



FACULTY HANDBOOK

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PREFACE

This handbook has been written by members of the Rice faculty to provide their colleagues with useful information about the policies, procedures, and services of the university. It does not create a contract or establish a policy; rather it guides members of the faculty to existing policies, which always supersede anything that is said in this handbook and which are readily available on the university's web site (<http://riceinfo.rice.edu/>) and in the president's office. The university is committed to keeping this handbook up to date -- particularly its on-line version. But policies are constantly changing, and members of the faculty should consult the policies themselves to verify what is current. The online version is linked to most relevant documents.

1999-2000 Faculty Handbook Committee

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Affirmative Action/ Equal Opportunity

Rice University seeks to attract qualified individuals of diverse backgrounds to its faculty, staff, and student body. Accordingly, Rice does not discriminate on the basis of race, color, religion, sex, sexual orientation, national or ethnic origin, age, disability or veteran status. Members of the Rice faculty share with the administration responsibility for sustaining this policy. They should work closely with the Director of Affirmative Action and Equal Employment Opportunity Programs.

I. HISTORY

To a remarkable extent Rice University was shaped by the intentions of its founders -- William Marsh Rice and the small group of men who came to share his plans for an institution of higher learning. In the spring of 1891, Rice, a native of Massachusetts who had prospered as a merchant in mid-nineteenth century Houston, decided to endow an institute for the advancement of literature, science, and art and for the instruction of the white men and women of Houston and Texas. Except for the obvious and temporary concession to segregation, Rice was inspired by the examples of Stephen Girard of Philadelphia and Peter Cooper of New York City to create an institute, bearing his name, that would conduct research and provide tuition-free instruction in a nonpartisan and nonsectarian atmosphere. He created a board of seven trustees to oversee the construction and management of his institute after his death. But when in 1900 he was murdered, it took his board of trustees, led by Captain James A. Baker, years to overcome challenges to Rice's will, secure his endowment (initially, 4.6 million dollars), and see that his institute was properly launched. By late 1907, Captain Baker and his fellow trustees had completed a study of other universities and had chosen Edgar Odell Lovett, a classically educated mathematician who was head of astronomy at Princeton University, to be the first president of the William Marsh Rice Institute.

President Lovett, supported by the trustees, gradually refined the character of the new institute. He began by embarking on a nine-month tour of leading universities in Europe and the Far East to reflect on higher education and to recruit distinguished scholars for Rice. He returned to plan a university that would not merely provide an excellent education for undergraduates -- an education that included high academic standards, a residential college system, and an honor code -- but also conduct advanced research and train a small number of doctoral students. These were lofty and expensive aspirations, and although the endowment had grown significantly since 1904, Lovett knew that he could not at once have the comprehensive university that he envisioned, that he would have to emphasize initially only science and engineering. By September 1912, when fifty-nine students assembled for classes on the new campus -- on a flat expanse of prairie just beyond the streets of Houston -- Rice had four buildings and an international faculty of remarkable distinction, a faculty that included Julian Huxley from Oxford in biology, Harold A. Wilson from Cambridge in physics, and Griffith C. Evans of Harvard in mathematics.



Although Rice grew rapidly for nearly two decades after 1912, a lack of funds during the Depression forced retrenchments and kept Rice a small provincial college that emphasized science and engineering until World War II. Then, new leaders with far greater resources were able to initiate nearly three decades of sustained growth, approaching by 1970 the better-balanced university that President Lovett had envisioned in 1912. Blessed with income from oil fields acquired in 1942 and supported by an ambitious board of trustees, Lovett's successors, William V. Houston and Kenneth S. Pitzer, were able to increase the size of the faculty (from 58 in 1938 to 350 in 1970), recruit many prominent scholars (with higher salaries and, after 1962, tenured appointments), create new academic departments, and construct a variety of buildings not just for classrooms and laboratories but also for the residential college system that began at last in 1957. These changes made it possible for Rice -- Rice University from 1960 -- to admit more students, broaden its curriculum, and put a greater emphasis on research and graduate programs. But to sustain the changes -- to become competitive as a national university -- Rice sought changes in its charter that allowed it from 1966 to charge relatively modest tuition and to admit African-American students (Rice had previously admitted as "white," students of other races and national origins).

Even so, when Norman Hackerman became president in 1970 new programs were stretching Rice's resources to their limit. Hackerman balanced his budgets, reorganized Rice into seven schools (administration, architecture, engineering, humanities, music, natural sciences, and social sciences), and helped increase the endowment from 131 to 680 million dollars by 1985. His successors, George Rupp and Malcolm Gillis, were able to pursue further ambitious plans for enhancing Rice: core courses for undergraduate students, more faculty members to support interdisciplinary research (through institutes and centers), additional graduate programs, and seven new buildings between 1985 and 1997. By the mid-1990s Rice had become a university of more than 4,000 students and 450 full-time faculty members, and its

alumni and faculty were distinguishing themselves in a variety of fields (winning since 1978, Nobel Prizes in physics and chemistry and a Pulitzer Prize in fiction). But Rice has remained much as it was conceived by its founders: a relatively small and affordable university pursuing excellence in undergraduate education, in scholarly research, and in a limited number of graduate programs.

For more details about Rice University's history and architecture, see John Boles's *A University So Conceived: A Brief History of Rice* and James Morehead's *A Walking Tour of Rice University*. Each of these books is available in the [Rice Campus Store](#).

II. MISSION

The mission of Rice University, shaped largely by its founder and first president, is to provide an unsurpassed undergraduate education both in the sciences and engineering and in the arts, humanities, and social sciences; to insure that such an education remains affordable; to produce internationally distinguished scholarship in carefully focused areas of research; to maintain the distinctive character of a community of learning that is relatively small in scale; and to serve the continuing educational needs of the larger community.



III. UNIVERSITY GOVERNANCE AND STRUCTURE

Since the early years of the Rice Institute, when President Lovett personally hired faculty and sat as a full member of the board, the university has developed a more complex system of governance. The most important elements, from the perspective of the faculty, are the university's governing board, its administration, its representative councils, its regular meetings of the faculty, and its standing committees.



A. The Board of Trustees

Final legal authority for governance of the university rests with the Board of Trustees, yet in practice many academic decisions are delegated to university officials or to the faculty. For many years, the trustees have demonstrated confidence in and support for the president and the faculty in academic matters. Since July 1, 1998, the board may include as many as 25 members, all of whom are trustees with equal voting rights. A simple majority of the trustees must reside in Texas and at least 4 must reside in the greater Houston area. The board elects new trustees to 4 year terms which may be renewed for up to two 6 year terms. Each year, one trustee is elected to a 4 year term from the membership of the Association of Rice Alumni. The trustees serve without compensation.

Much of the work of the board is done through standing committees: Academic Affairs, Financial Affairs, Building and Grounds, Advancement, Audit and Nominating. In addition, there is an Executive Committee which exercises most of the powers and duties of the full board between board meetings.

From outside its membership, the board selects the treasurer, who oversees the university endowment and reports directly to the board and to the president. In his capacity as vice president for investments, the treasurer also works closely with the university president on long-term financial planning. Both the treasurer and the president are non-voting, ex officio members of the Board of Trustees.

B. The Administration

Through the bylaws and by decision of the board, much of the operation of the university has been delegated to the president and through him to others, including the provost and the faculty. The president is appointed by the board, acting on the recommendations of a search committee that, by custom, includes representatives of the faculty, students, and board. All five vice presidents, the provost, and a few other officials report directly to the president. Department chairs report to the deans of their academic schools (architecture, engineering, humanities, management, music, natural sciences, social sciences), who in turn report to the provost, the chief officer for academic affairs.

Faculty members normally discuss their appointments, duties, and performance with their department chair (or dean, in the case of some professional schools). Faculty members also have occasion to work directly with other administrative officials, for example, with the registrar on assignment of rooms, enrollment of students, recording of grades, or scheduling of exams; with the vice president for student affairs and the staff under his supervision (particularly residential college masters) on counseling of students; or with the vice provost for research and graduate studies on applying for research grants.

C. University Council

The President is advised on university policy matters not only by his own administrative staff but also by a broadly representative University Council composed of the president as chair, the provost, and fourteen additional members, including two individuals appointed by the president from the faculty or administration, eight members of the Faculty Council elected by the faculty, one staff member appointed by the president, one graduate student selected by the Graduate Student Association, and two undergraduate student representatives selected by the Student Association. This council advises the president on the development of general university plans and goals and on the appointment of administrative officers. It reviews and makes recommendations on changes in curriculum and degree requirements and approves the academic calendar before these issues are brought to the faculty for decision. The tenured faculty members of the University Council constitute the Committee on Promotion and Tenure (P&T). See Chapter VI.

D. The Faculty and the Faculty Council

The faculty participates in university governance both directly, in general faculty meetings, and indirectly, through its elected representatives on the Faculty Council. By custom, the Rice faculty collectively has the authority to establish new degree programs, to establish or modify graduation requirements, and to approve candidates for Rice degrees. Items on these and other topics that come before the general faculty may originate in standing committees, in ad hoc committees, in the Faculty Council, or in the administration. The president presides at meetings of the general faculty, which take place at least four times a year. Typically, before coming to the general faculty, proposals for action by the faculty pass through both the Faculty Council and the University Council, either or both of which may make recommendations.

As an elected body which broadly represents the faculty, the Faculty Council considers a wide range of problems and policies, including all proposals for changes in curriculum and degree requirements. It also serves as the primary advising body to the president on policy decisions and matters affecting the faculty. This council is composed of eight elected faculty members who serve also on the University Council plus another eight who serve exclusively on the Faculty Council. In each of these two elected groups of eight, there are two positions for assistant professors, five for associate or full professors, and one at-large. Also in each group, three positions are assigned to Division A (architecture, humanities, management, music, and social sciences) and three to Division B (engineering and natural sciences).

In elections to Faculty Council positions, the "voting faculty" is composed of all tenured faculty; all full-time untenured professors, associate professors, and assistant professors; all full-time lecturers and instructors who have two or more years in these positions at Rice University; and part-time professors, associate professors, and assistant professors designated as half-time or more, with two or more years of such service to Rice. All of these faculty members also have the right to attend faculty meetings and to vote on all measures. In addition, research faculty are entitled to attend faculty meetings and to vote on all matters except those pertaining to tenure and exclusively to undergraduate affairs.

Each year the Faculty Council elects a speaker, who acts as its chief spokesperson and as spokesperson for the faculty. All faculty members are invited to attend Faculty Council meetings as guests but are advised to consult with the speaker in advance if they wish to address the group or to bring an issue before it. The minutes of Faculty Council meetings, along with announcements of future meetings, are distributed to the faculty regularly in the *Proceedings of Faculty Council*, which are published by the office of the Faculty Council. The Faculty Council maintains six permanent committees: the Policy Committee, the Committee on Committees (which recommends candidates to the president for appointments to university standing committees), the Appeals Committee (which is discussed below), the Elections Committee (which conducts elections to the Faculty and University Councils), the Committee on Athletics, and the Faculty Compensation Committee (which prepares an annual survey of faculty compensation and benefits).

E. University Standing Committees

For many faculty members, the most frequent opportunity to participate with colleagues in other departments and schools in university-wide affairs is through membership on one of the university standing committees. Faculty members are appointed by the president on recommendation from the Committee on Committees of the Faculty Council. This committee seeks nominations for assignments to particular committees from deans and department chairs. It also polls faculty members directly with respect to their preferred committee assignment. Some committees also include undergraduates, graduate students, and alumni, who are nominated by the associations that represent those groups. While all committees perform a consultative and advisory role, most also have specific ongoing tasks. Beginning in July 1998, there are twenty-one university standing committees, not including the University Council and Faculty Council:

- Committee on Admission and Student Financial Aid
- Committee on Affirmative Action
- Committee of the College Masters
- Committee on Computers
- Committee on Environmental Health and Safety
- Committee on Examinations and Standing
- Committee on Faculty and Staff Benefits
- Committee on the Faculty Handbook
- Committee on the Library
- Committee on Parking
- Committee on the President's Lecture Series
- Committee on Salary Equity
- Committee on Scholarships and Awards
- Committee on Teaching
- Committee on the Undergraduate Curriculum
- Graduate Council
- Research Council
- Residential Colleges Management Advisory Committee
- Rice University Athletics Committee
- Rice University Marshals Committee
- R.O.T.C. Committee

Although the names of most of these committees accurately suggest their responsibilities, a few do not. The Committee on Examinations and Standing ("Ex&S") is concerned with the implementation of academic rules and policies. Among other duties, it considers and makes recommendations on student petitions for exceptions to the usual rules. The Committee on Salary Equity deals exclusively with the issue of gender equality. The Rice University Marshals Committee helps to organize and supervise commencement and other academic celebrations. The on-line version of this handbook includes the specific charges to university committees. From time to time, the president and/or provost ask faculty to serve on additional ad hoc committees to conduct a search for an administrative officer or to study and offer advice on a particularly important policy issue.

F. The Residential College System

As early as 1912, President Edgar Odell Lovett dreamed of a system of residential colleges for the students of the new Rice Institute. Those colleges, modeled loosely on the colleges of Oxford and Cambridge, would, he hoped, stimulate intellectual life by bringing students and faculty together outside the classroom and promote democratic self-government among the students. Although President Lovett's dream of a college system was not realized until

1957, that system has subsequently flourished, providing Rice with one of its most unusual and rewarding attributes. There are at present eight colleges: Baker, Brown, Hanszen, Jones, Lovett, Sid Richardson, Wiess, and Will Rice. Each college has about 220 resident and 120 nonresident undergraduate members -- men and women assigned randomly to promote academic and intellectual diversity. Each also has its own residence and dining halls, self-government, and distinctive social, athletic, and cultural program.

As Lovett intended, members of the faculty are an indispensable part of the college system. At least one member of the faculty serves as master of each college, residing with his/her family in the master's house and working with students and other faculty members to sustain the college government, advise students, and support the intellectual, social, and cultural life of the college. In addition to the master, there are usually two resident associates and up to twenty-five nonresident faculty associates in each college. These associates work closely with freshman advising groups, provide formal academic counseling for freshmen and sophomores, eat frequently in the college, and take part in a variety of college events -- from intramural athletics to theatrical and musical performances to intellectual and cultural programs. Many faculty members find their association with the colleges a most satisfying way to come to know students and faculty members outside their academic fields. Although new faculty are assigned to one of the colleges for their first year at Rice, they cannot choose to become associated with that or any other college -- they must be invited. But they can greatly improve their chances of becoming an associate or master by demonstrating a strong interest in their students. The university values and rewards service to the colleges.

IV. FACULTY RIGHTS, PRIVILEGES, AND RESPONSIBILITIES

Faculty members enjoy a great measure of professional autonomy. Collectively, they have a primary role in deciding who will teach, what will be taught, and what students will be expected to learn; and they play an important role in institutional governance. Individually, they have considerable freedom in pursuing their scholarly and educational work. Faculty members also have a number of rights and privileges, including the right to academic freedom and, for those who have earned it, the privilege of tenure. But faculty autonomy, rights, and privileges are combined with professional responsibilities; and this combination of rights and responsibilities shapes to an important degree the roles of faculty members.

Rice University makes decisions concerning the appointments and promotions of faculty members, the assignment of teaching and other academic duties, the support and sponsorship of scholarly research, and the granting or withholding of benefits and the imposition of burdens without regard to political, social, or other views not directly related to academic responsibilities.

A. Academic Freedom and Free Expression

"Academic Freedom ... is of transcendent value to all of us and not merely to the teachers concerned. That freedom is therefore a special concern of the First Amendment, which does not tolerate laws that cast a pall of orthodoxy over the classroom The classroom is peculiarly the marketplace of ideas. The Nation's future depends upon leaders trained through wide exposure to that robust exchange of ideas which discovers truth out of a multitude of tongues, [rather] than through any kind of authoritative selection."

Supreme Court Justice William Brennan
Keyishian v. Board of Regents (1967)

The law recognizes in academic freedom a principal means of safeguarding free expression throughout society. In *Keyishian*, Justice Brennan put academic freedom at the very core of First Amendment protections. Two other justices, Felix Frankfurter in *Sweezy v. New Hampshire* (1957) and Lewis Powell in *Regents of the University of California v. Bakke* (1978), saw fit to incorporate into their opinions a still more expansive definition of academic freedom, the "Statement of Remonstrance" addressed to the government of South Africa by senior scholars at the Open Universities of Cape Town and Witwaterstrand. "A university ceases to be true to its own nature," they wrote, "if it becomes the tool of Church or State or any sectional interest. A university is characterized by the spirit of free inquiry, its ideal being that of Socrates -- to follow the argument where it leads... . It is the business of a university to provide that atmosphere which is most conducive to speculation, experiment, and creation. It is an atmosphere in which there prevail the four essential freedoms of a university -- to determine for itself on academic grounds who may teach, what may be taught, how it shall be taught, and who may be admitted to study."

Quite apart from its value to society at large, freedom of expression is the enabling precondition of the academic enterprise, for where people hesitate to speak their mind, critical thinking has no purchase and the university cannot even begin to carry out its mission. That is why academic freedom and its material complement, tenure, have become defining features of university life. But because free expression can be deeply disturbing, none of us, whether inside or outside of the academy, is immune to the

temptation to suppress offensive speech by force, censorship, or intimidation. It is accordingly incumbent on each individual associated with the university -- whether as student, teacher, administrator or trustee -- to exercise the vigilance and self-restraint without which freedom of expression cannot flourish. In the university, even more than in democratic society at large, the principle of free thought must prevail, not just "free thought for those who agree with us," as Justice Oliver Wendell Holmes Jr. warned in *U. S. v. Schwimmer* (1928), but "freedom for the thought we hate."

Liberating though its influence has been, academic freedom, like other freedoms in civil society, carries with it an implicit burden of self-restraint, not only in responding to the views of others, but also in expressing one's own views. The American Association of University Professors, founded in 1915 specifically to cultivate and defend the rights of academic freedom, has consistently acknowledged the need for restraint. The most authoritative statement of the rights of academic freedom as they exist today is the AAUP's "[1940 Statement of Principles](#)." It defines three facets of academic freedom (freedom of inquiry, teaching, and extramural utterance) and explicitly calls attention to the limits of each:

(a) Teachers are entitled to full freedom in research and in the publication of the results, subject to the adequate performance of their other academic duties; but research for pecuniary return should be based upon an understanding with the authorities of the institution.

(b) Teachers are entitled to freedom in the classroom in discussing their subject, but they should be careful not to introduce into their teaching controversial matter which has no relation to their subject. Limitations of academic freedom because of religious or other aims of the institution should be clearly stated in writing at the time of the appointment.

(c) College and university teachers are citizens, members of a learned profession, and officers of an educational institution. When they speak or write as citizens, they should be free from institutional censorship or discipline, but their special position in the community imposes special obligations. As scholars and educational officers, they should remember that the public may judge their profession and their institution by their utterances. Hence they should at all times be accurate, should exercise appropriate restraint, should show respect for the opinions of others, and should make every effort to indicate that they are not speaking for the institution.

The ideal of freedom of expression can be a hard taskmaster, especially when we are deciding how to respond to expression that offends us. The burdens it imposes are most eloquently expressed in the *Report of the Committee on Freedom of Expression at Yale* (1975), a thoughtful examination of one university's mixed successes and failures during the campus disruptions of the 1960s and 70s, when controversial speakers were sometimes silenced by well-meaning protesters.

If freedom of expression is to serve its purpose, and thus the purpose of the university, it should seek to enhance understanding. Shock, hurt, and anger are not consequences to be weighed lightly. No member of the community with a decent respect for others should use, or encourage others to use, slurs and epithets intended to discredit another's race, ethnic group, religion, or sex. [But] it may sometimes be necessary in a university for civility and mutual respect to be superseded by the need to guarantee free expression. The values superseded are nevertheless important, and every member of the university community should consider them in exercising the fundamental right to free expression.... [Still,] if the university's overriding commitment to free expression is to be sustained, secondary social and ethical responsibilities must be left to the informal processes of suasion, example, and argument.

Tolerating offensive expression does not mean putting up with slander, defamation, "fighting words," or gratuitous personal insults. Neither does it mean abstention from judgment. What freedom of expression requires is not passivity in the face of expressions that offend, but a readiness to debate openly differences of opinion in a spirit at once candid and civil. The best response to offensive speech is neither silence nor censorship, but more speech, preferably cast in the form of arguments exposing the inadequacies of that which offends. Of all the institutions of society, the university is the one most deeply committed to the sublimation of conflict into reasoned argumentation. Far from being a scene of indiscriminate toleration where "freedom of expression" degenerates into "anything goes," Rice University, like other universities, is properly a forum for judgment and mutual criticism, in which all opinions are entitled to a respectful hearing, none is exempt from criticism, and only those that earn acceptance on their intellectual merits remain in circulation.

The foregoing section, "Academic Freedom and Free Expression," was approved unanimously by Faculty Council of Rice University on April 27, 1999. For more details about academic freedom, see:

- William Van Alstyne, "Academic Freedom and the First Amendment in the Supreme Court of the United States: An Unhurried Historical Review," in *Freedom and Tenure in the Academy: The 50th Anniversary of the 1940 Statement of Principles*, ed. W. Van Alstyne (Durham: Duke University School of Law, 1990).
- "[1940 Statement of Principles on Academic Freedom and Tenure](#)," in *American Association of University Professors, Policy Documents and Reports, 1995 Edition* (Washington DC: AAUP, 1995).
- *Report of the Committee on Freedom of Expression at Yale*, [Chair, C. Vann Woodward] (New Haven: Yale University, 1975) and the [Yale Undergraduate Regulations](#).

Copies of the complete *Report of the Committee on Freedom of Expression at Yale* are available in the offices of the president, provost, and Faculty Council and in the Woodson Research Center in Fondren Library.



B. Tenure

Academic tenure protects faculty members from being dismissed for teaching, researching, or inquiring into areas that might be politically or commercially controversial. The process of exploring and expanding the frontiers of knowledge often challenges the established order. Tenure is valuable not merely as a protection for individual faculty members but also as an assurance to society that the pursuit of truth and knowledge commands the faculty's first priority. The privileges of tenure include: (a) continued employment as an associate professor or professor until voluntary retirement or resignation, with the possible exception of dismissal for cause or termination due to the discontinuation or reduction of a program, (b) equitable compensation and benefits, (c) continued institutional support for teaching and scholarship, and (d) continued involvement in the academic mission of the university. (For further information on tenure, see [Section VI.A.](#))

Because tenure is a privilege with the purpose of protecting academic freedom, it is offered after extremely careful deliberation and only to those faculty members who have demonstrated an unusual capacity for a lifetime of scholarship, teaching, and service. Tenure does not protect demonstrated incompetence in teaching and research, substantial and manifest neglect of duty, or serious misconduct. A tenured professor who faces such charges may be dismissed for cause through proceedings carefully crafted to assure academic due process, as described in [Section IV.I.](#) A tenured professor may also be dismissed because the university has in good faith decided to discontinue or reduce a program, department, or other segment of the university. The decision to discontinue or reduce a program will be implemented only after consideration of the educational, economic, and other aspects of the decision, and review by the Board of Governors. An effort will be made to ease any dislocation experienced by the faculty members involved. See [Policy 201-97 "Faculty Appointments, Promotions, and Tenure."](#)

Tenure does not mean not having to be reviewed. Rice reviews all faculty members annually to consider salary adjustments. In addition, department chairs hold periodic performance reviews with all departmental faculty members to evaluate and encourage their professional growth according to a schedule and a procedure described in [Policy 214-96 "Faculty Performance Reviews."](#) See also [Chapter VI.](#) These routine professional reviews are distinct and separate from individualized disciplinary procedures that might lead to dismissal for cause.

C. Professional Responsibilities and Duties

Research, teaching, and service are all essential obligations of Rice faculty members. But because long-term success in teaching and continued effective service to Rice and other communities depend on intellectual vitality, scholarship is the foundation of academic life at Rice. Members of the Rice faculty are, therefore, expected to engage in research, reflection, and publication or in other creative efforts that expand knowledge or enrich cultural life. These demanding scholarly and creative undertakings are fundamental to the educational work of the university -- not just to graduate but especially to undergraduate education.

In the words of Edgar Odell Lovett, "the most distinguished teachers must take their part in undergraduate teaching, and their spirit should dominate it all." The faculty should, therefore, devote considerable time and thought to their teaching -- to keeping abreast of new scholarly work in their fields, to preparing carefully for their classes, and to being reasonably available to their students outside of class for advice, counseling, and instruction. They should also become familiar with academic regulations for students described in the *General Announcements* (especially "[Faculty Grading Guidelines](#)") and with the Honor System. At the end of each semester, they should encourage and make time for students to complete the teaching evaluation forms that are prepared by the Committee on Teaching. (Although faculty are not required to have their teaching evaluated, evaluations are used in annual reviews, in promotion and tenure decisions, and in periodic reviews of tenured faculty.)

In addition to their scholarly research and teaching, faculty members are expected to serve their departments, schools, and the university. They have a primary responsibility to: (a) determine the curriculum, subject matter, methods of instruction, and other academic standards and processes, (b) establish the requirements for earning degrees, and (c) evaluate the appointment, reappointment, promotion, and tenure of faculty members. In these capacities they are making collective recommendations to the administration and governing boards on academic standards and policy and on faculty status. The faculty are also encouraged to take part in college life as associates and masters (see [Section III.F.](#)), to serve on departmental and university committees, to stand for election for Faculty and University Councils, to shoulder various administrative responsibilities by serving as directors of centers and institutes or as department chairs (see [Policy 103-95 "Policies Related to Department Chairs"](#)), and to serve the public through professional

organizations and community outreach activities.

In fulfilling their obligations, faculty members are expected to have a substantial presence on campus during the academic year, beginning with freshman orientation and ending with commencement, which they are expected to attend. A member of the faculty with research projects or other commitments requiring a lengthy absence from the campus during the academic year should apply through her/his department chair to the president's office for a leave for the period in question. See [Section VII.B](#) below for guidelines on normal professional travel and [Policy 206-71 "Summer Recess for Faculty Members."](#)

More generally, membership in the academic profession carries with it special responsibilities. Faculty members should demonstrate ethical behavior in their professional dealings with students, colleagues, staff, and persons outside the university. As teachers, they should encourage the free pursuit of learning, holding to the best scholarly and ethical standards of their disciplines. Faculty members have obligations to their colleagues that derive from common membership in the community of scholars. In the exchange of criticism and ideas, they should respect the opinions of others and defend the free inquiry of associates. As members of an academic institution, faculty members should recognize that their paramount responsibilities are within the university and give due regard to these responsibilities in determining the level of activities that they can assume outside the university. See [Policy 216-97 "Outside Activities of Faculty and Faculty Fellows."](#)

D. Faculty Responsibilities under the Honor Code and the Advising System

1. Honor Code

Faculty members have a particular responsibility to support the university's Honor Code. That code provides not only a comprehensive system for completing assignments and examinations but also a commitment to integrity as a part of a Rice education. Faculty members should follow carefully the [Honor Council's](#) booklet, *"The Role of the Faculty in the Honor System,"* which establishes guidelines for writing course syllabi, conducting examinations, assigning homework and papers, and -- what is most important -- dealing with suspected violations. (See also the *"Honor System Guide for Rice Faculty"* that is available on Rice's website, [Riceinfo](#).)

2. Student Advising in Departments and Colleges

Faculty members are expected to advise Rice students. The faculty are organized within their departments to assist undergraduate majors and graduate students in planning their courses of study and their subsequent careers. Those faculty who also serve as divisional advisors, associates, and masters in the residential colleges help freshmen and sophomores choose courses and adjust to college life. Beyond that, the faculty are encouraged to associate informally with students, especially in the colleges; but they are reminded that Rice adheres to state laws that prohibit the serving of alcoholic beverages to students under twenty-one. (See [Academic Handbook for New Students](#).)

3. Employing Students and Respecting their Privacy

Faculty members who need assistance with their teaching or research may be able to employ students. They should see their departmental coordinators for information on work/study or other programs that support students while they work within the university. In some cases, there may be opportunities to give students course credit in place of monetary rewards for appropriate academic efforts.

Faculty should also be aware that students have a clearly established right to privacy under the [Federal Family Educational Right to Privacy Act](#) (or Buckley amendment). The faculty should, therefore, be careful to protect students' privacy when dealing with grades, records, and letters of recommendation. The [Registrar](#) can help anyone who is uncertain how to comply with the Buckley amendment.

E. Faculty-Staff Relations

The Rice University staff includes literally hundreds of talented individuals. These women and men support the faculty through department, school, and university offices. They maintain and develop the library and a variety of laboratories; they schedule classes and keep academic records; they provide meals throughout the university; and they keep the campus safe and attractive. The staff works very hard to serve the university community and to carry out policies they rarely establish. They deserve the respect, appreciation, and consideration of all members of the faculty.

F. Grievance

Faculty grievance is a grievance against an action, judged by a faculty member to be unjust or unfair, that affects directly and adversely academic freedom, economic conditions, professional status, or some other circumstance of employment. Included among such grievances are disputes relating to the interpretation of an appointment letter, enforcement of university policies governing faculty conduct, and decisions such as assignment of academic duties. The most immediate appeal in case of a faculty grievance should be made to the appropriate university official. If this appeal fails to remedy the situation, then a further appeal should be directed to higher-level officials. Thus, if the department chair cannot resolve the dispute, the appeal should go to the appropriate dean, and, if that also fails, to the provost. If none of these appeals is successful, then a faculty member may file a grievance. Grievances are handled by the Appeals and Grievances Committee of the Faculty Council. This committee will hear two kinds of cases: appeals concerning whether proper university procedures have been followed (for example, in decisions on promotion and tenure) and grievances regarding any matter of concern (except decisions on promotion and tenure, which are subject only to procedural appeals). After hearing the case, the committee will submit a report with recommendations to the president with a copy to the speaker of the Faculty Council and to the appellant or grievant. If the grievance is not resolved by this process, the faculty member may request a formal hearing as outlined in Procedure for Investigating Accusations...

G. Discrimination and Sexual Harassment

Membership in the academic community imposes on faculty members, university officials, and students an obligation to respect the dignity of others, to acknowledge their right to express differing opinions, and to foster and defend intellectual honesty, freedom of inquiry and instruction, and free expression on and off campus. It is therefore the policy of Rice University to provide an environment that is free from discrimination on the basis of race, color, religion, sex, sexual orientation, national or ethnic origin, gender, age, disability or veteran status. Any discriminatory conduct seriously undermines the atmosphere of trust and respect that is essential to a healthy academic environment.

Furthermore, it is Rice University's policy to take affirmative action to ensure equality of opportunity in all aspects of employment. Members of the Rice faculty share with the administration responsibility for sustaining this policy and should work with the Office of Affirmative Action to ensure that women and individuals from minority groups will have an equal opportunity to be considered for and appointed to faculty positions. The following policies describe Rice's affirmative action guidelines in greater detail: Policy 815-96 "Equal Employment Opportunity/Affirmative Action Policy," and Policy 821-92 "Equal Opportunity/Affirmative Action Statement for Use on Publications and Advertisements," and the September 18, 1997, Resolution of the Board of Governors: "The Rice University Commitment to Cultural Inclusiveness."

The Rice Women's Commission explores and evaluates issues relating to Rice women, formulates specific recommendations to the administration, and educates the Rice community about behaviors and attitudes that operate to the detriment of women. The ultimate goal of the commission is to ensure a positive environment for women on the Rice campus. The commission, which consists of fourteen women (faculty, staff and students) was formed in 1987 and has dealt with a wide range of issues.

Sexual harassment is prohibited by law. It is the policy of Rice University to provide an environment that is free from sexual harassment. Sexual harassment may involve the behavior of a person of either sex against a person of the opposite or same sex and occurs when such behavior constitutes unwelcome sexual advances, unwelcome requests for sexual favors, and other unwelcome verbal or physical behavior of a sexual nature where:

submission to such conduct is made either explicitly or implicitly a term or condition of an individual's education or employment;

submission to or rejection of such conduct by an individual is used as the basis for academic or employment decisions affecting the individual's welfare; or

such conduct has the purpose or effect of substantially interfering with an individual's welfare, academic or work performance, or creates an intimidating, hostile, offensive, or demeaning education or work environment.

This policy applies to all members of the university community, who are encouraged to report promptly complaints about sexual harassment. Persons found to be in violation of this sexual harassment policy will be subject to

disciplinary action that may include, but is not limited to, written warning, demotion, transfer, suspension, or dismissal. Details are provided in [Policy 830-98 "Rice University Sexual Harassment Policy and Procedures"](#) and the September 1997 [Resolution of the Board of Governors on Sexual Harassment](#).

H. Amorous Relationships

Faculty members should be aware that there are special risks in a sexual or romantic relationship between individuals in inherently unequal positions, such as teacher and student or supervisor and employee. This inequality, as recognized by the faculty, "brings into question the whole concept of 'consent' to amorous relationships, which are especially troublesome if the relationships are sexual. Because of the unique nature of the teaching environment, relationships that might otherwise be private and 'consensual' can have a very negative impact on the academic community by compromising the ability of the faculty to teach and to evaluate all students fairly. Furthermore, students and others not directly involved in the relationship may be adversely affected by favoritism being shown. Faculty should recognize their vulnerability to subsequent allegations of sexual harassment and/or unprofessional conduct even when both parties appear to have consented to a relationship. An indirectly affected third party may also make allegations under the [University Sexual Harassment Policy](#). For these reasons, amorous relationships between faculty members and students are usually unwise. Moreover, when the faculty member has direct professional jurisdiction over the student, any sexual relationships (including sexual touching and sexual propositioning) violate professional ethics. Any amorous relationship between faculty and students could result in disciplinary action if a complaint is filed as described in the Sexual Harassment Policy. . . .

To retain an atmosphere of trust and free inquiry in the educational process, those in positions of authority must studiously avoid associations or activities that abuse or even appear to abuse the power that they have been granted. On the other hand, this statement is not intended to discourage non-amorous friendly associations between faculty and students, which constitute a great strength of our University."

The faculty approved this statement to be used in addition to [Policy 830-98 "Rice University Sexual Harassment Policy and Procedures"](#) in September 1991 and revised it in 1992 and 1998.

I. Dismissal and Sanctions for Cause

Dismissal of faculty members with tenure or with a term appointment before the end of the term can occur only for cause. Adequate cause for dismissal must be related directly and substantially to the fitness of a faculty member in his/her professional capacity as teacher and scholar. A faculty member will be dismissed for cause only after he/she has had an opportunity for a formal hearing by a Faculty Hearing Panel convened for the express purpose of considering dismissal for cause. The procedure to be followed during dismissal hearings is established by the Faculty Council. This procedure ensures an opportunity for a dignified, careful, and fair hearing, guaranteeing due process. Following the hearing, the panel will weigh the evidence and give the president a written report, containing its findings and recommendations. The final decision will be made by the president after reviewing the report. If he/she rejects the report, both the panel and the faculty member will have an opportunity for further comment before the case is transmitted to the board. Pending a final report by the panel, the administration can suspend the accused faculty member with full pay only if there is a threat of harm to persons or property. No severe sanction may be imposed on any faculty member without due process. Thus, if the administration believes that the behavior of a faculty member is grave enough to warrant strong punitive action, the case must be evaluated by a procedure identical to that used in investigating charges warranting dismissal. See [Policy 201-97 "Faculty Appointments, Promotions, and Tenure"](#) and [Procedure for Investigating Accusations...](#) .

J. Public Relations

1. Communications Channels

Rice University publicizes the work of its faculty (as well as students and alumni) through two publications: The [Rice News](#), a bi-weekly publication prepared in the Rice Office of Public Affairs and distributed mainly on the campus, and the [Sallyport](#), a quarterly publication of the Division of University Advancement that is distributed to alumni, faculty, and friends. The Rice public affairs office also helps faculty bring their work to the attention of the news media. A current listing of [scholarly interests](#) of the faculty and faculty fellows is maintained by Office of Institutional Research and can be found on-line.

Although Rice encourages faculty members to share their accomplishments with the public, the faculty do have a responsibility to speak and write with accuracy and with respect for the opinions of others. The faculty should make clear when they speak on their own authority and when as advocates for any group or for the university.

2. Political Activities

Faculty members acting as individuals and not in the name of the university have the right to express their opinions, to picket, and to hold demonstrations or meetings on campus so long as such activities do not violate local, state, or federal laws, and so long as university functions are not disrupted and access to any part of the campus is not impeded (see [Policy 802-82 "Use of University Facilities and Scheduling Campus Events"](#)). Any event sponsored or presented by faculty members or campus organizations must adhere to the procedures cited in this policy.

The university, as a tax-exempt organization, is also subject to federal and state law concerning activities of a political nature. Tax-exempt organizations are limited in the ways they may influence legislation or intervene in political campaigns on behalf of candidates for public office. Faculty members wishing to engage in lobbying may be limited by the Byrd amendment to the 1990 Department of Interior and Related Agencies Appropriations Act, which bars the use of federal funds to influence the awarding of specific federal grants, contracts, and loans. Faculty members should consult the [president's office](#), the [sponsored research office](#), or the general counsel for advice on these issues.



V. FACULTY APPOINTMENTS

Rice has a faculty of nearly 750 women and men -- approximately 460 full-time, 140 part-time, and 150 adjunct faculty -- holding a variety of appointments. Appointments are of three general types: those within the professorial ranks are tenured or tenure track and usually full-time; those within the nonprofessorial ranks are untenured and include a diverse array of positions; and those within the research ranks are untenured term appointments. These three types of appointments are described below and are covered by [Policy 201-97 "Faculty Appointments, Promotions, and Tenure."](#) Certain faculty members are still covered by [Policy 201-87 "Faculty Appointments and Tenure at Rice University."](#) See [Section VI.A](#) for applicability.

A. Professorial Ranks

1. Assistant Professor

An appointment to the rank of assistant professor normally requires the prerequisite of a doctoral degree or its equivalent in creative or scholarly achievement. When the requirements for the doctoral degree are not completed before November 1st of the first year at Rice, the appointment is changed to an annually renewable appointment as an acting assistant professor. See [Section V.B.4](#) and [Policy 203-97 "Faculty Appointments -- Assistant Professor."](#)

The initial appointment of an assistant professor is for four years. Rice reviews all assistant professors in the third year of their first appointment and, if their performance is satisfactory, offers them a second four-year appointment. Although review for promotion and tenure can take place at any point during these two four-year appointments, review cannot occur later than the seventh year as an untenured assistant professor. This rule ensures that a candidate denied tenure will have one additional year in which to seek an alternative appointment. The only circumstances that can delay tenure review to a point beyond the seventh year involve leave(s) of absence. For example, a maternity leave can delay review by one year (but only twice; see [Policy 201-97 "Faculty Appointments, Promotions, and Tenure"](#)).

2. Associate Professor

Promotion to the rank of associate professor includes the award of tenure. But individuals may enter Rice on an initial appointment as an untenured associate professor. Such an appointment cannot exceed three years, and such a faculty member must achieve tenure within seven or fewer years. See [Policy 201-97 "Faculty Appointments, Promotions, and Tenure."](#)

3. Professor

Promotion to full professor typically follows after promotion to associate professor. Promotion to full professor is not a requirement for continued service at Rice, however, and should not be viewed as an automatic advancement. Promotion to the rank of professor normally carries continuing tenure, but policy does provide for an initial three-year appointment as an untenured full professor. Untenured full professors must achieve tenure within seven or fewer years. See [Policy 201-97 "Faculty Appointments, Promotions, and Tenure."](#)

4. Part-Time Appointments

With very few exceptions, part-time appointments within the professorial ranks involve individuals who were once full-time Rice faculty members and later opted for part-time status as a result of commitments elsewhere. The initial appointment specifies the period for which the individual will serve part-time and can be renewed without limit to the length of service in this status. Tenured part-time individuals may be permitted to resume their full-time status at a later date.

5. Emeritus/Emerita Status and Supplemental Appointments

Upon retirement from Rice, a faculty member may be granted the status of emerita/emeritus professor. This is an honorary appointment meant as a recognition of distinguished service to Rice and the scholarly community at large. Sometimes Rice rehires an emeritus/emmerita faculty member on a part-time, term appointment to teach a course, carry on research, or fill an administrative position. Without such a supplemental appointment, an emerita/emeritus faculty member is not an employee of the university and may not be entitled to hold federal grants and contracts. Emeritus/emmerita status is retained during supplemental appointments.

B. Nonprofessorial Ranks

1. Part-Time Appointments

With the few exceptions discussed in [Section V.A.4](#) above, part-time appointments are within the nonprofessorial ranks. If subsequently a part-time member of the faculty gains a tenure-track appointment, her/his prior part-time service will not be included in the time limits associated with the tenure-track position. See [Section V.A.1](#) above.

2. Administrative Appointments

Rice frequently appoints faculty members to such administrative positions within the university as departmental chair or dean. Although such faculty members retain the tenure rights associated with their university ranks, they do not have tenure in their administrative appointments.

3. Instructor

The position of instructor is untenured. An instructor's initial appointment may be for up to two years and may be extended for up to a total of eight years. Appointment as an instructor carries no eligibility for any other position.

There are several named instructorships within the School of Natural Sciences. These instructorships are one- or two-year untenured appointments that are in some ways comparable to postdoctoral research fellowships but do carry a teaching requirement.

4. Acting Assistant Professor

An acting assistant professor is an untenured member of the faculty who was appointed to a four-year term as assistant professor contingent on receiving a Ph.D. but who failed to complete the requirements for the Ph.D. by November 1 of the first year. This appointment is usually for one year and can be renewed. If an acting assistant professor is subsequently reappointed as an assistant professor, her/his time spent as an acting assistant professor will not count toward the eight-year limit on untenured service at Rice. Years of service as an acting assistant professor can count toward a sabbatical leave. [Policy 201-97 "Faculty Appointments, Promotions, and Tenure"](#) first defined this appointment at Rice. See also [Policy 203-97 "Faculty Appointments -- Assistant Professor."](#)

5. Lecturer

Lecturers are untenured members of the faculty whose primary roles are instructional with no obligations of research and service. Lecturers are appointed for up to two years initially and can be renewed in increments of up to three

years indefinitely.

6. Special Appointments

Rice sometimes makes appointments with distinctive titles indicative of specialized functions. Such appointments include artist in residence, composer in residence, critic, or clinical faculty. These appointments usually carry the same conditions as lecturer but without voting rights at faculty meetings.

7. Visiting Appointments

Visiting appointments are sometimes extended to faculty members from other institutions. These untenured appointments are made at a rank appropriate to the individual's status at the home institution. The terms and conditions of these contracts are individually defined but usually must provide for the resumption of employment at the home institution upon termination of the appointment at Rice.

8. Adjunct Appointments

An adjunct professor is typically an individual from another institution whose scholarly or professional activities enrich and complement Rice programs and interests. Adjunct appointments are made for one year at a time but can be renewed indefinitely. They do not involve tenure or remuneration and carry no voting rights at faculty meetings.

C. Research Ranks

Rice policy provides for research faculty positions that parallel those within the professorial ranks. Thus the positions of faculty fellow, senior faculty fellow, and distinguished faculty fellow are research appointments parallel to those of assistant, associate, and full professor within the tenure system. [Policy 327-90 "Research Faculty"](#) details fully the conditions that govern these research appointments and the procedures by which an individual may be appointed to such a position. The most important distinctions between these positions and routine faculty appointments are: (a) they do not carry tenure, (b) they are supported entirely from external research funds, and (c) they carry no requirement for classroom teaching. Research faculty may attend faculty meetings and vote on all matters except those pertaining to tenure or exclusively to undergraduate affairs. Typically Rice makes a research faculty appointment for no less than three and no more than five years. A faculty fellow must be considered for promotion to senior faculty fellow before the end of the sixth year in rank. An unfavorable review is followed by a one-year terminal appointment. However, all renewals and continuing service are contingent upon availability of external research funds.

D. Endowed Chairs

At present nearly 100 members of the faculty hold endowed chairs. Appointments to these chairs, made by the Board of Governors upon the recommendation of the president, recognize distinguished accomplishments in a variety of fields. Although there is not a prescribed way of making such appointments--of filling new or vacant chairs--the president usually consults appropriate deans, department chairs, and senior members of the faculty before making his recommendations to the board. Occasionally, the president will agree to use an endowed professorship to attract a particularly distinguished person to Rice.

VI. EVALUATION, PROMOTION, AND TENURE

Rice reviews the performance of its faculty members annually to determine adjustments in salary and periodically to assess professional development and suitability for promotion and tenure. For details see [Policy 214-96 "Faculty Performance Reviews."](#) In general, these reviews are based on internal evaluations of research, teaching, and service and involve departmental chairs reporting to deans. In contrast, the reviews associated with promotion to the rank of associate or full professor and the awarding of tenure have an external component. An overview of the policy and procedures associated with those evaluations is given below.



A. Evaluation for Promotion and Tenure

For tenure-track faculty, the most important review of their academic career is the review for promotion to the rank of associate professor and the achievement of tenure. The award of tenure is a valuable and unique privilege associated with academic institutions. It offers the individual faculty member a professional career of academic freedom and assured employment, with termination only for cause, in which to teach and pursue her/his individual scholarly interests. The award of tenure represents a major commitment on the part of the university and is a concrete demonstration of its confidence that the individual will be a productive and valuable member of the community throughout her/his working life. Thus, the central question being asked at all levels of the tenure review process is "What does performance to date lead us to predict in terms of lifetime achievement and contribution to the overall goals of Rice University?"

In considering this question, Rice evaluates each candidate's scholarship, teaching, and service. Rice has a deep commitment to excellence in scholarship and thus places a primary emphasis on scholarly achievements as judged both by unbiased expert external reviewers in the appropriate scholarly field and by Rice faculty members with similar scholarly interests. Much of the reputation of the university also rests on the outstanding quality of its undergraduate and graduate instruction, and thus Rice gives teaching performance very serious consideration. Finally, Rice values service and evaluates each candidate's participation in activities such as departmental and university committees, the residential colleges, community outreach programs, and national professional organizations.

The documents that govern promotion and tenure at Rice are Policies [201-87 "Faculty Appointments and Tenure at Rice University"](#) and [201-97 "Faculty Appointments, Promotion, and Tenure."](#) as well as "Guidelines for Faculty Appointments, Promotion, Tenure and Renewal of Contracts" (one for 201-87 and another for 201-97; referred to as the "Guidelines" below). The following interpretative notes offer advice for the faculty candidate about to progress through the promotion and tenure process. These notes reflect revisions in the tenure policy adopted in 1997. Untenured assistant professors who began their service before July 1, 1995, must follow the tenure policy in effect at that time; those beginning their service on or after July 1, 1995, and before September 9, 1997, may choose either the new tenure policy or that under which they were hired; and those beginning on or after September 9, 1997, must follow the new policy.

When first appointed, faculty need to familiarize themselves with the tenure review procedures by reading thoroughly Policy 201-97 "Faculty Appointments, Promotion, and Tenure" and the "Guidelines." Any aspects of the procedures that are not clear should be discussed with the departmental chair. Although departmental chairs will occasionally offer very specific criteria for promotion, candidates should be aware that no chair has control over the ultimate decision on any individual candidate.

For most candidates, active engagement in the tenure review process should begin in the spring of their sixth year at Rice, and the major phase of the candidate's involvement in the evaluation process will culminate in the fall semester of the next academic year. The major roles of the candidate are: (a) to prepare certain aspects of the dossier as detailed in the "Guidelines," (b) to provide names of external reviewers who can assess the candidate's scholarly achievements and of Rice faculty members who can evaluate his or her service, and (c) to suggest the names of members of the Rice faculty who might best serve as internal reviewer to evaluate the candidate's dossier for the department, dean, and the P&T Committee. A candidate should also consult closely with the departmental chair on what materials are appropriate for inclusion in the dossier. Clearly, it is in the candidate's best interest to ensure that as much of his/her scholarly work as possible has been published by the end of the sixth year. The candidate must not contact any of the proposed reviewers in connection with their willingness to participate in the review.

After the candidate's dossier has been sent to reviewers, the candidate has no further involvement in the process until after the department has met to evaluate the letters from the reviewers and to vote on whether to recommend promoting the candidate. Immediately after this meeting, the department chair will inform the candidate of the department's decision and, if negative, of the reasons for the decision.

After this evaluation at the departmental level, the dossier is forwarded to the school dean for further review. The dean's task is to evaluate the candidate in the context of the entire cadre of faculty members within the school. It is not uncommon for the dean to solicit additional letters at this stage to help with his/her evaluation.

The next stage of the review process involves the deliberations of the P&T Committee. This committee, chaired by the provost, is composed of the tenured members of the University Council. In addition to examining the candidate's

dossier, this committee routinely requests the Committee on Teaching to review each candidate's teaching performance based on written student teaching evaluations for courses at Rice. In evaluating the candidates, the P&T Committee also interviews the appropriate departmental chairs and deans and may interview the internal reviewer.

This stage of the review process will typically begin early in the spring semester of the candidate's seventh year, that is, many months after the candidate initially assembled the dossier. Given that there can be substantial changes in a candidate's circumstances within this time (a critical paper accepted, a grant awarded, and so on), a candidate may submit important new information, through the departmental chair, both to the dean and to the P&T Committee, after the initial departmental vote. However, the P&T Committee is usually unwilling to accept further information once their deliberations have begun.

The members of the P&T Committee have the weighty task of deciding the future careers of their junior colleagues. They undertake this task with due seriousness and review each dossier with appropriate thoroughness. After the P&T Committee has voted on each candidate, it sends its recommendations to the President for a final decision. Traditionally, the members of the P&T Committee do not simply vote "yes" or "no" but rather use a graded scoring system. The committee sends its entire scoring for a given candidate, complete with the average score and the range, to the president. This procedure ensures that the president receives a finely nuanced summary of the committee's view of each candidate.

The president reviews his decisions with the P&T Committee before sharing them informally with the candidates and presenting his recommendations to the Board of Governors for final approval. Policy 201-97 "Faculty Appointments, Promotions, and Tenure" allows candidates to appeal a negative decision, but it is important for candidates to realize that a decision can be appealed only on procedural grounds. That is, the candidate must demonstrate that correct procedure for presenting her/his case was not followed and further, that a procedural error affected the evaluation in some substantive way. Without demonstrating this kind of error, a candidate cannot formally challenge the P&T Committee's assessment of the candidate's performance.

B. Initial Appointments with Tenure

Faculty may enter Rice on tenured appointments. The P&T Committee reviews all such proposals for tenured appointments to determine whether the university's standards have been met.

C. Promotion to Full Professor

A procedure essentially identical to that used for the review associated with tenure and promotion from assistant to associate professor (discussed in Section VI.A) is used in connection with this promotion. Although this promotion can take place at any time after achieving the rank of associate professor, Policy 201-97 "Faculty Appointments, Promotions, and Tenure" specifies a schedule of formal reviews of all faculty at the rank of associate professor, aimed at determining their worthiness for further promotion. In considering individuals recommended for promotion to professor, the P&T Committee continues to place a primary emphasis on scholarship and teaching, but it looks closely at service since promotion to associate professor with tenure. In general, the faculty expects more service from tenured than untenured colleagues.

VII. FACULTY DEVELOPMENT



Because faculty members are expected to pursue a lifetime of productive scholarship, Rice University is committed to helping its faculty develop and grow.

A. Leaves

There are two types of sabbatical leaves at Rice. A junior leave is a fully paid, one-semester leave, devoted entirely to research, scholarship, or creative work, normally taken by assistant professors in their fourth or fifth year at Rice, after their initial contract has been renewed. Junior leaves are available only to assistant professors employed at Rice on or after July 1, 1995, who are covered by [Policy 201-97 "Faculty Appointments, Promotion, and Tenure."](#)

Standard sabbatical leaves are available to faculty members on a periodical basis during their service at Rice. Faculty members who have served the university continuously for at least six years on a full-time basis since their appointment to the faculty or since the termination of their last leave on salary, may be granted a sabbatical leave of absence for the purpose of study, research, or other pursuit, the object of which is to enable them to increase their effectiveness in teaching and research and their usefulness to Rice. Faculty members who have taken a junior sabbatical leave in their fourth or fifth year of service are eligible to request their first standard sabbatical leave for the ninth year of service. Certain academic positions that involve an unusual burden, such as serving as a department chair or as a college master, may entitle their holders to an adjustment in their sabbatical schedule.

The period of a standard sabbatical leave may be either one year at one-half of the annual academic salary or one-half year at full salary. A sabbatical leave requires a written proposal from the faculty member, a recommendation from the department chair, and approvals from the dean, the provost, and the president. Unless a different agreement has been concluded, it is understood that a faculty member who goes on sabbatical leave agrees to return to the university on the expiration of his/her leave and to remain in service for at least one year thereafter. See [Policy 208-97 "Sabbatical Leaves of Absence."](#)

Faculty members may also request a leave of absence without pay for professional reasons. Such a leave also requires a recommendation from the department chair and approval by the dean, provost, and the president. The nature of the leave will determine its impact on the various time limits on appointments at Rice. See [Policy 204-97 "Faculty Family, Medical, and Professional Leaves"](#) and [Policy 201-97 "Faculty Appointments, Promotions, and Tenure."](#) For nonprofessional leaves, see [Chapter IX](#).

B. Travel

Active scholarly life involves a certain amount of travel for purposes such as attending scholarly meetings, visiting other academic institutions, or conducting research. Faculty members are responsible for ensuring that their professional travel does not conflict in a major way with their other duties at the university, including teaching, advising students, and committee work. In particular, faculty members are responsible for finding qualified instructors for their classes or scheduling make-up classes. When travel does produce significant conflicts, in particular when more than two successive classes will be missed, faculty members should resolve these conflicts with their department chairs prior to traveling. See [Policy 216-97 "Outside Activities of Faculty and Faculty Fellows."](#)

There are many potential funding sources for travel expenses. Funds are sometimes available at the department or school level. In addition, Rice has a Presidential Travel Fund to support faculty air travel in North America (including Canada, Mexico, the entire United States, Puerto Rico, and the U.S. Virgin Islands) to one professional meeting each academic year. Finally, many faculty members have access to external research funding that can cover travel expenses. It is the responsibility of the traveling faculty member to obtain authorization before traveling and to ensure that he/she is in compliance with the relevant policies of the funding source (for example, certain federal funding agencies require air travel on U.S. carriers). The procedure for obtaining funds from the Presidential Travel Fund is described in [Policy 211-82 "Dispersal of Monies from Presidential Travel Fund."](#) General guidelines for university travel are described in [Policy 806-99 "Travel Policy."](#)

C. Teaching and Service Awards

Rice has always valued and encouraged excellent teaching. Since 1966, it has recognized the best of its teachers with a variety of prizes and awards. The most prestigious of these prizes -- the George R. Brown Prize for Excellence in Teaching and the George R. Brown Awards for Superior Teaching -- are determined by the votes of recent alumni. All members of the classes that graduated two and five years ago are invited to vote for teachers who most impressed them with the substance of their courses and with the organization and enthusiasm of their teaching. Like the Brown prize and awards, the Jesse H. Jones Graduate School of Management Award for Excellence in Teaching is also determined by the votes of those alumni who graduated two and five years ago. The Nicolas Salgo Distinguished Teacher Award, by contrast, is determined by the votes of current members of the junior and senior classes; the Phi Beta Kappa Teaching Prize (reserved exclusively for assistant professors), by teaching evaluations for the previous year; and the Julia Mile Chance Prize for Excellence in Teaching, by the Rice Women's Commission choosing among nominations from current and former students. The Charles Duncan Award for Outstanding Academic Achievement, established to recognize a tenure-track or tenured member of the faculty with ten or fewer years of service for outstanding performance in both scholarship and teaching, is determined by the president upon recommendations of the Deans Council. Occasionally Rice has also been successful in nominating members of its faculty for state and national teaching awards such as Piper Professorships and the Council for the Advancement and Support of Education's national professor of the year award. Finally, Rice recognizes members of its faculty for service to the university and its residential colleges through the Student Association Mentor Recognition Award, The Graduate Student Association Faculty and Staff Service Award, and the Outstanding Faculty Associate and Distinguished Faculty Associate Awards for the colleges.

Apart from these awards, Rice encourages good teaching in other ways -- most notably through the Allison Sarofim/National Endowment for the Humanities Distinguished Teaching Professorship Program. This program, coordinated by one of Rice's most distinguished teachers, pairs experienced teachers and junior members of the humanities faculty in a yearlong exploration of teaching and interdisciplinary thinking.

VIII. FACULTY WORKING CONDITIONS

Rice supports the work of its faculty in a variety of ways. In addition to the space, funds, equipment, and clerical assistance that it provides through its departments and schools, Rice maintains libraries, computing and networking facilities, and other university-wide programs to assist and protect the faculty. Rice also regulates many aspects of a faculty member's work -- not just to sustain the interests of the university but also to conform to federal, state, and local laws and regulations.



A. The Library

Fondren Library is a research library with nearly two million books, ten thousand current periodicals, and another two million microforms; it maintains the Business Information Center in the Jones School of Management; and it is a selective depository for United States and Texas government publications and for United States patents and trademarks. The library provides members of the faculty with borrowing and interlibrary loan privileges, assistance in conducting research and buying books, and space for study and reflection (a limited number of carrels is available, through deans, for scholars with special needs). The library also assists faculty members by reserving books for particular courses and by offering both general and specialized tours for students.

B. Information Technology

Rice University maintains computing and networking facilities for the purpose of conducting and fostering the instructional and research activities of the university. To maximize usefulness of these facilities for instructional and research activities, the university provides access in the most open manner consistent with the general principles that govern our academic community. Certain activities are nevertheless proscribed. For example, Rice prohibits violations of copyright, trademark, and other laws, including making unauthorized copies of licensed software. For details, see [Policy 832-99 "Appropriate Use of Computer Facilities."](#)

In 1995, Rice University established the [Center for Technology in Teaching and Learning \(CTTL\)](#) to address the ways in which information technology can expand and enrich education on the Rice campus as well as in other settings.

Each of the major academic divisions has a team of computing support staff assigned to help with computing questions and problems. See the Information Technology Division booklet *Computing, Telecommunication, and Multimedia Services* for an overview. For more information, contact your divisional representative, visit the [Information Technology](#) section on RiceInfo, or stop by the Information Technology Consulting Center in 103 Mudd.

C. Sponsored Research

Research and study on the part of the faculty are essential elements of university work. Accordingly, members of the faculty are encouraged to seek external financial support for their research projects. When such research is carried out by faculty members under the financial sponsorship of an outside organization, such as the federal government, it is called sponsored research. That research should be clearly related to the academic programs of the departments involved and provide opportunities for graduate and/or undergraduate research training. But individual researchers are free to pursue interesting and important leads that may arise during the conduct of research, subject only to the terms of the research agreement and other restrictions of the sponsor.

Faculty members engaged in sponsored research may receive compensation for work on a supported research project consistent with the terms and conditions of the funding source and university policies. These faculty members may wish to continue their research during the summer months and, to the extent that funds of sponsored projects are available, may be compensated at their approved rate for up to three months a year. The total compensation received by a faculty member in any pay period from the university and from sponsored research funds may not, however, exceed the university approved rate of pay for that faculty member. Faculty members on full-time academic year appointments have an approved monthly rate of one-ninth of their nine-month salary.

The vice provost for research assumes oversight of all the university's research activities and policies, including technology transfer. The Office of Sponsored Research, under the vice provost, assists faculty in identifying potential sources of funding, monitors submissions of proposals, negotiates and administers research agreements, and maintains a database of grants and contracts.

A sponsored research agreement is fundamentally a work agreement between a sponsor and the university. The principal investigator is the resident expert that the university identifies to carry out the proposed work. By submitting a research proposal, a researcher agrees to abide by the policies and the procedures of the university and the sponsor. Because of the typical complexity of such work agreements, they are governed by several university policies:

[Policy 104-98 Routing of Research Contracts and Grant Proposals and Recommendations for Postdoctoral and Research Associate Appointments](#)

[Policy 216-97 Outside Activities of Faculty and Faculty Fellows](#)

[Policy 301-83 Policies and Procedures for the Management and Administration of Sponsored Projects](#)

[Policy 301A-91 Clarification of Research Policy Memorandum No. 301-83](#)

[Policy 311-98 Salary Support Through Organized Research](#)

[Policy 314-90 Care and Humane Treatment of Animals Used in Research, Testing, and Education](#)

[Policy 323-96 Drug-Free University](#)

[Policy 324-90 Research Misconduct](#)

[Policy 326-98 Protection of Human Subjects Participating in Research or Educational Activities](#)

[Policy 327-90 Research Faculty](#)

[Policy 328-90 Funding Requests to External Sources](#)

[Policy 331-90 Research Equipment: Procurement, Management, Transfer, and Disposition](#)

[Policy 332-96 Disclosure Policy for Reporting Significant Financial Interests Related to Proposed or Funded Projects from the NSF or PHS](#)

[Policy 333-99 Patent and Software Policies](#)

D. Continuing Studies

Since 1968 Rice has maintained a large and successful continuing studies program. At present, the School of Continuing Studies offers nearly 250 noncredit, general education courses in fine arts, humanities, science, economics, business, and writing as well as another 200 noncredit courses in foreign languages and English as a second language. The school also provides accredited summer school courses for undergraduates and professional development courses for teachers. Although no member of the Rice faculty is required to teach in any of these courses, many find it rewarding to do so -- to share their knowledge with educated Houstonians and to gain additional income. Indeed, members of the faculty teach in about one-third of the courses currently offered by continuing studies. Pay varies from course to course, but it is always in addition to regular Rice compensation and always includes fringe benefits. Members of the faculty and their families may enroll in continuing studies courses at reduced tuition (20-50 percent off).

E. Educational Outreach

For many years members of the Rice faculty have worked closely with local schools, museums, and colleges, sharing their knowledge and their skills with students and teachers alike. At present, members of the faculty are engaged in some thirty-five such educational outreach efforts. Sometimes they are paid; often they simply volunteer to help. They take part in professional development courses for teachers; they work directly with students from kindergarten through college; they help plan exhibitions in museums and lecture to docents; and they join with Rice undergraduates in such voluntary efforts as Habitat for Humanity. Members of the faculty who wish to join in these or similar projects should get in touch with The Rice Educational Outreach Forum Council through the office of the associate provost.

F. Outside Work

Consulting and other services to outside organizations, including industry and government, often constitute very desirable activities for the faculty. These services can provide a mechanism for enriching the professional experience of faculty members, thereby broadening their backgrounds for teaching and scholarly research. The university also has a responsibility to help in the transformation of results of research into products, services, and processes that will become available in the marketplace. In many instances, effecting such a transfer requires active participation of faculty members as advisors or consultants. Conflicts of commitment, however, may arise when there are competing demands upon the time and energy of a faculty member as a result of outside activities and interests that could interfere with the faculty member's ability to meet his/her responsibilities to the university. Rice expects that faculty members' outside activities and interests will not interfere with their ability to meet their primary obligations to the university. Specific universal standards for defining the proper balance are not feasible, but experience indicates that full-time faculty members have difficulty meeting their primary obligations if they spend more than the equivalent of one day a week on outside activities. See Policy 216-97 "Outside Activities of Faculty and Faculty Fellows."

G. Conflicts of Interest

Conflicts of interest may arise when a faculty member's personal interests interfere with his/her responsibility to the university. The key factors in avoiding ethical and legal conflicts of interest are personal responsibility and integrity. Rice expects all faculty members to conduct their outside professional activities in a manner that reflects well on themselves, their profession, and the university. The principal means for managing potential conflicts of interest involves prior disclosure and a dialog between a faculty member and her/his dean. Specific requirements exist concerning potential or real conflicts of interest for faculty members submitting proposals to certain federal agencies. These faculty members must file a disclosure statement with their dean.

Special guidelines apply to faculty members who are involved in purchasing supplies, services, and equipment for the university. Faculty members with the authority to commit university funds must disclose whether any potential conflict of interest exists when they request signature authority for the commitment of funds.

Only in special cases may university equipment or facilities be used for services to an outside organization, including those controlled by faculty members, and then only with the explicit written approval of the department chair and dean or applicable vice president.

For more details, see Policy 216-97 "Outside Activities of Faculty and Faculty Fellows." Policy 332-96 "Provisional

H. Intellectual Property

Rice University encourages the publication and display of original works and the uninhibited dissemination of new knowledge. Both academic freedom and quality education are served by these activities. As an institution where the faculty is expanding the frontiers of knowledge, Rice accepts its obligation to serve the public interest by ensuring that the best and most promising of the new discoveries, ideas, art, papers, books, computer software, and other works are made available for public use. Rice also recognizes that it must assist its faculty in properly disclosing their scholarly work, in complying with applicable laws and formal agreements, and in gaining the protection available under United States laws governing patents, copyrights, and trademarks.

It is important to understand that applying for patents, copyrights, and trademarks, which are classes of intellectual property, is a critically important step in achieving the university's objective of making research discoveries available for public use. Intellectual properties convey certain rights to their owners which can provide significant competitive advantage; this important aspect helps to motivate investment in the risky process of transforming a university developed research discovery into a *bona fide* product. Companies and Rice enter into contractual agreements, called licenses, whereby Rice conveys the right to use an invention in exchange for the company's development of the technology into a product(s), and (usually) fees and/or royalties.

Rice policy requires that all discoveries or creations (including software) made during the conduct of university research be disclosed to the university. If, upon evaluation, the university decides to seek intellectual property protection, the policy requires the inventor(s) or developer(s) to sign a legal document assigning ownership rights to Rice. Rice will then pursue, at its expense, any opportunities that may flow from the disclosed technology and will share any earnings with the inventor(s) or developer(s).

For more information on intellectual property issues, see Policy 333-99 "Patent and Software Policies."

1. Patents

Patent laws protect useful, new, and non-obvious inventions (rather than the underlying ideas or concepts) in specified categories, including machines, devices, processes, methods, techniques, software, materials, compositions, substances, mixtures, and chemical compounds. A patent owner has the right to exclude others from making, using, offering for sale, or selling the invention for a period of twenty years after the filing date of the patent.

When a potentially patentable invention is discovered or developed at the university, a confidential disclosure report should be submitted to the Office of Technology Transfer. Prompt reporting can be critical to obtaining patent protection for the invention in the U.S. and foreign countries. U.S. patent rights will be lost if the patent application is not filed within one year of a "trigger event," which includes public disclosure (including regular or web based publication, oral presentation, and proposals to government agencies), public use, commercial use, offer for sale, or sale of the invention. Most industrialized foreign countries do not have this one year grace period.

Rice may elect to pursue patent protection and licensing of a disclosed invention, in which case any royalty income will be shared among the inventor, the inventor's department, and the university in percentages detailed in the policy. If the university declines to pursue patent protection for an invention, it will offer to return the intellectual property rights to the inventor(s), subject to the rights of any third party sponsor of the research which led to the invention. Generally when patentable inventions are discovered or developed in the course of research supported in whole or in part by federal funds, the government shall have a non-exclusive, worldwide, royalty-free license to practice the subject invention. If rights are returned to the inventors and they elect to develop the technology for their own purposes, the university's name and trademarks may not be used for any promotional or commercial purposes without the prior written consent of the president.

2. Copyrights

Copyright laws protect forms of expression (rather than the underlying ideas, concepts, facts or information) for originally authored works in certain specified categories, including literary works (includes certain software); musical works (includes accompanying words); dramatic works (includes accompanying music); pantomimes and choreographic works; pictorial, graphic and sculptural works; motion pictures and other audiovisual works; sound recordings; and architectural works. A copyright owner has the exclusive right to reproduce the work, prepare

derivative works, distribute copies of the work, publicly display the work, and publicly perform the work.

From time to time, faculty members may want to use the copyrighted works of others to supplement their research and teaching and to otherwise facilitate the university's mission of developing and transmitting knowledge. Under copyright law, the doctrine of "fair use" may allow such use (including making and distributing copies) without obtaining the permission of the copyright owner. "Fair use" is an equitable doctrine which limits a copyright owner's exclusive rights and requires a case-by-case analysis of the following four factors:

- purpose or character of the use (noncommercial uses such as teaching, research, scholarship, comment, and criticism are better than commercial uses);
- nature of the work (published works are easier to use than unpublished works);
- amount and substantiality of the portion used in relation to the work as a whole; and
- effect of the use upon the potential market for or value of the work.

A copyright is created automatically when the work is first "fixed in a tangible medium of expression." Although neither a federal registration nor a copyright notice is required, a registration is necessary to file a suit for infringement in federal court, and a notice helps to prove both the owner's and the infringer's intent.

At the university, the author of a copyrightable work retains ownership of the copyright, subject to the rights of any third-party sponsor except for software works (see [Policy 333-99 Patent and Software Policies](#)). Joint authors are persons who contribute to the work with the intention that their contributions be merged into an interdependent whole. Independent contractors retain copyright ownership for their works absent a proper written "work for hire" agreement and/or copyright assignment. Generally, when copyrightable works are developed in the course of research supported in whole or in part by federal funds, the government (including others acting for or on its behalf) shall have nonexclusive, worldwide, royalty-free license to use, reproduce, prepare derivative works of, distribute copies of, publicly display, and publicly perform, the work. Where appropriate, the university should be identified to reflect the institutional affiliation or support of the work; however, the university's name and trademarks may not be used for any promotional or commercial purposes without the prior written approval of the president.

3. The University's Name and Trademarks

The name of the university should be used in a faculty member's title to show institutional affiliation in connection with university-related work made public. The name of the university may not, however, be used for promotional purposes of a commercial nature without the written approval of the president.

I. Nepotism

Rice University seeks to foster an environment where people are treated with respect and trust. Employment of family members may be problematic because such situations can create a conflict of interest, an appearance of favoritism, and an increased potential for a hostile work environment. Because of these concerns, the university is sensitive to circumstances in which relatives of employees might be hired, transferred, or promoted to positions where one relative might have influence over any of the following: a relative's employment, performance review, salary administration, promotion, or other employment-related decisions.

If a relationship develops during the course of employment that would violate this policy, the university will work with the individuals involved to resolve the situation. In all cases, the needs of the university determine the resolution. For more details, see [Policy 419-96 "Nepotism."](#)

J. Drug-Free University

The Drug-Free Workplace Act of 1988 requires that employers take appropriate measures to combat illegal drugs in the workplace as a condition for receiving federal funds. To comply with the act, the university has in place and administers in good faith a policy prohibiting the unlawful manufacture, possession, use, or distribution of illegal drugs and alcohol on the property of the university, or as part of any university activities, except in the course of authorized teaching and research. Confidential counseling, treatment, and rehabilitation programs are available to faculty members, who may contact the Rice University Employee Assistance Program or the Rice University Health Education Office. For more details, see [Policy 323-96 "Drug-Free University."](#)

K. Accommodations for the Disabled

The Americans with Disabilities Act of 1990 and Section 504 of the Rehabilitation Act of 1973 require that Rice accommodate faculty and students with documented disabilities. Rice, accordingly, provides wheelchair access to nearly all of its buildings, audio texts for the blind, amplification devices for the hard of hearing, assistance to individuals with learning disabilities, and other accommodations based on documented needs. Faculty members who are disabled or who have students in their classes with disabilities should work with the chairs of their departments, the registrar, and the director of disabled student services to take full advantage of the facilities and services that are available for the disabled. The faculty should always direct students with disabilities to the Office of Disabled Student Services.

L. Safety

Rice attempts to do all that is reasonable to provide a safe and healthful environment for work and study. To protect individuals and property and to regulate parking and the flow of traffic through the campus, Rice currently maintains a police department of 26 licensed officers supported by 15 guards, attendants, dispatchers, and clerks. The uniformed officers, who have been specially screened for service at Rice by committees that include faculty and students, enforce all applicable federal, state, and local laws as well as university regulations. Members of the faculty should not only cooperate fully with the Rice police (reporting crimes, suspicions of crimes, and fires by using **blue-light emergency telephones** or by dialing **6000** or **3333** on any campus phone) but also remain vigilant when on campus after dark.

In addition to maintaining a police department, Rice maintains an office of Environmental Health and Safety and makes every effort to provide its faculty, students, and staff with proper equipment and training in safe work practices; and it complies with all federal, state, and local codes pertaining to health and safety. Faculty members are responsible for the safety of personnel working under their direct supervision. See Policy 805-73 "Safety Policy," Policy 833-91 "Chemical Hygiene Plan," and Policy 326-98 "Human Health and Safety in the Performance of Research."

IX. FACULTY LEAVES, BENEFITS, AND SERVICES



Rice University provides its faculty with a variety of benefits and services. This section describes the most important of those benefits, including holidays and leaves, medical and other insurance plans, and educational, cultural, and recreational opportunities for members of the faculty and their families. To take advantage of these benefits, faculty members should work closely with the Office of Human Resources and read carefully *Human Resources Department Benefit Plan* (hereafter called *Benefits Booklet*) which is issued in the spring of each year.

A. Leaves with Pay

1. Holidays

In addition to certain national holidays listed in *Benefits Booklet*, Rice has its own holidays for faculty and students: fall midterm recess, Thanksgiving recess, inter-semester period, spring midterm recess, and spring recess. Since faculty members are normally appointed for nine months, most also have their summer months for research, writing, and other creative activities. Some faculty have summer appointments. See Policy 206-71 "Summer Recess for Faculty Members" as well as Section IV.C of this handbook.

2. Medical Leaves

A faculty member may request a paid medical leave for a serious health condition, including pregnancy. A physician must determine that the faculty member is unable to work. During a paid medical leave, a faculty member may receive up to half of her/his nine-month salary in short-term disability payments (see [Benefits Booklet, Policy 423-98 "Short-Term Disability."](#) and [Chapter V.A.1](#), which explains how medical leaves affect the tenure clock).

3. Professional Leaves

See [Chapter VII](#) on Faculty Development.

B. Leaves without Pay

Faculty members may occasionally obtain professional or military leaves without pay (see [Policy 418-93 "Military Leave"](#)). They may also receive family leaves without pay to care for a newborn child, a newly adopted or foster child, or a spouse, child, or parent with a serious health condition (see [Policy 204-97 "Faculty Family, Medical, and Professional Leaves"](#)). It is important to note that during a leave without pay a faculty member is responsible for her/his share of medical insurance premiums. For information on how leaves affect length of appointments and tenure clocks, see [Policy 201-97 "Faculty Appointments, Promotion, and Tenure"](#) and ["Guidelines."](#)

C. Fringe Benefits

All faculty members in professorial or research ranks are eligible for benefits. Annually appointed teaching faculty must teach at least three courses per academic year and be on an annual appointment for two semesters to be eligible for benefits (see [Policy 403-96 "Benefits Eligibility"](#)).

1. Medical Plans

Rice faculty members are eligible for several different group medical plans and a major-medical, high-deductible plan for catastrophic coverage. Faculty members may enroll in one of these plans upon being hired, on becoming eligible for benefits, or during an open enrollment period each year in mid-April. Faculty members who choose not to participate in any of these plans may receive an annual supplement to a medical spending account. The university also offers a Flexible Benefit Plan under which a faculty member may pay medical insurance and other premiums with pretax dollars as well as two spending accounts through which faculty members may be reimbursed for certain medical and dependent care expenses so as to realize savings on federal income and social security taxes.

In addition, Rice offers two dental insurance plans and long-term care insurance (the latter being paid for by the employee as an after-tax deduction). For details, see [Benefits Booklet](#).

2. Other Insurance Plans

Faculty members are automatically enrolled in Workers' Compensation (unless they specifically reject this coverage; see [Policy 407-94 "Workers' Compensation"](#)), in a basic group term life insurance plan paid entirely by the university, in a long-term disability insurance plan that provides some income in the event of total disability, and in a group travel accident and death insurance policy to cover them while traveling on university business. They may also elect to enroll in a group accidental death and dismemberment insurance policy (currently carried by Life Insurance Company of North America), to purchase additional group term life insurance (a policy that provides for the terminally ill to receive a portion of their life insurance benefits while living), to purchase dependent life insurance for a spouse and/or children, and to pay for their own long-term disability insurance.

The university's general liability insurance covers faculty members who are acting in good faith within the limits and scope of their faculty positions.

3. Faculty Financial Responsibilities for Benefits during Leaves without Pay

Faculty members going on leave without pay should visit the human resources office before their leave begins, to set up billing for their portions of medical insurance and other coverages they wish to continue while on leave. See [Policy 204-97 "Faculty Family, Medical, and Professional Leaves."](#) It is important to avoid any gaps in coverage because such gaps could lead to limitations in future coverage. Rice continues to pay its portion of benefits for up to twelve months of leave, including medical insurance, basic life insurance, and long-term disability coverage. For continuing coverage of other benefits, such as dental insurance, accidental death and dismemberment insurance, and supplemental life insurance, or other employee-paid benefits, faculty members should arrange to make monthly or quarterly payments before beginning a leave without pay. Faculty members in an HMO who plan to be out of the "catchment area" should

see the [human resources office](#) about changing to GMI/PPO coverage for the duration of their leaves.

4. Retirement Plans

Rice University enrolls its faculty members in TIAA/CREF retirement plans and contributes to each account according to the age and salary of the individual faculty member. Vesting takes place after three calendar years of service. The university also offers supplemental retirement annuity accounts through salary reductions in pretax dollars up to the limit allowed by the Internal Revenue Service, currently through Fidelity Investments or TIAA/CREF or both. Faculty members who wish to continue their health insurance after retirement should make arrangements with the [human resources office](#). The university does not make contributions to retirement accounts for faculty members who are on leave without pay. For more information on eligibility for participation in retirement plans, see the *Retirement Plan Document* available at the Office of Human Resources. See also [Policy 422-98 "Retiree Definition and Benefits."](#)

5. Other Benefits

Rice faculty members are eligible for a variety of additional benefits. They and their families may obtain professional counseling, through the Employee Assistance Program, to help resolve personal problems. They may take job-related courses at other colleges and universities and be reimbursed for 75 percent of tuition up to \$600 per fiscal year. See Policies [409-96 "Tuition Waiver,"](#) [430-94 "Tuition Remission to Dependents,"](#) and [432-98 "Tuition Reimbursement."](#) Faculty members may arrange exchanges with other universities, including short-term exchanges through the C. D. Broad program with Trinity College, Cambridge, which is administered through the [student affairs office](#). They may purchase [yearly permits](#) to park their cars on campus (free shuttle bus service is provided to distant lots, seven days a week). They may receive discounts at the [Rice Campus Store](#), [athletic events](#), [theatrical productions](#), [continuing studies](#) and [executive development](#) courses, and concerts (most concerts and recitals at the [Shepherd School of Music](#) are free). And they are eligible for free notary public services (through the [human resources office](#)) and free access to [athletic facilities](#) (where uniforms are provided without charge). Finally, faculty members may elect to purchase savings bonds through payroll deductions and to become members in the [First Educators' Credit Union](#).

6. Benefits for Spouses and Families

Rice welcomes the participation of faculty spouses and families in university life. It offers them library privileges, the use of athletic facilities, parking space, spousal seating at commencement, and membership in the Faculty Club. A spouse or a dependent child under twenty-five (of a faculty member who is eligible for benefits) may apply for tuition-free admission as a full-time student pursuing a first undergraduate degree (see [Policy 430-94 "Tuition Remission to Dependents"](#)). Spouses may also audit any course with the permission of the instructor (see [Policy 431-94 "Auditing Courses"](#)).

D. Faculty Club

Since 1927 the Rice [Faculty Club](#) has been housed in an unusually fine building provided by Esther and George Cohen, the Cohen House and Garden. All of the Rice faculty are eligible to become members of the Faculty Club and to use the facilities of Cohen House. Members of the Club elect a board of directors which in turn sets policies for the operation of the club and Cohen House. The club serves lunch for members and their guests, Monday through Friday, and dinner on the first Friday evening of most months during the fall and spring semesters. The club is also available on other occasions for use by members or by individuals and organizations sponsored by members. Academic schools and departments regularly reserve rooms in the club for meetings, receptions, and dinners. Faculty pay a one-time initiation fee on joining the club (visiting and adjunct professors pay annual dues); thereafter all faculty are billed monthly for meals or other expenses they incur.

E. Faculty Women's Club

Wives of faculty -- and female members of the faculty -- may join the Faculty Women's Club. The club has interest groups focusing on books, gardening, fine arts, investments, and dining.

F. Compensation Policies

Faculty members receive salary checks on a semimonthly basis on the first and sixteenth of each month. The university provides direct deposit of payroll checks to most banking institutions and credit unions. When pay dates fall on a weekend or holiday, paychecks are distributed on the last business day before the normal pay date. Although salaries are for nine months of service, they may be paid over a nine- or twelve-month period.

G. Directories and Guides to Services

Faculty members will find a variety of very useful information in the *Rice University Campus Directory*, published late in the fall semester each year. The directory includes not merely telephone numbers and addresses for faculty, staff and students but also maps, hours of operation, and directions for finding and using many campus services. New faculty members will be able with the assistance of the directory and of departmental coordinators to establish e-mail accounts, obtain audiovisual equipment, order books or arrange photocopying of materials for courses, and get advice on using personal computers. They will also find the directory useful in dealing with crime, emergencies (for on-campus fire and crime, call the **Campus Police** at extension **6000** or **3333**, but not 911), and emergency closings. In addition to containing most of the information available in the directory, *RiceInfo* (<http://www.rice.edu/>) is a constantly growing resource for information about Rice University, including this handbook as well as many other guides and resources.

AFTERWORD

This handbook has been written to help members of the Rice faculty understand their collective and individual roles within the university. Although the handbook is not a statement of policy, it has been designed to direct members of the faculty to those university policies that shape their professional lives. Members of the faculty should, therefore, go beyond the handbook to read, understand, and apply the policies that most directly affect them -- policies that define their rights and responsibilities, the terms of their appointments, the procedures by which they are evaluated and promoted, the conditions under which they work, and the benefits and services that they enjoy. Members of the faculty who have administrative duties or supervisory responsibilities over students and staff have a particular obligation to know and adhere to university policies, all of which are available both in department offices and on RiceInfo.

Members of the faculty should also feel an obligation to think about and suggest additions, corrections, and changes to Rice policies. They should make such suggestions to the speaker of the Faculty Council and to the provost, who regularly deal with policies and procedures affecting the faculty and who will see that changes in policies are reflected in this handbook. Indeed, the members of the faculty who drafted this handbook assumed that their work would be constantly under revision and that the revision process would be shared by their colleagues throughout the university. Suggestions or changes to this handbook that do not affect existing policy may be made by sending e-mail to fhb@rice.edu. This has been from the beginning a cooperative work in progress, a work by and for the faculty of Rice University.

[Comment to the Committee](#)

Appendix A: Publications of Particular Interest to Faculty

Academic Handbook for New Students. Published annually. Available from the Academic Advising Office in Student Affairs. Additional information from Academic Advising is available on-line at <http://www.ruf.rice.edu/~acadadv/>

John B. Boles, ***A University So Conceived: A Brief History of Rice*** (Houston, 1997). Available from the [Rice Campus Store](#).

Computing, Telecommunication & Multimedia Services. Available from the Information Technology divisional teams. All teams are listed at <http://riceinfo.rice.edu/Computer/Divisions//>

James C. Morehead, Jr., ***A Walking Tour of Rice University*** (Houston, 1990). Available from the Rice Campus Store. A campus tour of Rice University is available on-line at <http://riceinfo.rice.edu/welcome/campus-tour/>

Office of Technology Transfer information available online at <http://www2.rice.edu/AdminSrcv/Graduate/TechTrans/>

"On My Honor" the Honor System at RICE: The Role of the Faculty in the Honor System. Available from the Honor Council. On-line, see the Blue Book at <http://riceinfo.rice.edu/projects/honor/general.html>

Procedure for Investigating Accusations Warranting Severe Sanctions, Including Dismissal, Against Faculty Members. Available on-line at <http://riceinfo.rice.edu/projects/honor/general.html>

Rice Facts. Available from Rice Public Affairs Office and on-line at <http://www.ruf.rice.edu/~instresr/ricefacts/>

RiceInfo -- the Rice University website at <http://riceinfo.rice.edu/> contains a growing variety of useful information about the university.

Rice University General Announcements. Published annually. Available from the admission office and on-line at <http://dacnet.rice.edu/~catalog/>

Rice University Policies. Available on-line at <http://riceinfo.rice.edu/admin/policies.html>

Rice University Student Handbook. Available from student affairs and on-line at <http://www.ruf.rice.edu/~vpsa/student-handbook/index.htm>

Scholarly Interests of the Faculty and Faculty Fellows is maintained by the Office of Institutional Research and can be found on-line at URL: <http://www.ruf.rice.edu/~graduate/Research/Programs/>

The Staff Advisor: A guide to university services for Rice staff. Available from human resources, and on-line at <http://www.ruf.rice.edu/~stafadv>

William Marsh Rice University Human Resources Department Benefit Plan. Available from human resources and on-line at <http://www.ruf.rice.edu/~humres/Services/Benefits/>
Published annually in the spring.

William Marsh Rice University Retirement Plan Document available at the Office of Human Resources. A summarized version is available on-line at <http://www.ruf.rice.edu/~humres/Services/Benefits/Booklet/Plans/retirement.html>

Appendix B: Academic Schools (Divisions), Departments, and Majors

The George R. Brown School of Engineering

[Bioengineering](#)
[Chemical Engineering](#)
[Civil Engineering](#)
[Computational and Applied Mathematics](#)
[Computer Science](#)
[Electrical and Computer Engineering](#)
[Environmental Science and Engineering](#)
[Mechanical Engineering and Materials Science](#)
[Statistics](#)

The Jesse H. Jones Graduate School of Management

The School of Architecture

The School of Humanities

[Art and Art History](#)
[Classics](#)
[Education](#)
[English](#)
[French Studies](#)
[German and Slavic Studies](#)
[Hispanic and Classical Studies](#)
[History](#)

[Human Performance and Health Sciences](#)
[Linguistics](#)
[Philosophy](#)
[Religious Studies](#)

The School of Social Sciences

[Anthropology](#)
[Economics](#)
[Political Science](#)
[Psychology](#)
[Sociology](#)

The Shepherd School of Music

The Wiess School of Natural Sciences

[Biochemistry and Cell Biology](#)
[Chemistry](#)
[Ecology and Evolutionary Biology](#)
[Geology and Geophysics](#)
[Mathematics](#)
[Physics](#)
[Space Physics and Astronomy](#)

Nondepartmental Majors

[Ancient Mediterranean Civilizations \(Humanities\)](#)
[Asian Studies \(Humanities\)](#)
[Cognitive Sciences \(Social Sciences\)](#)
[Managerial Studies \(Social Sciences\)](#)
[Medieval Studies \(Humanities\)](#)
[Policy Studies \(Social Sciences\)](#)
[Study of Women and Gender \(Humanities\)](#)

Interdisciplinary Graduate Program

[Applied Physics](#)

Appendix C: Academic Publications, Centers, and Institutes

<u>James A. Baker III Institute for Public Policy</u>	<u>Energy and Environmental Systems Institute (EESI)</u>
<u>Center for Applied Psychological Systems</u>	<u>Hazardous Substances Research Center/South and Southwest</u>
<u>Center for Education</u>	<u>Institute of Biosciences and Bioengineering (IBB)</u>
<u>Center for Ethics, Medicine and Public Issues</u>	<u>Institute for Policy Analysis (IPA)</u>
<u>Center for the History of Leadership Institutions</u>	<u>Journal of Southern History</u>
<u>Center for Nanoscale Science and Technology (CNST)</u>	<u>National Center for Ground Water Research</u>
<u>Center for Professional Studies</u>	<u>W.M. Keck Center for Computational Biology</u>
<u>Center for Research on Parallel Computation (CRPC)</u>	<u>Papers of Jefferson Davis</u>
<u>Center for the Study of Science and Technology (CSST)</u>	<u>Rice Design Alliance (RDA)</u>
<u>Center for Sustainable Environment</u>	<u>Rice Engineering Design and Development Institute (REDDI)</u>
<u>Center for Technology in Teaching and Learning (CTTL)</u>	<u>Rice Media Center</u>
<u>Center for the Study of Cultures</u>	<u>Rice Quantum Institute (RQI)</u>
<u>Center for the Study of Institutions and Values</u>	<u>Rice University Art Gallery</u>
<u>Center for the Study of Languages</u>	<u>Scientia</u>
<u>Center for Urbanism</u>	<u>SEL: Studies In English Literature 1500-1900</u>
<u>Center on the Management of Information Technology (COMIT)</u>	
<u>Computer and Information Technology Institute (CITI)</u>	

Summary of Revisions

Committee on the Faculty Handbook 1998-99

Ira Gruber, Chair

Priscilla Huston

Honey Meconi

Bill Wilson

Preface:

- Reference online links and update Committee list

Table of Contents:

- Add Section IV.E on Faculty-Staff Relations

Chapter I. History (no changes)

Chapter II. Mission (no changes)

Chapter III. University Governance and Structure

- page 11 A. update Board of Trustees Section A

Chapter IV. Faculty Rights, Privileges, and Responsibilities

- page 18-19 replace Academic Freedom Section and move original final paragraph to intro to this chapter
- Add Section E: Faculty-Staff Relations

Chapter V. Faculty Appointments (no changes)

Chapter VI. Evaluation, Promotion, and Tenure

- Add references to new Guidelines for P&T

Chapter VII. Faculty Development

Chapter VIII. Faculty Working Conditions

- page 47 add Policy 104-98 and update title of 326-98

- page 50 Section H: Intellectual Property -- update based on new Policy 333-99. Essentially replace intro and Section H.1.

Chapter IX. Faculty Leaves, Benefits, and Services (no changes)

Afterword (no changes)

Appendix A:

- Add "Procedure for Investigating Accusations," update urls, and reformat

Appendix B:

- Update Interdisciplinary Programs

Appendix C:

- Update urls and minor changes

Other maintenance changes such as adding and correcting urls, policy numbers, etc. were made throughout the handbook.

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