of employees who are able to perform these tasks.

Seeking an Accommodation (Faculty and Staff)
Current employees who need an accommodation in order to perform the essential functions of their position should initiate a request through the Office of Institutional Equity at (512) 471-1849. The University has developed this centralized process to maintain consistency and so that employees have the opportunity to discuss their individual situations directly without informing their supervisor. Employees who request accommodations directly from their supervisor should be referred in writing to speak with the Office of Institutional Equity.

This referral should also be made when the employee indicates that the reason why he/she is having difficulty in performing his/her job is the result of a physical or mental impairment or harm.

In reviewing accommodation requests, the Office of Institutional Equity will engage in an interactive process with the employee in which the employee’s needs are reviewed in relationship to the essential functions of his/her position. Employees will also be asked to provide the name and contact information of their healthcare provider and to complete a Request for Accommodation Form. Any disability documentation that is received will be maintained separately from the personnel file. Employees who are referred to the Office of Institutional Equity, but choose not to initiate the ADA Process nor submit documentation are not recognized by the University as having a disabling condition.
In reviewing documentation and determining reasonable accommodations, the following will be discussed and considered:

1. The condition and its duration;

2. The limitations caused by the condition and how these limitations impact the employee’s performance on specific requirements of the his/her position; and

3. The accommodation(s) the employee and the employee’s healthcare provider believe will enable the employee to perform the essential functions of the position.

Although employees may consult with the Office of Institutional Equity without initially informing their supervisor, supervisors are an important part of the process and will be brought into the discussion about the specific impact of the physical or mental impairment on job performance and recommended accommodations. It is important to note that in having this discussion, the Office of Institutional Equity does not share the medical diagnosis or disability documentation, but rather maintains the focus on the limitations of the condition(s) and suggested accommodations.
This form is an initial step in processing your request for accommodation under the University's "Disability Accommodation for Applicants and Employees" policy. An accommodation is a reasonable modification or adjustment to the job application process or work environment that enables a qualified person with a disability to be considered for a position, perform the essential functions of a position, or enjoy the same benefits and privileges of employment as are enjoyed by non-disabled employees. In order to determine whether you are eligible for accommodations under the Americans with Disabilities Act Amendment Act (ADAAA) of 2008, the University will ask that you sign a Release of Information form that permits the University to discuss your medical condition with your healthcare provider. Having a medical condition alone is not enough to make you eligible for accommodation under the Americans with Disabilities Act Amendment Act of 2008. Under the ADAAA, an individual with a disability is a person with a physical or mental impairment that substantially limits one or more major life activities; has a record of such impairment; or is regarded as having such impairment. A substantial limitation is defined as an impairment that prevents the performance of a major life activity that most people in the general population can perform.

The Americans with Disabilities Act Amendment Act of 2008 requires that the University keep medical information confidential. However, the law allows certain individuals to be informed of your condition as needed. These persons can include your manager(s) or supervisor(s), human resource personnel, first aid and safety personnel, personnel investigating compliance with the ADAAA and other persons with a need to know. The law does not prohibit you from voluntarily discussing your condition or medical information about yourself.

Please submit the completed form by Mail or in Person to:
Debbie Dillingham, Director of Education/Compliance and Deputy ADA Coordinator
Campus Mail: NOA 4.302D
U.S. Mail: The University of Texas at Austin, Office of Institutional Equity,
101 East 27th Street, STOP A9400, Austin, Texas 78712-1541
Phone: (512) 471-1847 Fax: (512) 471-8180
E-mail: debbie.dillingham@austin.utexas.edu

I, (first, middle, last name) ______________________________________________________
am requesting that the University provide me with a reasonable accommodation pursuant
to the Americans with Disabilities Act Amendment Act of 2008. I understand that I must be
able to perform the essential functions of my job with or without accommodation.

Position__________________________________________ UT EID: ____________________
Department___________________________________________________________________
Work Address_________________________________________________________________
Work Telephone Number_______________ Home Phone Number_________________
Email:_________________________________________
Immediate Supervisor_____________________   Supervisor’s Number _________________
Briefly, the work I do is

My medical condition is (specify medical conditions which affect your job)

This condition is permanent or expected to last until_______________ (date).

To manage my condition, I take the following medication or use the following aids:

The medications or aids I use ___do____do not have side effects which affect my ability to do my job. If they do, explain.

The activities that my condition impairs are:

The reasonable accommodation I am requesting is

Employee Signature __________________________________________________________

Date________________________________________________________________________
It is the policy of The University of Texas at Austin to provide an educational and working environment that is free from discrimination, sexual harassment and sexual misconduct by members of the university community, visitors to campus and by those who have business or educational relationships with the university.

In accordance with federal and state law, the University prohibits unlawful discrimination, or harassment, on the basis of race, color, religion, national origin, gender, age, disability, citizenship, and veteran status. This policy also prohibits discrimination on the basis of sexual orientation, gender identity, and gender expression.

To insure that situations that may involve discrimination, sexual harassment or sexual misconduct are handled appropriately, every supervisor, administrator and university official, including but not limited to deans and department chairs, is responsible for promptly referring such incidents that come to their attention to either the Office of the Dean of Students or to the Office of Institutional Equity.

It is important that you document the incident about which you file a complaint. Your written account should include the date, time and place of each incident, the behavior involved in the incident, your response to it, and the names of any witnesses. It is also important to retain any documents that pertain to the incident, such as notes, letters and e-mail.

Written complaints should be filed within 90 days of an incident. In the case of a currently enrolled student, if the last day for filing a complaint falls prior to the end of the academic semester in which the alleged violation occurred, then the complaint may be filed within thirty (30) calendar days after the end of that semester.

To report complaints:

Office of Institutional Equity
North Office Building A (NOA)
Suite 4.302
471-1849, equity@utexas.edu

Christa F. López (student complaints)
Associate Director of Student Emergency Services
Office of the Dean of Students
Student Services Building
Room 4.104
471-5017, christa.sandelier@mail.utexas.edu
The Financial Conflict of Interest (FCOI) policy for researchers extends to all research conducted at UT-Austin, whether it is funded or unfunded; and if funded, regardless of project’s funding source.

The policy requires completion of **Conflict of Interest training** at least every four years by all individuals who are responsible for the design, conduct, or reporting of research. These individuals are referred to as **covered** individuals and include PIs, Co-PIs, Co-Is, and often postdocs, graduate students or technical staff. It is the responsibility of the PI to determine which personnel working on a given project are Covered Individuals.

A web-based training course has been implemented and training may be completed at any time. This course is located at [http://www.utexas.edu/research/rsc/coi/training.html](http://www.utexas.edu/research/rsc/coi/training.html)

Upon completion of Conflict of Interest training, all affected researchers will be required to complete a web-based Financial Interest Disclosure (FID) form. There is a delay of 24-48 hours from completion of the training course until the training database is updated. Instructions to submit your financial interest disclosure form (FID) can be found at [http://www.utexas.edu/research/rsc/coi/fid.html](http://www.utexas.edu/research/rsc/coi/fid.html)

- **Covered individuals** complete the Financial Interest Disclosure form annually or within 30 days of when changes occur

- **Approvers**: Electronically approve (act on) all disclosures
  
  **Disclosures** are generally for activities that have already occurred and includes business interests that may be a conflict of interest
  
  **Approvals** are generally for activities that will occur in the future
  
  **Approvers** are people in the chain of approval: typically deans, associate
Sponsored Projects

All externally funded research and sponsored projects must be reviewed by the Office of Sponsored Projects (OSP) prior to submission. Some limited submission proposals will require approval by the department chair prior to submission. Make sure that all faculty and research PIs in your department understand the requirement for OSP submission, review of certain types of research by the IBS (Institutional Biosafety Committee), IACUC (Institutional Animal Use and Care Committee) and IRB (Institutional Review Board for human subjects research). PIs are also responsible for responsible conduct of research and required reporting. NSF, NIH and certain other funding agencies require that all personnel, including students, must receive training in the responsible conduct of research.

Submission

Proposal review is initiated through the Research Management System (RMS)

https://utdirect.utexas.edu/rms/

Other standard forms and boilerplate information is available through the OSP website

http://www.utexas.edu/research/osp/proposal/tools.html

Tuition remission

Tuition remission for graduate research assistants will be required on all grant proposals and contracts, unless the sponsor does not allow tuition remission.

Awards and Contracts

OSP will handle the initial negotiation of the award and will forward the awards to the Office of Accounting to establish accounts for the PI’s use. All research project funding is done through the University.

Financial Conflict of Interest (FCOI)

Investigators must ensure they are in full compliance with the university’s policy. The policy extends to all research conducted at The University of Texas, whether it is funded or unfunded; and if funded, regardless of project’s funding source.
Percent Effort on Grants

The total percent effort on projects should comply with University rules. General, up to 20% time can be spent on activities outside the normal workload. In some cases, cost sharing will be required for effort compensated by the University. More information can be obtained through OSP.

Reporting

Most agencies require annual, or more frequent, reports on sponsored research. These are generally filed through OSP.
Several external entities, including the University of Texas System and Texas Higher Education Coordinating Board, periodically request reports of research expenditures from The University of Texas at Austin. Sponsored research projects that are administered through the Office of Sponsored Projects / Sponsored Projects Award Administration are reported on behalf of researchers to such entities. In contrast, reporting of “non-OSP” research expenditures, defined as funds received from external sources that are explicitly designated for research, is requested from academic departments. Examples of non-OSP research expenditures can include research gifts to individual faculty from industry or private foundations.

The CNS Dean’s office requests a list of all non-OSP research expenditures from Department Chairs annually, typically during the spring semester. Your department chair will collect amounts and sources of non-OSP research expenditures from you and to report this information to the Dean’s office when requested.
Nothing can kill your career more effectively than a finding of misconduct. Having your name on a paper that contains falsified data, misusing grant funds or making sexually inappropriate remarks can lead to severe consequences. This is stuff you know and don’t need a lecture on. The gray areas occur when you suspect misconduct in others. No one likes the idea of turning in someone else for misconduct. However, if it is not reported and stopped, the reputation of the department and institute can be seriously damaged, and in the worst case, the misconduct may continue. You have a responsibility to report misconduct by members of your research team or colleagues. If something seems wrong, it probably is, and you should go talk to your chair. When a chair is notified of misconduct, he or she will notify the appropriate University official before taking action. This will ensure that proper procedures are followed.

**Scientific misconduct**
Misconduct violates not only the relationship between a researcher and The University but also damages the reputations of those involved and of the entire research and scholarly community. Therefore, it is the responsibility of every research investigator to avoid misconduct and to assure integrity in the collection of data, storage of records and proper assignment of credit in publication. It is also the responsibility of all researchers and scholars to report instances of misconduct, as well as instances of retaliation against those who, in good faith, bring charges of misconduct in science or other scholarly research. For the full document, please visit: [http://www.utexas.edu/policies/hoppm/11.B.01.html](http://www.utexas.edu/policies/hoppm/11.B.01.html)

If you are notified of suspected research misconduct, talk to your chair, and either you or the chair should immediately contact the Vice President for Research and/or the Research Integrity Officer.

**Sexual misconduct**
Promptly contact the Office of Institutional Equity to discuss incidents of sexual misconduct prior to taking action in response to them. Sexual misconduct is behavior or conduct of a sexual nature that is unprofessional and/or inappropriate for the educational and working environment.

Behaviors that may constitute sexual misconduct include but are not limited to:
- Repeatedly engaging in sexually oriented conversations, comments or horseplay, including the use of language or the telling of jokes or anecdotes of a sexual nature in the workplace, office or classroom, even if such conduct is not objected to by those present.
- Gratuitous use of sexually oriented materials not directly related to the subject matter of a class, course or meeting even if not objected to by those present.
Failure to observe the appropriate boundaries of the supervisor/subordinate or faculty/student relationship, including the participation of a supervisor, teacher, advisor or coach in an unreported consensual romantic or sexual relationship with a subordinate employee or student.

Other forms of misconduct
When in doubt, call the University Office of Legal Affairs for advice.
COLLEGE OF NATURAL SCIENCES OFFICIAL OCCASIONS AND ENTERTAINMENT EXPENSES POLICY

This policy:

• Covers the requirements and procedures to be followed for funding, payment, or reimbursement of all official occasions expenses including flowers, business meals, receptions, catered meals, refreshments, gifts, awards, etc.
• Applies to all faculty, staff and students in units in CNS, regardless of the source of funds
• Covers events in any location or city, including local events.
• Other restrictions may apply to grant or gift/endowment funding depending on grantor/donor criteria
• In most cases, dictated by university (Handbook of Business Procedures 9.1.1) and/or State rules

An “official occasion” is:

• Defined as a reception, dinner, luncheon, or similar event that is funded by a University account
• Associated with special programs, university guests, meetings, or faculty, staff or student recruitment

Administrative/Business Meetings:

• Involve two or more people and must include a university employee
• Are agenda driven and have a purpose and benefit to UT

Entertainment Activities:

• Food, beverages and related expenses associated with conferences, workshops, seminars, and contract and grant programs.
• Food, beverages and related expenses for working business meetings, luncheons and dinners; faculty and staff retreats; staff meetings; faculty/staff recruitment and retirement functions; special lectures; and similar university business activities associated with conducting the school’s business. Also includes receptions, lunches, and events hosted by an administrative officer of the school
• All current UT student entertainment activities on fee account must be coded 1309.

Pre-Approval of Official Occasions Expenses:

• Must be obtained from the Dean or Assistant Dean for Business Services
  – for proposed events with a projected cost of $3,000 or more
  – expenses must be appropriate and reasonable
  – additional pre-approval must be obtained from the Provost’s Office via the Assistant Dean for Business Services to serve alcohol in any campus facility, including leased space
Meals limits:
- Breakfast - $20/person
- Lunch - $30/person
- Dinner/Reception - $75/person
- Alcohol may not be the primary expenditure (less than 50%)
- Meals/entertainment for prospective faculty candidates not to exceed $750 per day
- Departments may establish lower reimbursement limits.
- Alcohol is not allowed on any undergraduate or graduate student recruiting visits or other student events

Other Official Occasion Expenses
- Club memberships require advance approval from UT’s administrative officers via the Assistant Dean for Business Services
- Flowers for college-related purposes may be charged to unrestricted gift accounts only
- Holiday cards issued in the name of the department may be charged to unrestricted gift accounts only
- Alcohol is **NOT** allowed for undergraduate or graduate student events.

Reimbursement Procedures
- Prepare an Official Occasion Expense Form (OOEF). For events where the estimated total cost exceeds $3,000, submit the OOEF to CNS Office of Assistant Dean for Business Services for pre-approval.
- Prepare an entertainment voucher (VPE) and include the OOEF and original, itemized receipts
- If expenses are incurred during official travel, submit a copy of the approved Request for Travel Authorization (VE5)
- Request for reimbursement must be submitted within sixty (60) days of event/travel, NO exceptions
This policy covers the requirements and procedures to be followed for the funding, payment, or reimbursement of all official occasions expenses including flowers, business meals, receptions, catered meals, and refreshments. This policy applies to all units in the College of Natural Sciences, regardless of the source of funds. In addition, this policy covers events in any location or city. More restrictive policies may apply to grant funding.

This policy has been developed to assist faculty and staff as responsible stewards of College of Natural Sciences funds. In most cases, these policies and procedures are dictated by university (Handbook of Business Procedures 9.1.1) and/or State rules.

For the purpose of this document, an “official occasion” is defined as a reception, dinner, luncheon, or similar event that is funded by a University account. These functions are normally associated with special programs, university guests, or faculty, staff, and student recruitment. Examples include conferences/workshops/seminars, development events (donor receptions, fundraising activities, etc.), planned retreats, staff meetings, retirement receptions, unit or department morale-building events, and other similar activities.

Administrative/Business meetings generally involve two or more people, must include a university employee, are agenda driven, and directly concern university business. Business meeting expenses may be reimbursed if the meal or light refreshment is an integral part of the meeting, not a matter of personal convenience, and the meeting time encompasses a regular meal time and could not otherwise be scheduled during regular working hours. University funds should not be used for social lunches between two or more university employees.
Entertainment Activities

Entertainment activities as official occasions are separated into the following three categories:

1. Workshop, Seminar, Conference or Class (Object Code: 1347): Cost of food, beverages and related expenses associated with conferences, workshops, seminars, and contract and grant programs. Payments to speakers, travel costs for speakers, and participant support fees are not included.

2. Business meetings (Object Code: 1347): Cost of food, beverages and related expenses for working business meetings, luncheons and dinners; faculty and staff retreats; staff meetings; faculty/staff recruitment functions; and similar university business activities associated with conducting the school’s business. Also included are receptions, lunches, and events hosted by an administrative officer of the school (Dean, Assistant and Associate Deans, Department Chairs, Program Directors, or Directors of Organized Research Units).

3. Official Student Occasions (Object Code: 1309): All current UT student entertainment activities must be coded 1309 if on fee funds.

Pre-Approval of Official Occasions Expenses

Pre-approval must be obtained from the Dean or Assistant Dean for Business Services using the Official Occasion Expense Form (OOEF) in the following situations:

- Academic Departments/Research Centers/Dean’s Office: Any proposed event with a projected cost of $3,000 or above. The Department Chair/Director can approve in advance a proposed expenditure of less than $3,000 per event within his/her department. Process: Send OOEF to Gail Davis at least two weeks in advance of any expenditures related to the event.

- Activities where the attendees are primarily members of the same department or unit: Annual events, such as departmental holiday parties and staff appreciation lunches, are allowed and will be approved provided the proposed activities and expenditures are appropriate and reasonable.

- Alcohol in Campus Facilities: Advance approval by the Executive Vice President and Provost is required to serve alcohol in campus facilities, including leased spaces. Approval must be submitted with the Official Occasion Expense Form to the Assistant Dean for Business Services. Vouchers will be rejected if the Provost’s prior approval has not been obtained. Refer to the Provost’s Office website for guidelines and approval. (http://www.utexas.edu/provost/policies/alcohol_guidelines.html)
- Faculty and staff may not approve their own Official Occasion Expense Forms and reimbursements, regardless of the account. They must be approved by someone else with signature authority on the account(s) (chair or director).

- Per HBP 9.1.1, oversight of entertainment expenditures is required at the senior administrative level, i.e. by vice presidents and deans. Only the Dean and Provost have the authority to make exceptions to this policy.

**Meals**

Payment for meals is reimbursed only for official visitors, including prospective faculty and invited lecturers, and other official occasions as defined above. The College of Natural Sciences has established the following average per-person reimbursement limits for meals. Departments may establish lower reimbursement limits. The meal limits include tax and tip (up to 20%) regardless of the account used for payment.

Meal limits per person (includes tax and tip, up to 20%):

- Breakfast: $20/person
- Lunch: $30/person
- Dinner/Reception: $75/person

These limits will be reviewed on an annual basis and adjusted accordingly.

Expenses for alcohol may not be the primary expenditure submitted for reimbursement, that is, greater than 50% of the total expense. In general, alcohol-only expenses will not be reimbursed except for development meetings with donors or prospective donors. The justification for alcohol-only reimbursement must be documented on the Official Occasion Expense Form.

Payment for meals and entertainment of each prospective faculty candidate should not exceed $750 per day.

Attendees at faculty recruiting meals should be limited to the number who can reasonably interact with the faculty candidate. For example, meals generally should involve no more than four people (the candidate and three faculty members) or a total of six people if inclusion of spouses is justified (the candidate and spouse, two faculty members and spouses).

Reimbursement for spouses or guests at a business meeting or meal is almost always not appropriate. There are special circumstances that allow reimbursement, such as during recruiting visits, provided the faculty recruit brings his/her own spouse or guest. Reimbursements for children are not appropriate, except for justified development purposes.

Alcohol is not allowed on any undergraduate or graduate student recruiting visits.
Meals with colleagues and/or staff are almost always not reimbursable expenses. However, there may be special circumstances that justify reimbursement. For example, if a meeting must occur during the lunch hour because the conflicting schedules of the participants prevent the meeting at any other time, this expense is reimbursable.

Other Official Occasions Expenses

For an entertainment expense to be allowed, all those attending must serve a bona fide business purpose. This purpose must be documented on the Official Occasion Expense Form. Companion expenses are generally not reimbursed unless they are for receptions, development, distinguished visitors/lecturers, or recruitment purposes. In order to justify a bona fide business purpose, expenses for a university host's companion are usually reimbursed only if the guest also brings a companion.

Club memberships charged to the school’s accounts require advance approval from UT’s administrative officers. Advance approval by the Provost is required for club memberships for academic and administrative employees. Club initiation fees and monthly fees must be paid as a personal expense unless the membership is used strictly for business purposes. If the membership fee is to be paid using CNS funds, the membership should be paid on a VP2 document. Only the entertainment expense should be paid on a VPE (entertainment document). Monthly statements should be reviewed for inadvertent personal charges, which must be paid by the individual.

Flowers sent by a department or office to honor the deceased or for congratulatory occasions for other University related purposes may be charged to unrestricted gift accounts only. Expenditures from faculty endowed accounts, scholarship accounts, and other restricted accounts are NOT authorized for flowers. The maximum allowable expense is $100 including delivery.

Holiday cards issued in the name of the department or any office may be charged to unrestricted gift accounts only.

Alcohol is NOT allowed for undergraduate student events and is never allowed on fee accounts.

Refer to the appended UT Expenditure Policy Chart for items not cited above.

Account Numbers for Official Occasions Expenses

Payment for meals, refreshments, and related items may be charged only to unrestricted gift accounts, or accounts specifically budgeted for official occasions, with the following exceptions:
- Sponsored Research Funds (26-accounts) may be used with documented advance approval by the sponsor attached to the OOEF.

- Continuing education programs and conferences (19-accounts) may include meals and refreshments if included in the program budget, and allowed by the account.

- Faculty Endowment Accounts (30-accounts) may be appropriate to use occasionally for official occasions. However, the use of faculty endowment discretionary funds for this purpose should not be routine.

- Entertainment expenses paid on Student Fee Accounts must be only for Official UT-Student Occasions.

**Reimbursement Procedures**

As a general rule, the host must be employed by UT at the time costs are incurred. To request reimbursement, an entertainment voucher (VPE) must be prepared, with all claimed expenses supported by original itemized receipts with proof of payment. If receipts are not provided, reimbursement will not be approved. The approved Official Occasion Expense Form (OOEF) must be submitted with the payment voucher (VPE). If expenses are incurred during official travel, a copy of the pre-approved Request for Travel Authorization (RTA) must also be provided.

In order to substantiate the expenditures as a business event and prevent a personal tax liability for these events, the date, location, participants’ names, titles, affiliation with UT, purpose of the meeting, and benefit to the university must be documented on the OOEF.

On the OOEF, if more than ten (10) participants are involved, a general description and approximate number of people in attendance must be stated. For example: “Alumni of the College of Natural Sciences were invited to an annual BBQ reception; approximately 350 are expected to attend.”

Due to Internal Revenue Service (IRS) regulations and the Safe Harbor rules, employee reimbursement expenses older than 60 days require a written explanation as to the reasons for the lateness. These late reimbursement requests will also require additional levels of approval and may be disallowed entirely or reported as taxable income to the payee.

Department chairs, ORU directors, associate and assistant deans and those reporting directly to the Dean, must obtain reimbursement approval from the Dean.

Subordinates may not approve supervisors’ reimbursement vouchers.

**Direct Billing**
A number of catering companies direct-bill the University for food and services. For example, the Texas Union and The Carillon (at the AT&T Center) routinely charge University accounts for events, which require similar documentation. Since the Texas Union will directly bill your accounts via the interdepartmental transfer process (IDT), a copy of the approved OOEF signed by the Assistant Dean for Business Services must be submitted to the Texas Union prior to the event. This process should be followed when using any UT department/facility that uses the IDT process.

An OOEF approved by authorized staff must accompany every reimbursement or payment request.

**Conclusion**

If the appropriateness of the expenditure(s) using University funds is ever in question, please contact the Assistant Dean for Business Services at 47-3285 for clarification *before* a purchase is made.

**APPENDICES**

- *Handbook of Business Procedures 9.1.1*  

- *Official Occasion Expense Form*  

- University of Texas Tax Exempt form  
  ([http://www.utexas.edu/admin/purchasing/taxexemptinfo.html](http://www.utexas.edu/admin/purchasing/taxexemptinfo.html))

- UT Expenditure Policy Chart  

- Guidelines for Requesting to Service Alcoholic Beverages on Campus  
No matter how much you plan and prepare, problems are going to arise. Some of these - a fire in your laboratory, injury to a student in an undergraduate lab - are emergencies that must be dealt with immediately. Others, such as the postdoctoral fellow who refuses to complete required University training and paperwork, or complaints from one member of your research group about another, are more chronic in nature. It is important to remember that ignoring a problem does not mean it will disappear. Usually, an unacknowledged problem will simply get worse. Dealing with problems as they arise will be easier on everyone in the long run.

No one likes dealing with conflicts and personnel problems, but it is part of your responsibility as head of a research group or as a supervisor of TAs. It is important to listen, maintain open lines of communication, learn to negotiate and seek help when you are unsure of how to resolve the problem.

Fortunately, there are a number of people on campus who can tell you what you should, and should not, do in handling complaints, personnel issues and other potential problems.

a. Behavioral concerns
b. Employee assistance program and Dispute Resolution Services
c. Campus Ombuds
   • Faculty and postdoc complaints
   • Staff complaints
   • Student complaints
Most problems can be dealt with at the departmental level, and this is the appropriate place to start. If you are open to listening to faculty, staff and students when they come to you with concerns, you may be able to use the information not only to solve a specific problem but to determine whether there are patterns of behavior or inadequate policies and procedures that need to be changed. Other issues need to be referred immediately to the appropriate University Office. These would include concerns about immediate threats to safety, sexual harassment, unethical conduct of research, and legal issues.

**Threats to safety**
- Contact University of Texas Police Department (UTPD) by calling 911

**Behavior concerns**
- If you are worried about a student in a class, notice a troubling change in behavior of a faculty member or are concerned about the behavior of a staff member and are not sure what to do, contact the Behavior Concerns Advice line at 512-232-5050 or submit your concerns using the online form. Trained staff are available to assist and offer advice.
- Cases that present an immediate threat to self, others, or property should be considered an emergency and should be directed to The University of Texas Police Department (UTPD) by calling 911.

**Legal issues**
512-471-1241
The Office of Legal Affairs should be contacted if legal advice is needed.

**Requests for information under the Texas Public Information Act**
512-471-1422
http://www.utexas.edu/business/vp/open_records.html

Refer open records requests to the Office of the Vice President and Chief Financial Officer. Do not release information about students, even to a parent.
Employee Assistance Program:
512-471-3366
http://www.utexas.edu/hr/eap/

- Provide consultation services for managers and supervisors. They will also provide coaching for first-time managers in your department
- Fitness for duty: medical and mental health evaluations to assess impaired faculty or staff who create a safety hazard in the workplace
- Threat assessment team
- Layoffs and separations
  = Preparing for layoff, termination and nonrenewal
  = How to cope with emotionally charged meetings
  = Personal communication challenges
  = Coaching for managing employee responses
  = Planning the termination meeting with HRS team
  = Coaching for managing reactions and departmental morale after layoffs

Conflict Management and Dispute Resolution Services
http://www.utexas.edu/hr/current/services/dispute/

The Conflict Management and Dispute Resolution Office promotes the resolution of workplace disputes at the lowest level possible using conflict resolution and collaborative processes. The office further supports university departments in providing a neutral setting for conflict. This setting is helpful because emotions can run high and make it difficult for parties to feel heard and understood.

The dispute resolution officer (DRO) serves as an impartial third party to help staff express their workplace concerns, resolve and manage conflict, and learn more productive ways of communicating. The DRO seeks to promote a fair and interest-based conflict management system through the alternative dispute resolution process under the Grievance Policy, mediation, conflict coaching, and training.

- Dispute Resolution Process and Grievance Procedure - The university provides a fair and efficient process for staff to present and resolve complaints and grievances arising out of the employment relationship.
- Conflict Management Services - The office provides facilitation, mediation, consultation, and training services that help the campus community reduce and better manage difficult workplace situations, problems, and conflicts.
- Problem Solving Information and Tips – In a dispute, it's often easier to describe how others respond then to how we respond. This site has information on examining conflict styles and the consequences of those behaviors.
Campus Ombuds

If the problem cannot be solved at the local level, there are University Offices that can help. There are Ombuds for faculty and postdocs, for staff and for students. Campus Ombuds provide confidential, impartial and objective assessments of concerns brought by faculty, staff or students. The Ombuds are advocates for fair process and equity but do not take sides on behalf of the individual or the department. The Ombuds Office reports directly to the Provost (faculty), President (students) and Vice President for Research (postdocs). It is often useful to suggest their services to members of your department who have difficulty in resolving problems.

Faculty (and postdoctoral fellows) Ombuds
www.utexas.edu/faculty/council/ombuds/
512-471-5866

The Faculty Ombuds can
• Listen and identify issues and options
• Answer questions or refer faculty to someone who can
• Help identify desired outcomes and options for resolving problems
• Help determine next steps
• Refer faculty to appropriate office if formal action is needed
• Assist in informally resolving disputes or conflicts by facilitating communication, coaching on conflict resolution, or mediating between willing parties
• Recommend changes to policies and procedures that appear outdated or problematic, but cannot change University rules or policies
• The Ombuds cannot provide legal advice, psychological counseling and is not part of the formal grievance process.

Staff Ombuds
http://www.utexas.edu/staff/ombuds
512-232-8010

The Staff Ombuds provides similar services for staff members. Examples of issues for which staff may seek confidential help are:
• Interpersonal difficulties
• Harassment or discrimination
• Untangling complicated situations
• Questions about policy
• Workplace disputes
• Conflicts of interest
• Disciplinary actions
• Appropriate ways to frame and discuss issues
• Incivility
• Unprofessional conduct
• Threats or retaliation
Student Ombuds
http://www.utexas.edu/students/ombuds
512) 471-3825

The Student Ombuds can help students who have concerns about

- Grade disputes
- Scholastic dishonesty
- Problems with dissertation committees and faculty advising
- Academic dismissal
- Conflicts with faculty
- Student employment concerns
Good communication within the department is facilitated by having an effective form of department governance. Your department’s governance document should clearly establish the chain of communication and the roles of the chair, budget council and faculty in each aspect of academic life in the department.
There are three ways that a department may structure its governance:

- Budget Council
- Executive Committee
- Extended Budget Council

Please see the University policy on Budget Councils for a description of each and procedures for modifications to governance structure.

*Governance must be reviewed and a vote taken on the resulting recommendation, whether to continue with the current mode of governance or to enact a new governance system, at least every three years.*

**Timeline**

Fall (Year 3) Dean's office sends out reminders to departments whose governance structure will be up for review and renewal on August 31 of the following year.
Spring (Year 3) Department's tenured faculty vote to continue or recommend change to departmental governance structure.
Spring (Year 3) Department chair submits requests to dean for renewal of governance structure.
Spring (Year 3) Dean submits department's governance plan to the president for approval. 
Summer (Year 3) Dean communicates approval or requested changes to governance to department.

**Recommendation to Dean**

A department's recommendation to the dean should answer the following:
1. What is the department's current form of governance?
2. What is the department's proposed form of governance?
3. On what date was the governance vote conducted?
4. What is the composition of the proposed governing body's membership; i.e. number of full professors, number of associate professors, and number of assistant professors, as appropriate?

**Voting Status**

A faculty member shall have voting status in a department on departmental matters if he or she holds a full-time appointment in the department in the rank of Professor, Visiting Professor, Associate Professor, Visiting Associate Professor, Assistant Professor, instructor, Senior Lecturer, or Lecturer. The release for research, career development, and endowed chair, or other such activities will not jeopardize the voting status. In addition, a voting member may be one who has a joint appointment in two or more departments that totals a full-time appointment at the University, and holds any of the ranks previously mentioned. However, voting status within a department's governing body is inclusive to those serving on that committee or council only.
**Department Policies:**
In addition to the statement on the form of governance, the department governance document should include the following departmental policies:

- Promotion & Tenure
- Annual and Comprehensive Periodic Review of Faculty
- Merit Raises
- Faculty Recruiting
- Faculty Retention
- Faculty Mentoring
- Diversity and Gender Equity
- The role of Non-Tenure Track Faculty in the governance
Faculty Activity Reports

The department governance document will specify whether the primary form of governance in the department is by a **budget council**, **extended budget council** or **executive committee**. Smaller departments usually have a budget council while larger units may find it more practical to have an executive committee for handling routine items. Even when an executive committee is used, some decisions, such as promotion and tenure will still require a full budget council vote.

The budget council or executive committee is usually charged with making recommendations to the department on faculty hiring, promotion and tenure, faculty evaluation, merit raises, retentions, budgets and workload. Some of these recommendations are advisory to the chair, who is ultimately responsible for decisions in the department. For faculty evaluations and promotion and tenure, however, the chair makes an independent recommendation that may differ from the budget council assessment.

The faculty should all be aware of the roles of the budget council or executive committee and of their individual roles in department governance. There is an opportunity to change the form of governance every three years when the department governance policy is discussed, and there is a vote on renewing or changing the governance document.
The chair should call regular meetings of the faculty to discuss faculty recruiting, curriculum and teaching, budget, and other issues of importance to the faculty and department. Many of the details of running the department are done by the chair, budget council and staff, but these are communicated to the faculty at the meetings. Faculty meetings also provide an opportunity to reiterate important communications from the administration and to seek input from the faculty. At a minimum there should be one faculty meeting per semester.

All teaching faculty, both tenure-track and non-tenure-track, should be invited to meetings where curriculum and instruction are discussed. These should occur at least once a year or more often if significant changes are being made to the curriculum.

The agenda for the faculty meeting should be circulated in advance of the meeting, and the meeting should be scheduled at a time that allows maximum attendance by the faculty. If votes are taken at the meeting, these should be recorded and kept in the department files for reference. A brief, follow-up email to the faculty outlining decisions reached at the meeting is useful, even if detailed minutes are taken and made available.
Lecturers and other non-tenure track faculty play a vital role in the department and college. However, they do always feel that they are fully integrated into the department. They should be provided with opportunities for mentoring, professional development and advancement. More details on most of these issues are included in specific sections of the handbook.

**Communication with the NTT faculty**

NTT faculty should be included on email lists and informed of department activities. You should be listed in the faculty directory on the department website.

The chair and other department leadership, such as associate chair and director of undergraduate advising, should meet with the NTT faculty as a group at least once a year. This provides a forum for exchange of ideas and communication of changes in policies related to NTT faculty.

The departmental leadership should facilitate matching with or assignment of mentors for NTTF for the purpose of development and communication about teaching and to help them navigate the department.

**CNS Committee on NTT Faculty**

The College has a standing committee on NTT faculty that reports through Faculty Affairs and provides a mechanism for communicating lecturer concerns to the College and the departments. Departments are encouraged to work with this committee to share best practices and ideas. Current members of the committee are:

Jane Arledge
Ruth Buskirk
Cynthia Labrake
Mike Scott
Lydia Steinman