STATEMENT OF PURPOSE

The Norman Campus Faculty Handbook is a compilation of the University's major policies regarding faculty and academic matters, along with policies and information on the University’s facilities and general organization. Several other sources, such as the Administration and Finance Guide to Services at www.ou.edu/aa, the Staff Handbook at www.hr.ou.edu/handbook/default.asp, the Student Rights and Responsibilities Code at www.ou.edu/content/dam/studentlife/documents/AllCampusStudentCode.pdf, plus college and departmental policies, also provide useful resources for University policies and procedures.

The information contained in this online handbook is continually updated. Print copies of the Handbook are made available for the convenience of the university community, but users should check the online version of the Handbook for more current information: www.ou.edu/provost/handbook.

The Handbook is published for information purposes and should not be construed as the independent basis of a contract with the University. While every effort is made to present the information accurately, the actual text of the policy, procedure or law should be consulted as the authoritative source of information. We encourage submission of corrections or changes to the Office of the Senior Vice President and Provost. Questions regarding any academic policy may also be addressed to this office. Questions regarding other policies may be addressed to the office cited at the end of the pertinent policy section.

(Senior Vice President and Provost, 3-30-05, 8-6-07)
# Statement of Purpose

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1.1

THE UNIVERSITY: HISTORY AND INTRODUCTION

Seventeen years before Oklahoma became a state, the University of Oklahoma was founded upon authority of an act of the first legislature of the Territory of Oklahoma.

Approved in 1890 and adopted in its main provisions by the first legislature of the state in 1907, the act stated the purpose of the University was “to provide the means of acquiring a thorough knowledge of the various branches of learning connected with scientific, industrial, and professional pursuits.”

Norman was selected as the site for the University, and a 40-acre campus within a half mile of downtown Norman was purchased for $1,500.

Students were accepted for the first time in the fall of 1892 and were greeted by a faculty of four, which included the president. The first two graduates received pharmaceutical chemistry degrees in 1896.

Maintenance of high academic standards entitles the University to accredited membership in the North Central Association Higher Learning Commission. The general institutional information for the University of Oklahoma is posted at http://www.ncahlc.org/index.php?option=com_directory&Itemid=192&Action=ShowBasic&instid=1642. In addition, more than 80 graduate and undergraduate programs at the University have been accredited by various external agencies and professional organizations.

The academic structure of the University includes 22 colleges that are led by academic deans. On the Norman campus are the Graduate College, College of Architecture, College of Arts and Sciences, College of Atmospheric and Geographic Sciences, Michael F. Price College of Business, College of Continuing Education, Mewbourne College of Earth and Energy, Jeannine Rainbolt College of Education, College of Engineering, Weitzenhoffer Family College of Fine Arts, Gaylord College of Journalism and Mass Communication, Joe C. and Carole Kerr McClendon Honors College, College of Law, College of Liberal Studies, and University College, the entry point for all new undergraduate students who come to OU directly from high school as well as many transfer students. In addition, University Libraries is led by a dean.

At the Health Sciences Center in Oklahoma City are the Graduate College, College of Allied Health, College of Dentistry, College of Medicine, College of Nursing, College of Pharmacy, and the College of Public Health.

The University of Oklahoma College of Medicine-Tulsa accepted its first students in 1974 and provides clinical instruction in hospitals and other major health institutions in the Tulsa area. The University also offers undergraduate and graduate degree programs at the OU-Tulsa from both Norman and HSC academic programs. In 2008, the College of Medicine at OU-Tulsa realigned its focus and became the first formally named School of Community Medicine in the nation. The School is designed to improve the overall health status of underserved Oklahoma communities, both rural and urban, by providing additional community-based medical student education programs and resident training, and increasing the number of physician graduates. The School of Community Medicine is an integral part of the OU College of Medicine.

Several of the colleges contain departments and/or schools that are led by chairs or directors who are responsible to their respective deans.

The campus in Norman has expanded to approximately 2,300 acres on which are located more than 250 permanent buildings. The OU Health Sciences center in Oklahoma City is part of a multi-million dollar, 300-acre Oklahoma Health Center, a grouping of public and private institutions with the University as its nucleus.

The 271-acre Research Campus brings the University research community together with government and private enterprise to promote high-technology research and education, leading to economic development for the state and nation. Anchoring the campus are the Stephenson Research and Technology Center, which includes OU’s Supercomputing Center for Education and Research, and programs in genomics, bioengineering and robotics; the National Weather Center, home to a complex of federal, state, private, and University
meteorological agencies, including OU’s academic and research programs in meteorology and the National Oceanic and Atmospheric Administration’s weather, research and operations programs; One Partner’s Place and Two Partner’s Place. One Partner’s Place was the first of a series of buildings designed to co-locate private-sector companies on campus to collaborate with the University.

The Research Campus – North houses University Computing Services; Max Westheimer Airport, the University-operated airport that also serves the city of Norman; and Swearingen Research Park, where government agencies and industry have established facilities.

Other research and study units in Oklahoma include the Biological Station on Lake Texoma, the Oklahoma Geophysical Observatory at Leonard near Tulsa, Kessler Farm Field Laboratory in McClain County, and the George M. Sutton Avian Research Center in Bartlesville.
2. UNIVERSITY GOVERNMENT AND ADMINISTRATION

2.1

OKLAHOMA STATE REGENTS FOR HIGHER EDUCATION
The University of Oklahoma is part of the Oklahoma State System of Higher Education that was established in 1941 when the people of the state adopted an amendment to the Constitution of Oklahoma, Article XIII-A. The system is composed of all institutions of higher education supported wholly or in part by direct legislative appropriations.

The amendment also provided for establishment of the Oklahoma State Regents for Higher Education as the coordinating board of control of the system. The Board is composed of nine members who are appointed by the Governor and confirmed by the State Senate. They serve nine-year overlapping terms.

The Board's responsibilities include prescribing standards of higher education (including those concerning the admission of students) at each institution, determining the functions and courses of study at each institution, granting degrees and other forms of academic recognition for completion of the prescribed courses of study, recommending to the Legislature the budget needs of each institution, allocating to institutions funds appropriated by the Legislature, and determining the fees for all institutions of the system (Article XIII-A, Sections 2 and 3, Constitution of Oklahoma). Their website is www.okhighered.org/policy-proced/ and the address for OSRHE Policy and Procedures Manual is www.okhighered.org/policy-proced/.

2.2

UNIVERSITY OF OKLAHOMA BOARD OF REGENTS
The Board of Regents is constitutionally vested with the governance of the University. Within its authority is the governance of all faculty personnel matters, including without limitation, academic freedom and responsibility, appointment, evaluations, academic misconduct, and academic appeals. Specific provisions pertaining to faculty personnel policies and related matters may be set forth in the Faculty and Staff Handbooks, student handbooks such as the Student Code of Responsibilities and Conduct for the Norman Campus, and/or other official policy documents of the respective campuses. Any modifications to a Board of Regents' policy in the policy documents referred to above or elsewhere must be made through action of the Board of Regents. Their website is http://www.ou.edu/web/landing/university_administration.html and the web address for the Regent’s Policy Manual for OU is http://www.ou.edu/regents/official_agenda/2004PolicyManual.pdf.

2.3

ADMINISTRATIVE ORGANIZATION
The administrative organization of the University exists to provide leadership and facilitate the academic programs. Fulfillment of these goals can best be achieved in an atmosphere of shared governance, mutual planning and implementing of decisions, and the recognition and encouragement of contributions of members of the University community.

2.3.1

PRESIDENT
As the chief executive and academic officer of the University, the President is responsible to the Board of Regents of the University for the administration of the institution. All authority delegated by the Regents is administered through the Office of the President.

The University officers who report to the President include the Senior Vice President and Provost, Norman Campus; Senior Vice President and Provost, Health Sciences Center; the Vice Presidents for Administration and Finance, Research, Development, Technology Development, Student Affairs and Public Affairs; the General Counsel; the Director of State and Legislative Affairs; the University Equal Opportunity and Affirmative Action
Officer; the Secretary of the University, who also serves as Executive Secretary of the Board of Regents; the Internal Auditor; and the Director of Athletics and the President of OU-Tulsa Schusterman Center.

(President, 9-28-83, 7-20-95, 8-3-98, 3-15-05)

2.3.2

ACTING PRESIDENT

On occasion, the President of The University of Oklahoma, on account of official business, vacation, illness, or other unavoidable cause, are absent from their respective campuses. During such absences, it is essential that provision be made so that official business may proceed. Therefore, in the temporary absence of the President, the order of succession for The University of Oklahoma will be as follows:

Senior Vice President and Provost, Norman Campus
Senior Vice President and Provost, Health Sciences Center
Vice President and General Counsel
Vice President, for Administration and Finance, Norman Campus
Vice President, Development
Vice President for Administrative Affairs, Health Sciences Center
Vice President for Student Affairs

In the event any of the above named positions are filled by persons in an acting or interim capacity, the line of succession shall automatically be directed to the next position.

In the event the President of the University shall resign, be incapacitated, be on an extended leave of absence, or otherwise be unable to perform the duties of President for a period in excess of 30 days, an Acting or Interim President shall be designated by the Board of Regents. The Acting or Interim President shall have all powers, duties, and responsibilities normally held by the President.

(Regents, 2-8-79, 3-21-95, 12-2-03)

2.3.3

SENIOR VICE PRESIDENT AND PROVOST, NORMAN CAMPUS

The Senior Vice President and Provost, Norman Campus, is responsible to the President of the University. The chief academic officer of the Norman Campus, the Senior Vice President and Provost provides academic leadership for that campus for instruction, research and creative activity, and centralized academic functions including admissions, enrollment, academic records, financial aid and the bursar. The Senior Vice President and Provost is responsible for intellectual standards; institutional planning and budgeting; and the recruitment, retention, and development of faculty and students. Other responsibilities include program development and review; enrollment management; academic policies and procedures; and personnel actions involving faculty, students, and academic support staff.

Among those who report to the Senior Vice President and Provost, Norman Campus, are the Deans of the colleges on the Norman Campus and the Dean of University Libraries; the Vice Provost for Instruction; the Assistant and Associate Provosts; the Vice Provost for School and Community Partnership; the Registrar; and the Directors of the Carl Albert Center, Institutional Research and Reporting, Instructional Development, International Programs, Sam Noble Oklahoma Museum of Natural History, Sarkeys Energy Center, Fred Jones Jr. Museum of Art, Scholar-Leadership Enrichment Program, University Press, Norman Programs at the Schusterman Center in Tulsa, World Literature Today, OU Writing Center, and the Expository Writing Program.

The deans and certain other officials meet periodically as the Norman Campus Deans Council to discuss matters of mutual interest and make recommendations as appropriate. The Senior Vice President and Provost serves as Chair of the Deans Council. The Provost also meets regularly with the Provosts Advisory Councils for Academic Advising, Financial and Administrative Management, General Education Oversight, Institutional Reporting, Women's Issues and Classroom Renovation.
2.3.4

SENIOR VICE PRESIDENT AND PROVOST, HEALTH SCIENCES CENTER
The Senior Vice President and Provost of the Health Sciences Center is responsible to the President as the chief executive officer for the Health Sciences Center campus. As the chief academic and administrative officer, the Senior Vice President and Provost is the ranking officer of the University on the HSC campus. The Senior Vice President and Provost is responsible for the complete administration including the academic programs, policies and procedures, the employment of faculty and staff, and research administration.

The deans of the colleges report directly to the Senior Vice President and Provost. His principal staff includes the Vice President for Health Affairs, Vice President for Administration and Finance, Vice President for Research and Vice Provost for Academic Affairs.

The Deans Council is composed of the deans and the Senior Vice President and Provost, who serves as Chair. The Council meets periodically to discuss common interests and to make recommendations as appropriate.

2.3.5

VICE PRESIDENT FOR DEVELOPMENT
The Vice President for Development is responsible for the mutual relationships between the University and its alumni and friends and for assisting in the development of the University by obtaining gifts, grants, endowments, and bequests from individuals, foundations, and corporations. This officer coordinates fund-raising and alumni activities for the University and is responsible for the following units: Norman Campus Development, Health Sciences Center Development, and the Alumni Association.

2.3.6

UNIVERSITY VICE PRESIDENT FOR TECHNOLOGY DEVELOPMENT
The University Vice President for Technology Development is responsible for educating the research community on the potential value of intellectual property and assisting the University of Oklahoma research community in identifying, protecting and exploiting the intellectual property development in the University's research programs. This officer oversees the functions of the Offices of Technology Development on the Norman Campus, the Health Sciences Center Campus and the Tulsa Campus.

2.3.7

EXECUTIVE VICE PRESIDENT AND VICE PRESIDENT FOR ADMINISTRATION AND FINANCE (NORMAN CAMPUS)
The Vice President is a full-time position, which reports directly to the President. The Vice President is one of 22 University Officers at The University of Oklahoma and serves as the chief operating and fiscal officer. The Vice President is responsible for administering a budget of approximately $600 million annually. A staff of approximately 800 employees reports through the administrative structure to the Vice President. Departments within Administration and Finance are Architectural and Engineering Services, Budget Office, Controller, Human Resources, Parking & Transit Services, Physical Plant, Public Safety, Purchasing, and Risk Management and Safety Services.

The Vice President also serves as the President's chief of staff and serves as the chief business officer, manages the President's immediate office personnel, and serves as the liaison between the President and
faculty and staff governance groups. The Vice President also coordinates communication between the President and other officers of the University, and serves as liaison for the community on behalf of the President.

(Vice President for Administration and Finance, 7-1-86, 5-1-88, 5-23-94, 10-1-97, 11-1-00, 5-28-03, 2-28-05)

2.3.8

VICE PRESIDENT FOR PUBLIC AFFAIRS
The Vice President for Public Affairs is responsible for furthering OU’s image and promoting OU’s teaching, research, and public service missions and strategic goals. The Vice President for Public Affairs oversees the public relations functions -- news, publications and special events -- on the Norman and Health Sciences Center campuses and, in coordination with the President of OU-Tulsa, those at the Schusterman Center. The activities of the Division of Public Affairs are designed to enhance relationships with constituencies and increase understanding and support of the university’s missions and goals. Public Affairs is composed of two units that offer a variety of services to students, faculty and staff. Communication Services prepares and disseminates news releases and advisories to the media, engages in public relations activities, and produces and directs promotional plans. The office is responsible for reviewing materials in accordance with the University’s Publications Policy. The Special Events Office enables the University to create a wide variety of activities to heighten community awareness of the University’s mission. This office oversees major university-wide events. The Vice President for Public Affairs also serves as a primary liaison to the media as well as a university spokesperson.

(Vice President for Public Affairs, 9-14-98, 3-1-05)

2.3.9

VICE PRESIDENT FOR STUDENT AFFAIRS AND DEAN OF STUDENTS (NORMAN AND HSC CAMPUS)
The University Vice President for Student Affairs and Dean of Students focuses on the welfare of the Norman Campus student community. Responsibilities include supervision of Career Services, Center for Student Life (including student organizations, campus activities, Greek affairs, minority student services, Disability and Judicial Services, Counseling and Testing, Goddard Health Center, Intramural-Recreational Sports, Diversity Enrichment Programs, National Scholars Programs, Prospective Student Services, Student Media, University Housing and Food Services, Oklahoma Memorial Union, Office of Leadership Development, Visitors Center and program coordination with the University of Oklahoma Student Association.

(Vice President for Student Affairs, 7-1-86, 7-18-95, 10-1-97, 9-18-00, 3-1-05)

2.3.10

VICE PRESIDENT FOR RESEARCH (NORMAN CAMPUS)
The Vice President for Research is responsible for the development and/or dissemination of official policies in the research and creative activity arena. The Vice President for Research also coordinates with the Vice President for Development to identify funding for research and scholarly and creative endeavors, both in and outside the University.

The Vice President for Research has responsibility for the operation of the Office of Research Services on the Norman Campus. Additionally, the Samuel Roberts Noble Electron Microscopy Laboratory and the Electron Microprobe Laboratory report administratively to the Vice President for Research.

(Vice President for Research, 6-9-86, 5-19-88, 7-18-95, 10-1-97, 3-9-05)
2.3.11

UNIVERSITY VICE PRESIDENT FOR INFORMATION TECHNOLOGY AND CHIEF INFORMATION OFFICER

The University Vice President for Information Technology is responsible to the President as the Chief Information Officer (CIO) for the Norman and Health Sciences Center campuses. The Vice President provides leadership for information technology planning, infrastructure, security, operations, project management, research support, and services that advance the mission of the University. Other responsibilities include oversight of departmental IT staff appointments and major University technology acquisitions and initiatives, and the recruitment, retention, and development of a highly skilled IT workforce. A University Technology Advisory Council comprised of campus leaders representing the administration, faculty, staff, and students, meets regularly with the CIO to discuss technology trends and issues, including proposals, investments, resources, and priorities. The Vice President also represents the University with industry, government, the Oklahoma state system for higher education, and other academic institutions.

(University Vice President for Information Technology, 9-18-00, 3-1-05)

2.3.12

PRESIDENT, THE UNIVERSITY OF OKLAHOMA, TULSA CAMPUS

The President of OU-Tulsa is the chief executive officer of the OU-Tulsa Campus. The Tulsa President is responsible to the President of OU and coordinates with the Provosts of the University and the Health Sciences Center, and their designated staffs, in developing and administering academic programs, research initiatives, policies, finances, public affairs, development activities, legislative relations, facilities, and strategic planning for OU programs based in Tulsa. The position is the primary liaison between the University and the Tulsa community, with particular emphasis on building synergistic partnerships with Tulsa’s high-growth businesses.

(President, The University of Oklahoma, Tulsa Campus, 9-18-00)

2.3.13

VICE PRESIDENT FOR UNIVERSITY OUTREACH

The Vice President for University Outreach is responsible for developing and implementing outreach and extension activities for the institution. This officer coordinates with university administrators, academic deans and faculty to provide educational, executive and lifelong learning programs to individuals, organizations and communities beyond traditional university boundaries. This office also seeks and obtains grants and contracts, which utilize University faculty and staff to provide training and professional development activities for governmental agencies and businesses. The Vice President for University Outreach also oversees, as dean, the Colleges of Continuing Education and Liberal Studies as well as numerous satellite campuses throughout the state of Oklahoma and around the world.

(Vice President for University Outreach 9-18-00)

2.3.14

VICE PRESIDENT FOR UNIVERSITY GOVERNANCE/EXECUTIVE SECRETARY OF THE BOARD OF REGENTS

The Vice President for University Governance/Executive Secretary of the Board shall keep an accurate record of the proceedings of the Board and shall have the care of all communications and reports made to the Board. The Vice President/Executive Secretary shall notify the President of the University of all votes, orders or resolutions of the Board relating to the management and control of the University or to the teachers and employees therein, and shall be the custodian of the official seal of the Regents.

(Vice President for University Governance/Executive Secretary of the Board of Regents, 11-30-00)
2.3.15

INTERIM OFFICERS
At the time of appointment to the position of Interim President, Interim Senior Vice President and Provost, Interim Vice President, or Interim Academic Dean, the Board of Regents will state whether the appointee is eligible to be a candidate for the permanent positions.

(Regents, 1-20-86, 3-201-95, 12-2-2003)

2.4

FACULTY SENATE, NORMAN CAMPUS
The Faculty Senate consists of 50 members of the Regular Faculty. Senators are elected to three-year terms by written ballot, and the electors consist of members of the Regular Faculty. Senate seats are allocated to the colleges in proportion to the number of faculty in the college; faculty who are not members of a degree-recommending college are treated as a separate college.

Five students, including graduate and undergraduate, are chosen by the University of Oklahoma Student Association to serve as official student representatives to the Senate. Without voting privileges, they observe, participate in discussion, and maintain communication with the University of Oklahoma Student Association in regard to Senate actions. Similarly, a representative of the Senior Vice President and Provost's Office and six representatives of the Informational Staff Association also may attend Senate meetings and participate, without voting privileges, in Senate discussion.

The Senate exercises the legislative powers of the faculty of the University as delegated by the Regular Faculty and has the power to initiate any legislation requiring approval of the Board of Regents of the University. Subjects for review or legislation may be brought to the attention of the Senate by written communication from any member of the University community or any officially constituted agency.

The officers of the Senate, who also are the officers of the Regular Faculty, are the Chair, the Chair-Elect, and the Secretary.

The Senate meets on the second Monday of each month of the regular school year and on call of the Chair or Chair-Elect or on petition, presented to the Secretary, signed by five members. Meetings are open to all members of the University community and representatives of the news media. However, the Senate may go into executive session by a majority vote of the members present.

(Derived from the Charter of the Regular Faculty and the Faculty Senate)

2.5

UNIVERSITY OF OKLAHOMA STUDENT ASSOCIATION, NORMAN CAMPUS
Every regularly enrolled student on the Norman Campus is a member of the University of Oklahoma Student Association.

Legislative powers are vested in a legislative branch that consists of an Undergraduate Student Congress and a Graduate Student Senate.

The Undergraduate Student Congress consists of 48 members who serve one-year terms representing academic districts.

The Graduate Student Senate consists of graduate students who are elected by graduate students in their respective departments. Each department of the Graduate College is represented by two delegates.

The executive power is vested in a Student President, who serves for one year following a general election.
The judicial power is vested in a Student Superior Court and such inferior courts as the legislative branch may establish.

The legislative branch makes University-wide student rules and regulations, appropriates all revenues of the Student Association, and confirms or denies nominations made by the Student President.

All bills passed by the legislative branch and enacted by the Student Association, except those dealing specifically with the Student Association's internal operation, are presented for signature of approval to the President of the University. If the President does not approve the bill, it is returned to the legislative branch for reconsideration; if two-thirds of the members of each house agree to pass the bill, it is presented to the Board of Regents of the University for consideration.

(Derived from Constitution of the University of Oklahoma Student Association; Amendments approved by the Regents, 6-22-82, 9-9-82, 4-9-87, 5-9-91, 3-4-93)

2.6

STAFF SENATE
The Norman Campus Staff Senate is organized to serve as a representative body of the staff of the Norman Campus of the University and to participate in such policy matters of the University as may directly affect staff appointed through the Norman Campus.

The Senate shall function for the welfare of the University and for the staff they represent and shall function as an advisory and policy referral body to the University administration and to the staff of the Norman Campus.

Member groups shall include without limitation, the Council of Administrative Officers, the Administrative Staff Council, Managerial Staff Council, the Association of the University of Oklahoma Professional Employees, and the Employee-Management Council.

The President is authorized to approve changes in the Charter and By-Laws of the Staff Senate that do not change the purpose of the Staff Senate or the role of the Staff Senate in governance of the University.

(Regents 11-11-71, 7-24-75, 12-14-78, 3-29-00, 1-27-04, 6-23-04)

The general website address for the Norman Campus Staff Senate is http://www.ou.edu/staff_senate.

2.7

COUNCILS AND COMMITTEES

2.7.1

PURPOSE
An effectively organized system of councils and committees is essential to the operation of the University. Councils and committees serve a variety of functions that contribute to the achievement of the University's goals as an educational institution:

(A) They keep the several elements of the University informed of the conditions, policies, and decisions that affect their responsibilities and welfare.

(B) They are a means of marshaling the wide range of knowledge and expertise on all subjects available to the University so that it can contribute to decision-making.
(C) They provide a liaison between officers of the University and other areas of the University, especially the faculty. Through consultation, policy review, and exploration of disagreements, a sound operating relationship can be maintained among all members of the University community.

(D) They bring representatives of the appropriate groups in the University together at an early stage in the process of planning and development of policy and programs.

2.7.2

RESPONSIBILITIES
To achieve full effectiveness, councils and committees must be:

(A) Representative of the groups appropriate to their particular functions;

(B) Consulted regularly on a schedule that allows time for participation;

(C) Afforded full and immediate access to the information relevant to their interest;

(D) Able to exercise initiative and review actions, as well as respond to proposals put before them; and

(E) Provided benefit of a formal response from the appropriate academic and administrative offices to proposed recommendations or actions.

All councils and committees are given clearly stated charges in writing, and they are asked to make periodic reports to their constituent bodies. The membership of each council and committee is included in the charge. All appointments to University councils and committees by the Faculty Senate are direct appointments and are forwarded to the President for official notification.

The committee structure of the University is kept flexible by periodic review and revision, assuring that committee work does not absorb an undue amount of faculty, staff, and student time. A current listing of councils and committees, their charges, and their membership is maintained in the Office of the Senior Vice President and Provost.

2.7.3

COUNCILS

(A) COUNCILS
Councils make recommendations to the President on policy and programs in areas of vital significance to the functioning of the University as an educational institution and in special extracurricular areas that deserve the attention of the full representation of the University community. Certain councils are created by the Board of Regents, and their membership and charges are set by the Board of Regents. These include:

Athletics Council (University)
Council on Faculty Awards and Honors (University)
Presidential Professorship Selection Committee
Publications Board (University)

Other councils are established upon recommendation of the Faculty Senate and approval of the President. The President can suggest the establishment of specific new councils to the Senate. Councils can be abolished on recommendation from the Senate and approval of the President. Membership to the following councils is elected by the Faculty Senate and forwarded to the President for official appointment. Councils established in this way for the Norman Campus include:

Academic Programs Council
THESE COUNCILS OPERATE ACCORDING TO THE FOLLOWING GUIDELINES:

(1) Membership
Membership of the councils will be drawn from the elements of the University relevant to their areas of interest including, as appropriate, faculty, students, and non-academic personnel. Ordinarily, the council membership consists of nine faculty members appointed to three-year terms, with one-third retiring each year. At least one officer of the University administration whose duties are relevant to the work of each council will be designated by the President to be an ex-officio member of the council without a vote. The officer is responsible for assuring that the council is informed of administrative activities and plans appropriate to its charge. When necessary, the officer will provide staff support to the council.

(2) Chair
The chair of each council is elected annually from the faculty members of the council. On the Norman Campus, a select and appropriate group of council chairs will hold ex-officio membership on the Faculty Senate Executive Committee.

(President, 8-6-85)

(3) Charge to a Council
A charge to a council is recommended to the President by the Faculty Senate. The President gives the charge in writing.

2.7.4

STANDING COMMITTEES
Standing committees provide the President and his or her staff with counsel and assistance regarding areas of University activity that are important to the fulfillment of an educational mission, but are of less fundamental significance than the areas of council concern. Standing committees are established by recommendation from the Faculty Senate and approval of the President. The President may suggest the establishment of specific committees to the Senate. Committees may be altered in their function or abolished upon recommendation of the Senate and approval of the President.

The membership of a standing committee varies with its function, but faculty participation is desired on all standing committees. The terms of membership are stated in the charge when a committee is established. These standing committees include:

Academic Regulations Committee
Campus Tenure Committee
Commencement Committee (University)
Committee on Discrimination and Harassment
Conflict of Interest Advisory Committee
Copyright Committee
Education Abroad and International Student Services Advisory Committee (University)
Employment Benefits Committee (University)
Environmental Concerns Committee
Faculty Appeals Board
Legal Panel
Film Review Committee
Fitness and Recreation Advisory Committee
Goddard Health Center Advisory Board
2.7.5 OTHER UNIVERSITY COMMITTEES
Several other types of committees are used as appropriate:

(A) ADMINISTRATIVE ADVISORY COMMITTEES
Officers of the University are authorized to establish special advisory committees for subjects not covered by the council or standing committee structure, so long as they do not duplicate the work of the councils and standing committees. These committees are composed of members selected in a way determined by the establishing official. The number and purposes of these committees are reviewed regularly by the President and the Faculty Senate.

(B) TASK FORCES
A task force is an ad hoc committee designed to accomplish a specific written charge. Members of the task force are selected by the appointing body or officer. Dissolution occurs when the task is completed or at the discretion of the appointing body or officer.

(C) DESIGNATED SCHOLARSHIP COMMITTEES
Membership to the following scholarship committees is elected by the Faculty Senate and forwarded to the President for official appointment. The Norman Campus and University-wide committees include:

- Bass Memorial Scholarship Fund Committee
- Rita H. Lottinville Prize for Freshmen Committee

(Extracted from Structure of University Councils and Committees and from the Charters and the Listings of the Councils and Committees; Presidential Approval 5-10-74, 2-13-76, 6-16-78, 4-10-81, 4-17-81, 7-1-81, 4-24-86, and 6-13-93, 10-1-97, 3-3-05)

2.7.6 ATTENDANCE REQUIREMENTS FOR FACULTY MEMBERS OF A UNIVERSITY COUNCIL OR COMMITTEE
Except as otherwise provided by Regents’ policy, each faculty, staff, and student member is permitted to miss only three regularly scheduled meetings of a University council, committee, or board during an academic year. Absence at more than three regularly scheduled meetings is grounds for removing a faculty, staff, or student member from a University council, committee, or board at the discretion of the chair.

Absences from regularly scheduled meetings may be made up by attendance at specially scheduled meetings at the discretion of the chair.

(Faculty Senate, 10-3-83; Presidential Approval, 4-5-84)

2.7.7 RESIGNATION OF FACULTY MEMBERS FROM COUNCIL AND COMMITTEE MEMBERSHIP DURING LEAVES OF ABSENCE

Norman Campus – Faculty Handbook
Faculty members who shall be absent from the University for a regular semester or longer because of sabbaticals, leaves of absence, or other activities shall resign all positions on councils, standing committees, and administrative advisory committees of the University. They shall be replaced for the unexpired portions of their terms by faculty members appointed by the President from the names submitted in accordance with established election procedures.

(Faculty Senate, 11-12-73; Presidential Approval, 11-14-73)

2.7.8

ADMINISTRATIVE SEARCH COMMITTEES

(A) ADMINISTRATIVE SEARCH COMMITTEES
The selection of the President and other administrators is the responsibility of the Board of Regents, and any process leading to that selection is the prerogative of the particular Board in office at the time the selection process is to be initiated. It is suggested that administrative search committees make nominations and recommendations concerning candidates and that the President and the Board of Regents be guided by them in most instances, but it is understood that the President and the Board of Regents shall not be bound by nor limited to nominations and recommendations of administrative search committees.

(B) PRESIDENT OF THE UNIVERSITY
It is recommended that the presidential search committee have representation by faculty, student(s), and staff. The Board of Regents appoints these members from nominees selected by the official faculty, staff, and student governance organizations on each campus. Faculty members shall constitute a majority of those chosen from the faculty, staff, and students.

There shall be twice as many nominees as there are positions. The Board of Regents may designate other members as deemed appropriate.

(C) SENIOR VICE PRESIDENT AND PROVOSTS, VICE PRESIDENTS, AND VICE PROVOSTS
The senior executive search committee shall have faculty, student, and staff representation. The President shall appoint these members from nominees selected by the official faculty, staff and student governance organization on each campus. There shall be twice as many nominees as there are positions. The President may designate other members as deemed appropriate; provided designees from outside the University shall be subject to the approval of the Board of Regents.

(D) DEANS
The Dean search committee shall have faculty, student, and staff representation. The procedure for selecting student and staff representation shall be as outlined above. Upon requesting nominations by faculty members, the President shall designate the number of positions to be filled from (1) the general faculty of the particular college or unit involved and (2) the University faculty at large. There shall be at least one position filled from the University faculty at large from nominations made by the official faculty governance organization. In all cases, there shall be twice as many nominees as there are positions. The President shall make all appointments.

(Regents, 5-12-83, 3-20-95, 1-27-04)

2.8

COLLEGE AND DEPARTMENTAL ORGANIZATION

2.8.1

COLLEGE ADMINISTRATION

(A) COLLEGE ORGANIZATION
To accomplish its academic mission, the University is divided into colleges with a dean as the chief administrative officer. The dean is responsible for an administrative organization designed to meet the
particular needs of the college. Assisting the college deans in the responsibilities of their offices will be such staff, including associate deans and assistant deans, as are necessary to fulfill the mission of the college. The programs and faculty of a college usually are divided into separate units such as schools, departments, or divisions. The purpose of these units is to provide groupings for faculty associated with one or more related academic programs and disciplines. This should lead to more active participation by the faculty in carrying out the work of the college. When a college is divided into separate units, the dean shares (or delegates) many of the specific responsibilities outlined in this policy statement with college staff and the chairs/directors of the separate units. In colleges not divided into separate units, the college organization is similar to departmental organization as described in Section 2.8.2. Some colleges, particularly the Graduate College, College of Continuing Education, College of Liberal Studies, and University Libraries, are organized differently due to their unique mission within the University. Some of the responsibilities outlined in this policy statement will not be applicable to all colleges because of various differences among the colleges.

(B) COLLEGE GOVERNANCE DOCUMENTS
College faculty and administrators shall develop written policies and procedures to provide governance for the college. These governance documents shall be subject to review and approval of the Senior Vice President and provost and must be consistent with current policies of the University Regents, President, and Senior Vice President and Provost. The college governance documents shall be reviewed regularly by the college administration and faculty to insure that they comply with current University and college policies. The college governance documents shall address at least the following subjects:

1. The mission of the college and any of its separate units;
2. Administrative organization of the college;
3. Faculty governance within the college, including college committee structure and rules and procedures for faculty meetings;
4. Procedures and criteria for hiring faculty, staff, and administrators;
5. Procedures and criteria for annual faculty evaluation;
6. Procedures and criteria for promotion and tenure;
7. Procedures and criteria for evaluation of the dean and chairs/directors;
8. Other policies defining the operation, authority, and policies of any separate units within the college.

(C) GENERAL RESPONSIBILITIES OF THE DEAN
The dean provides leadership and administrative support to the programs and faculty of the college in performing the missions of teaching, research/creative activity, and service. The dean represents the college in relations with the University Regents, the President, the Senior Vice President and Provost, other colleges, and other administrative officers of the University. The dean is responsible to the President through the Senior Vice President and Provost and is accountable to many constituencies including the faculty, staff, students, administrators, and alumni of the college. Whenever appropriate, the dean is expected to consult with, receive advice from, and communicate to the constituent members of the college decisions and recommendations of importance to the college.

(D) SPECIFIC RESPONSIBILITIES OF THE DEAN
The following is a non-exhaustive listing of examples describing specific responsibilities of the dean. From time to time, the Senior Vice President and Provost or the faculty of the college may suggest additional specific responsibilities. In any particular college, the specific responsibilities of the dean may vary depending on the mission, organization, and size of the college. The specific responsibilities of an individual dean in a particular college must be flexible to respect these differences between various colleges and the leadership style of a particular dean.

1. To the University at large, the Dean is responsible for:
   (a) Representing the college whenever appropriate.
   (b) Implementing and disseminating information to college faculty and staff about all policies of the University.
(c) Participating in the Dean’s Council by advising the Senior Vice President and Provost concerning strategic planning, budgeting needs, University policy changes, activities, matters of mutual interest, and other priorities of the University.

(d) Assisting the President and the Senior Vice President and Provost in the selection of deans and other University administrative officers.

(e) Providing an annual report to the President and other constituencies concerning the performance of the dean’s college.

(f) Cooperating with other colleges in the development of interdisciplinary programs consistent with University goals and objectives.

(g) Contributing to a general spirit of University cooperation and collegiality.

(2) To the College, the Dean is responsible for:

(a) Providing leadership in the organization, operations, development, and evaluation of the instructional, research/creative activity, and service programs appropriate to the college and consistent with University and college strategic planning.

(b) Setting priorities for college-level alumni development and fund-raising activities, and assisting the college and its separate units with implementing and maintaining an active alumni development and fund raising program.

(c) Planning, preparing, submitting, and managing the college budget.

(d) Fostering the welfare of the entire college faculty and staff and encouraging, facilitating, and mentoring their work and professional development.

(e) Recommending the appointment, promotion, and tenure of faculty according to University and college guidelines (see Sections 3.5, 3.7, and 3.11).

(f) Implementing personnel policies concerning faculty and staff of the college.

(g) Providing leadership to the faculty in reviewing, evaluating, and developing appropriate curricula and effective academic programs of study within the college.

(h) Seeking advice from faculty, chairs/directors, and staff on matters affecting the college.

(i) When it is in the best interest of a college to effect a reorganization among its units in order to respond to new circumstances or to strengthen existing programs, consulting with and informing the college faculty and staff before recommending approval of a recommendation.

(j) Presiding over meetings of the college faculty.

(k) Assuring that faculty and staff have access to University, college, and departmental policies.

(l) Evaluating the performance of unit chairs/directors and other administrative staff reporting to the dean according to University and college policies. (See Section 2.8.2(e) and (h)).

(m) Initiating procedures to search for chairs/directors and other administrative staff of the college whenever a vacancy occurs. (See Section 2.8.2(f)).

(n) Evaluating the facility needs of the college and periodically advising the Senior Vice President and Provost of these facility needs.

(o) Implementing the University Affirmative Action Plan and insuring equal opportunity for all faculty, staff, and students who are job applicants to the college.

(p) Developing strategies to recognize outstanding achievements by faculty and staff through appropriate awards and honors.

(q) Fostering a spirit of cooperation and teamwork within the college.

(3) To the students in the College, the Dean is responsible for:

(a) Providing an academic environment that nurtures all students to succeed to the best of their abilities through counseling, professional advice, and other assistance when necessary.

(b) Providing an academic advising system that informs students of all academic requirements of the college and their progress toward meeting those requirements.

(c) Seeking advice from students on matters affecting the college.
(d) Implementing University and college procedures to insure an ethical and equitable academic atmosphere by enforcing policies involving such issues as academic misconduct, academic grade appeals, and ethics in research.
(e) Developing strategies to recognize outstanding achievement by students through appropriate awards and honors.
(f) Enforcing admission and graduation requirements of the college.
(g) On behalf of the faculty, recommending an appropriate degree for students who have met the requirements as determined by University and college regulations.

(4) To external constituencies, the Dean is responsible for:
(a) Cooperating with and providing college-related leadership to University units that support the alumni development, fund raising, government relations, and public relations efforts of the University.
(b) Communicating with graduates and other appropriate external constituencies concerning matters of interest to the college.
(c) Seeking advice from graduates and other appropriate external constituencies concerning matters affecting the college.
(d) Cooperating with the University in disseminating information about the college to the State Regents, the Legislature, and government entities.

(E) FACULTY RESPONSIBILITY OF A DEAN
In addition to the administrative responsibilities described above, the dean may be involved in teaching, research/creative activity, and service. The extent of involvement in teaching, research/creative activity, and service should be determined by the dean in consultation with the Senior Vice President and Provost. While the dean is normally granted tenure within an academic unit of the college, the dean does not vote at faculty meetings of the unit.

(F) APPOINTMENT OF A DEAN
The dean is normally appointed on a twelve (12) month basis. The dean of a college shall be initially appointed to a specific term as negotiated by the Senior Vice President and Provost, thereafter renewable by the University Regents upon the recommendation of the President.

(G) RETENTION OF A DEAN
The dean of the college serves at the pleasure of the President upon the recommendation of the Senior Vice President and Provost and is entitled to 12 months notice of the termination or non-renewal of appointment unless good cause exists. Where termination is for good cause, it may be immediate and without prior notice. Retention or non-retention of a dean is recommended by the Senior Vice President and Provost after completion of the comprehensive evaluation process under Section 2.8.1(i)2.

(H) SELECTION PROCEDURE FOR A NEW DEAN
The selection procedures for a new dean are described in 2.7.8 (“Administrative Search Committees”) of the Faculty Handbook.

(I) PERFORMANCE EVALUATION OF A DEAN
Evaluation of the dean's performance is carried out by the Senior Vice President and Provost. It includes but is not limited to confidential evaluation by the faculty of the college. The faculty's assessment of the performance of their dean is carried out at regular intervals, as described below. The primary purpose of an evaluation is to provide constructive information toward how well job expectations are being met by the dean. The information will be made available to the dean, as well as to the University officers to whom the dean is responsible. A summary of the performance evaluation of the dean shall be shared with the appropriate college committee or group.

(1) Annual Evaluation
An annual performance evaluation will be conducted of all deans by the Senior Vice President and Provost. The annual evaluation shall include:
(a) A self-assessment by the dean.
(b) Confidential evaluation by the faculty of the college conducted by the Senior Vice President and Provost.
(c) A report to the Senior Vice President and Provost from the college faculty and staff concerning the performance of the dean using the procedures and criteria adopted by the college.
(d) A formal consultation between the dean and the Senior Vice President and Provost.

2. Comprehensive Evaluation
A comprehensive performance evaluation of the dean will occur at least every five years and shall be completed at least 12 months prior to the conclusion of a dean's appointed term. In addition to a compilation of the dean's annual evaluations, the comprehensive evaluation shall include input from the faculty, chairs/directors, staff, students of the college, and other deans and administrative officers of the University. In planning the comprehensive evaluation, the Senior Vice President and Provost will respect differences among the various colleges. The comprehensive evaluation may include an external evaluation.

3. Evaluation Procedures and Criteria
The faculty of each college in cooperation with the Senior Vice President and Provost shall develop written procedures and criteria for the annual and comprehensive evaluation of the college dean. Evaluation procedures should provide the opportunity for input into the evaluation from the faculty, chairs/directors, staff, students, and appropriate external constituencies of the college.

J) VACANCY
Whenever a vacancy occurs in the office of a college dean, the Senior Vice President and Provost shall appoint an interim or acting dean of the college until a permanent dean assumes responsibility for the college. Prior to the appointment, the Senior Vice President and Provost shall seek input from representatives of the faculty, chairs/directors, and staff of the college involved to obtain advice on an appropriate candidate for the interim or acting dean. (For the effect of an interim appointment on the selection procedure for a new dean, see Section 2.3.15)

K) RESOLUTION OF A FACULTY GRIEVANCE CONCERNING THE DEAN
Faculty complaints about the dean will normally be resolved internally through meetings between the dean and faculty representatives. If dissatisfaction is widespread and the college is unable to resolve it, the college faculty, by a majority vote, may request that the Senior Vice President and Provost appoint a five member ad hoc committee, consisting of three faculty members who do not hold appointments in the involved college, a dean, and another University officer, to conduct an investigation and report its findings to the Senior Vice President and Provost. After receiving the committee report, the Senior Vice President and Provost will determine an appropriate course of action to resolve the grievances.

2.8.2 DEPARTMENTAL ADMINISTRATION
An academic unit of a college, hereafter called a department, is administered by a chair (or an equivalent title recommended by the college and approved by the Senior Vice President and Provost and President). The chair provides leadership in matters of policy determined by the faculty of the department, operating within guidelines provided by the University of Oklahoma Regents, University administrative officers, and the college. The departmental faculty is defined as all members with the rank of assistant professor or higher. It does not include unranked renewable term appointees, but unranked renewable term faculty may, at the discretion of the department, be given full departmental privileges. In colleges not divided into separate units, the college faculty is the equivalent of the departmental faculty, and the dean performs the duties and functions of the chair.

A) DEPARTMENTAL FACULTY
The departmental faculty has jurisdiction over matters of policy and procedure and the right to choose its own form of organization, as long as these do not conflict with the rules and regulations of its own college or the University. These procedures will be filed with the Senior Vice President and Provost and
the dean of the college. As a matter of principle, the faculty is involved in preparing faculty personnel recommendations, and it elects representatives who participate in transmitting formal recommendations.

On the Norman Campus, the departmental form of organization shall include an elected body called Committee A of that budget unit. The members may be elected from 1) tenured faculty or 2) from both tenured and tenure-track faculty or 3) from tenured, tenure-track and ranked renewable term faculty as the faculty of the budget unit determines and the unit's dean approves. Members shall be elected by secret ballots (with provisions for absentee ballots) at duly called faculty meetings in accordance with the procedure formally established by the faculty of each budget unit. Modes of nomination, the number and eligibility of elected members, and terms of office also shall be established by the faculty of each budget unit. The head of the budget unit may serve as chair of Committee A, except that a unit's dean may or may not serve, depending on the unit's formally established procedures. Unless a separate faculty committee established and elected by the voting members of the unit has been assigned any of the following responsibilities, Committee A shall prepare and transmit to the chair formal recommendations as to (1) annual faculty evaluations, (2) budget requests/allocations, (3) increases in salaries of faculty, (4) faculty awards, unless donors have specified that the decision be made through another process, (5) hiring of new faculty, (6) tenure and promotion matters, and (7) such other matters as may be transmitted to Committee A from time to time. (8) Unless a separate faculty committee established and elected by the voting members of the unit has been assigned that responsibility, Committee A shall provide annual written evaluation and guidance, jointly with the Chair, to all tenure-track faculty to aid in their efforts to obtain tenure. Minority opinions may be noted in any formal recommendation forwarded by Committee A.

(B) DEPARTMENTAL CHAIRS
The chair has a leadership function and is accountable both to the department and the dean for the performance of this function. The chair represents his or her department in relations with other departments, with the deans, and with other administrative officers of the University. The chair is expected to encourage and facilitate the work, quality, and professional development of the department. He or she shall take the initiative in reporting the needs and championing the causes of the department to the dean. This includes a basic responsibility for obtaining merited recognition of faculty members with respect to promotions, salary increases, and support for career development. Other leadership functions include implementing the Affirmative Action Plan, strategic planning, conducting program review, and making tenure recommendations.

(C) SPECIFIC RESPONSIBILITIES OF THE CHAIR
The chair provides leadership in all matters of policy as determined by the faculty, dean, and Senior Vice President and Provost. The chair determines procedures for carrying on the work of the department. Such functions shall include (but not be limited to):

(1) determining time and frequency of faculty meetings (at least monthly);
(2) establishing policy for expenditures from departmental budget;
(3) with advice and consultation from Committee A (or such other faculty committee as the voting members of the unit may establish and elect), determining teaching assignments and class schedules for the department; preparing annual faculty evaluations and making recommendations to the dean concerning budget requests/allocations, for increases in salaries for faculty, faculty awards (unless donors have specified that the decision be made by another person or through another process), and hiring of new faculty, tenure, promotion, annual reviews of the progress of tenure track faculty in their efforts to obtain tenure.

(D) EXPECTATIONS OF THE CHAIR
In addition to the administrative responsibilities described above, the chair is expected to be involved in teaching and research/creative activity. The extent of involvement in teaching and research/creative activity should be determined by the dean in consultation with the chair and Committee A.

(E) EVALUATION OF THE CHAIR
Chairs will be evaluated annually by their dean and departmental faculty. Committee A (excluding the chair) shall prepare an annual evaluation of the chair's teaching, research/creative activity, and service (other than departmental administration) using the standard process and forms for faculty evaluations. For evaluating the administrative effectiveness of the chair, Committee A should solicit formal input from the entire faculty and staff of the unit. These evaluations, together with the dean’s evaluation of the chair’s performance, will be discussed with the chair and will be used by the dean as the basis for determining the chair's salary increase.

(F) SELECTION OF CHAIRS/DIRECTORS
(1) Prior to initiating search and nomination procedures for department chair, the faculty of the department should meet with the dean of the college to discuss the needs and expectations of the department as they relate to the appointment of a new chair, the role of the chair, and the type of search (i.e., internal or national) that most likely will assure that an appropriate candidate is recommended and to discuss any budgetary considerations related to the search and appointment of a new chair.

(2) Subsequently, the faculty will recommend to the dean whether the search should be internal or national.

(3) If the dean does not concur with the department faculty's recommendation, the dean will meet with the department faculty to discuss reasons for disagreement. However, the dean's decision will be final and must be consistent with the University’s Affirmative Action policies.

(4) For national searches, a search committee will be formed consisting of elected departmental faculty members, one or two students reflecting undergraduate majors and graduate students to the extent appropriate, and members appointed by the dean, including one current department chair. Elected departmental faculty shall constitute the majority. The search committee will review applications and, in consultation with the departmental faculty, will recommend to the dean the candidates for on-campus visits.

(5) After the campus visits, both the search committee and the faculty will rank the acceptable candidates and recommend them to the dean. The dean will forward his/her recommendation to the Senior Vice President and Provost.

(6) The campus Senior Vice President and Provost will approve all appointments of department chairs prior to submission to the President's Office and the Board of Regents.

(G) APPOINTMENTS OF CHAIR/DIRECTORS
(1) Because the University operates on a year-round basis, the chair normally is appointed on a 12-month basis.

(2) The length of the initial and subsequent appointments shall be fixed at four years.

(3) Normally, an administrative supplement is added to the chair's base salary to be effective during the term of the appointment as chair.

(H) REAPPOINTMENT
Approximately 12 months before the end of the chair’s term, elected members of Committee A shall initiate the proceedings to obtain a formal recommendation from the faculty concerning the reappointment of the chair and transmit it to the dean. If the dean does not concur with the departmental faculty's recommendation, the dean will meet with the department faculty to discuss reasons for disagreement. However, the final decision for reappointment shall be made by the dean.

If the decision is made to recruit a new chair, then the procedure under "Selection of Chairs/Directors" should be followed.
ADJUDICATION OF FACULTY GRIEVANCE CONCERNING THE CHAIR
Faculty complaints about the chair normally will be resolved by the appropriate dean. If dissatisfaction is widespread and a dean is unable to resolve it, Committee A or the unit faculty by a majority vote may request that the Senior Vice President and Provost appoint an ad hoc committee, consisting of three faculty members who do not hold appointments in the affected college, to conduct an investigation and report its findings to the Senior Vice President and Provost. After receiving the committee report, the Senior Vice President and Provost will determine appropriate courses of action to resolve the grievances.

(Presidential Approval, 3-1-45, Revised 3-25-49, and as printed in the 1962 Faculty Handbook; Revised, Presidential Approval, 5-10-76, 5-12-78, 7-12-78, 1-3-86, 11-5-86; Revised in part, Regents, 7-28-93, and President, 7-20-95, 3-15-05)
3. FACULTY POLICIES AND INFORMATION

3.1 FACULTY PERSONNEL POLICIES

It is the policy of the University to recognize and implement the functions assigned to it by the Oklahoma State Regents for Higher Education. These functions are teaching; research and creative/scholarly activity; and professional and University service and public outreach. The responsibility for carrying out this policy is shared by the Board of Regents, administrative officers, and the Regular Faculty.

Since 1942, the Regular Faculty has actively participated in the origination, formulation, and implementation of University policies through a democratically elected Faculty Senate. Today, there are two Senates, one for the Norman Campus and one for the Health Sciences Center Campus. The charter of the Norman Campus Faculty Senate is in Section 10 of this Handbook or can be viewed at www.ou.edu/admin/facsen.

3.1.1 THE REGULAR FACULTY

The Regular Faculty of the University is composed of all faculty members with regular appointments including tenure-track, tenured, and renewable term appointments at the ranks of assistant professor, associate professor, and professor.

Additional policies related to the Regular Faculty and the Faculty Senate are contained in the Charter of the Regular Faculty and Faculty Senate.

(Regents, 2 12 76, 1-27-04)

3.1.2 THE GRADUATE FACULTY

Those who are appointed to the faculty of the University of Oklahoma also may be appointed to the graduate faculty as a Member or Special Member. Additionally, on recommendation of the department and with approval of the Dean of the Graduate College, a Member may direct and/or co direct doctoral dissertations. Only those who are actively involved in research/creative activity should direct the original work of others. Appointments to the graduate faculty are governed by criteria that have been developed and approved by the department/school and then by the Dean of the Graduate College. Individuals wishing such an appointment should contact the chair/director of the recommending department/school or the Graduate College for additional information.

(Derived from the Charter of the Graduate Faculty, Appendix C; Graduate Dean, 9 12 84)

3.2 ACADEMIC FREEDOM AND RESPONSIBILITY

INSTITUTIONAL ACADEMIC FREEDOM

The accumulation and exchange of knowledge are among the preeminent purposes of the University, and the acknowledgement of individual academic freedom is one of the cornerstones to ensure such purposes are achieved. Equally important in meeting these goals is the recognition of the right inherent in the responsibility of the Board of Regents to govern the University. “[I]t 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.” Sweezy v. New Hampshire, 354 U.S. 234, 263; 77 S.Ct. 1203; 1 L.Ed.2d 1311 (1957)
3.2.1

ACADEMIC FREEDOM

The 1940 Statement of Principles on Academic Freedom and Tenure with 1970 Interpretative Comments of the American Association of University Professors has long been recognized as providing valuable and authoritative guidelines for policy and practice in American colleges and universities. The section on academic freedom below is essentially a restatement of these principles, with some modification and extension consistent with their intent and with later declarations by the Association. In the formulation that follows, these principles have been adopted as University policy by the Board of Regents.

(A) Faculty members are entitled to full freedom in research and publication, subject to any restrictions set by law or by applicable codes of professional ethics, and subject to adequate performance of their other academic duties and to stated University policy on outside employment; but, except under conditions of national emergency, a faculty member should not undertake to do research on University time or using University facilities or funds under any agreement which would (except for a definitely and reasonably limited time) prohibit open communication of the results.

(B) Faculty members are entitled to freedom in the classroom in discussing their subject, but it is inappropriate for a teacher persistently to intrude material that has no relation to the subject of instruction.

(C) As members of the community, university teachers have the rights and obligations of any citizen. They measure the urgency of these obligations in the light of their responsibilities to their subject, to their students, to their profession, and to their institution. In speaking or acting as private persons, faculty members should avoid creating the impression of speaking or acting for their college or university. As a citizen engaged in a profession that depends upon freedom for its health and integrity, the university teacher has a particular obligation to promote conditions of free inquiry and to further public understanding of academic freedom.

(D) As citizens, university teachers should be free to engage in political activities consistent with their obligations as teachers and scholars. Subject to University policy some activities, such as seeking election to an office for which extensive campaigning is not required, or service in a part time political office, may be consistent with effective service as a member of the faculty. More extended or intensive activity may require that the faculty member should come under the normal rules and practices respecting leaves of absences; and it should not affect the tenure status of a faculty member, except that time spent on such leave does not count as probationary service.

(E) Freedom of access to recorded knowledge being essential to learning and research in a democracy, the right and the obligation of the university to provide a full range of materials on any subject, even though some views might be currently unpopular or controversial or appear incorrect, shall not be infringed. The principles of academic freedom shall apply to the presence of materials and also to those who provide and those who use them.

The University of Oklahoma endorses the 1957 declaration of the American Association of University Professors which “. . . asserts the right of college and university students to listen to anyone whom they wish to hear, . . . affirms its own belief that it is educationally desirable that students be confronted with diverse opinions of all kinds, (and) therefore, holds that any person who is presented by a recognized student or faculty organization should be allowed to speak on a college or university campus.” Duly constituted organizations at the University may invite speakers without fear of sanctions. However, in the exercise of these rights, it is clearly recognized that:

"Membership in the academic community imposes on students, faculty members, administrators, and trustees 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 the campus. The expression of dissent and the attempt to produce change, therefore, may not be carried out in ways which injure individuals or damage institutional facilities or
disrupt the classes of one’s teachers or colleagues. Speakers on campus must not only be protected from violence but must be given an opportunity to be heard. Those who seek to call attention to grievances must not do so in ways that significantly impede the functions of the institution.” (1970 Declaration of the AAUP Council)

3.2.2

ACADEMIC RESPONSIBILITY

The concept of academic freedom shall be accompanied by an equally demanding concept of academic responsibility. Nothing in the following statement is intended to abridge in any way the principles and procedures advanced in the 1940 Statement of Principles on Academic Freedom and Tenure with 1970 Interpretive Comments of the American Association of University Professors. This statement is derived in substantial measure from the AAUP 1966 Statement on Professional Ethics as revised in 1987.

(A) Faculty members, guided by a deep conviction of the worth and dignity of the advancement of knowledge, recognize the special responsibilities placed upon them. Their primary responsibility to their subject is to seek and to state the truth as they see it. To this end faculty members devote their energies to developing and improving their scholarly competence. They accept the obligation to exercise critical self-discipline and judgment in using, extending, and transmitting knowledge. They practice intellectual honesty. Although faculty members may follow subsidiary interests, these interests must never seriously hamper or compromise their freedom of inquiry.

(B) As teachers, faculty members encourage the free pursuit of learning in their students. They hold before them the best scholarly and ethical standards of their discipline. Faculty members demonstrate respect for students as individuals and adhere to their proper roles as intellectual guides and counselors. Faculty members make every reasonable effort to foster honest academic conduct and to ensure that their evaluations of students reflect each student’s true merit. They respect the confidential nature of the relationship between faculty member and student. They avoid any exploitation, harassment, or discriminatory treatment of students. They acknowledge significant academic or scholarly assistance from them. They protect their academic freedom.

(C) As colleagues, faculty members have obligations that derive from common membership in the community of scholars. They do not discriminate against or harass colleagues. They respect and defend the free inquiry of associates. In the exchange of criticism and ideas, faculty members show due respect for the opinions of others. They acknowledge academic debt and strive to be objective in their professional judgment of colleagues. Faculty members accept their share of faculty responsibilities for the governance of their institution.

(D) As members of an academic institution, faculty members seek above all to be effective teachers and scholars. Although faculty members observe the stated regulations of the institution, provided the regulations do not contravene academic freedom, they maintain their right to criticize and seek revision. They give due regard to their paramount responsibilities within their institution in determining the amount and character of work done outside it. When considering the interruption or termination of their service, faculty members recognize the effect of their decision upon the program of the institution and give due notice of their intentions.

(E) As members of their community, faculty members have the rights and obligations of other citizens. They measure the urgency of these obligations in the light of their responsibilities to their subject, to their students, to their profession, and to their institution. When they speak or act as private persons, they avoid creating the impression of speaking or acting for their college or university. As citizens engaged in a profession that depends upon freedom for its health and integrity, faculty members have a particular obligation to promote conditions of free inquiry and to further public understanding of academic freedom.
3.2.3

OKLAHOMA ETHICS RULES
Faculty are referred to Oklahoma Ethics Rules, sections 257:20-1-3(a)(2), 257:20-1-4(c)(1) and 257:20-1-9(c)(2). These rules are promulgated by the Oklahoma Ethics Commission, not the legislature, but they have the force and effect of law and there are civil penalties available for violating them.

As state employees, instructional faculty can:
(A) NEITHER ASK FOR NOR RECEIVE ANYTHING AT ALL that actually affects the performance or nonperformance of their duties or impairs the independence of their judgment: and
(B) can NOT RECEIVE MORE THAN $100 in aggregate per year (including items provided to the employee’s immediate family members) from (1) a lobbyist or lobbyist principal, or 2) a person or entity seeking to do business with the University, or 3) anyone who has an economic interest in a decision pending with the employee or his department.

The University of Oklahoma relies on the state ethics rules to set minimum standards of propriety with respect to conduct by all University employees. The Norman Campus Faculty Handbook establishes obligations for instructional faculty to discharge their duties competently and without exploitation of students, and makes other financial pursuits secondary to the overriding obligation to the institution and students. There is additional information regarding the Oklahoma Ethics Commission available at www.ethics.state.ok.us, click on 2007 Amendments (final).

3.3

FACULTY ACCOUNTABILITY
A faculty member is held accountable for his or her performance in fulfilling faculty duties and in meeting the requirements of academic responsibility and University policies. Persons who accept full-time employment at the University owe their first duty to the University. Any other employment or enterprise in which they engage for income must be secondary to their University duties. The most immediate agents of faculty accountability are the faculty member’s chair or director and Committee A, who should maintain close and regular communication with the faculty member. Among the various mechanisms for ensuring faculty accountability, the most important include annual evaluations for possible salary increases, annual progress towards tenure letters for tenure-track faculty on the Norman Campus, post-tenure reviews for tenured faculty on the Norman Campus and such periodic evaluations as those for advancement in rank. These processes have the primary function of identifying meritorious performance to be rewarded, but they also provide a means by which the University may strengthen itself by identifying needs for improved performance.

Meritorious and responsible faculty performance is first and foremost an individual professional obligation. But it is also the product of a cooperative effort by faculty members and administrative officers assisting one another, informing one another and, jointly seeking to assure that each faculty member’s capabilities are developed fully and creatively. Performance that is lacking in merit or responsibility, when identified, is a challenge both to the individual and to the academic unit and its leaders in their exercise of the unit’s career development responsibilities. Just as faculty members are held accountable for their performance, administrators of academic units are held accountable for their leadership in the career development of the faculty in their units.

Counseling, career development support, and other kinds of administrative remedies are available to academic units in their normal operations as a means of attempting to rectify poor professional performance or breaches of academic responsibility. If normal administrative remedies fail to correct a faculty member’s poor professional performance or breach of academic responsibility, the President may consider applying a minor sanction, such as a formal reprimand. Prior to any such action, the President shall have consulted fully with the appropriate academic administrative officers including the appropriate chair or director, dean, and Senior Vice President and Provost.
For those cases where they are needed, the University has at its disposal the more drastic measures of severe sanctions.

3.4

FISCAL RESPONSIBILITY
In each case where tenure is awarded, there must be assurance that continuing financial support can reasonably be anticipated. The Senior Vice President and Provost for each campus, in conjunction with the respective deans, shall determine whether funds are sufficiently secure to support the awarding of tenure.

(Regents, 1-27-2004)

3.5

FACULTY PERSONNEL ACTIONS/APPOINTMENTS

3.5.1

PERSONNEL ACTIONS
The President or the President’s authorized designee is authorized to approve the appointment of and fix the salary and terms of office of the following categories of personnel within funds available in the budgets approved by the Board of Regents (including reserve for contingencies) or within grant funds received by the University.

(A) Appointments, salaries, and other changes for members of the faculty who are not tenured or eligible for tenure or renewable term, whether part-time or full-time, unless full-time equivalent salary for the academic year will be $60,000 or more.

(B) Part-time graduate assistants, teaching assistants, research assistants, and consultants.

(C) Appointments, salaries, and other changes, including leaves of absence, for all members of the faculty and staff for terms of three months or less.

(D) Changes in title for tenured, tenure-eligible or ranked renewable term members of the faculty not involving a change in rank or salary.

(E) Appointments of part-time instructors for terms of less than one semester during the regular academic year.

(F) Personnel in the administrative staff, managerial staff, professional staff, administrative officer, and executive officer classifications unless the full-time equivalent annual salary will be $60,000 or more. Mid-year salary increases, other than for a promotion or completion of a probationary period, for monthly salaried staff at any level are excluded from this authorization.

(G) Non-exempt employees and supervisory staff.

(Regents, 12-13-73, 9-2-76, 2-8-79, 3-8-90, 10-19-99, 3-29-00, 1-27-04)

3.5.2

APPOINTMENTS
Regular faculty appointment(s) to an academic position must be (a) tenure-track appointment (beginning and terminating at a specified date), (b) a tenured appointment (beginning with and following the granting of tenure) or (c) renewable term appointment (renewable annually for a fixed term); and must be at the rank of assistant professor, associate professor, or professor.

(A) APPOINTMENT OF NEW FACULTY
In the appointment of new faculty, action is initiated by the academic unit through the respective dean to the Senior Vice President and Provost, President and in accord with the prevailing policies of the Board of Regents. The University follows the law of the land regarding equal opportunity.

1. Formal Offer--The formal offer of appointment must come from the Senior Vice President and Provost or the President and shall include supplemental information necessary to access an online copy of the Norman Campus Faculty Handbook, the Human Resources website regarding employee benefits, and the website for information regarding various compliance and intellectual property policies. The offer will include the statement that the appointment is contingent upon the approval of the Board of Regents.

2. Contract--If the appointment is approved by the Board of Regents, a Contract of Employment will be furnished to the applicant for signature if the formal offer is accepted. Included in this contract will be the approved rank and salary and a statement indicating that the applicant has read the Faculty Handbook along with the necessary additions to reflect policies current at the time of appointment and accepts appointment in accord with University policies, with the understanding that policies of the University are subject to change by the Board of Regents.

(B) APPOINTMENT PERIOD

Faculty appointments for the academic year are made for the period August 16 through May 15, though the instructional period may not correspond precisely to these dates. It is the responsibility of the appropriate chair or dean to notify each faculty member of the date the faculty member is expected to start work. The appointment period for the first semester ends December 31, even though the semester may end at a different time.

Some faculty members on the Norman Campus who have administrative responsibilities are appointed on a 12-month basis, for the period July 1 through June 30.

Summer term appointments for both campuses for the regular eight-week period are effective June 1 through July 31. Again, the appointment period does not coincide exactly with the instructional period.

(C) TENURE-TRACK, TENURED, RENEWABLE TERM, AND TEMPORARY APPOINTMENTS

Faculty appointments may be tenure-track, tenured, renewable term, or temporary.

1. All other academic appointments are temporary (non-regular) and shall be indicated by such titles as instructor, lecturer, or preceptor or by the use of such adjectives as visiting, adjunct, affiliate, or acting. On the Norman Campus temporary faculty may be appointed with either modified or unmodified titles as recommended by the academic unit in conformance with the Senior Vice President and Provost’s Recommended Faculty Title Usage policy. Persons holding temporary appointments are not eligible for tenure and their contract shall so specify.

2. Renewable term faculty with the rank of assistant professor, associate professor, or professor are regular faculty but are not tenure-track or tenured. Any academic unit may request such faculty appointments, if the unit has dean and Senior Vice President and Provost approved requirements for evaluation and promotion of these faculty. Ranked (assistant, associate,
Professor) renewable term faculty participate fully in all aspects of faculty governance except deliberations regarding tenure.

At no time may the number of renewable term faculty exceed ten percent of the number of tenure-track and tenured faculty on the Norman Campus.

(D) SPLIT APPOINTMENTS
Appointments between two or more academic units or colleges are not only possible but are encouraged when they benefit the University, provided they (a) do not total more than 1.0 Full-Time Equivalent (FTE) and (b) are approved by all the units and colleges involved. Such appointments must have the approval of the appropriate administrative officials of all units involved.

Before a faculty member first receives a split appointment, the appropriate academic units must first mutually determine, record in writing, and secure administrative approval for all conditions of the appointment pertaining to such matters as probationary period, criteria for tenure and promotion, and procedures for recommending salary increases and reappointment or non-reappointment. The appointee shall receive a copy of this agreement.

In the case of faculty members holding a split appointment, it is expected that the chair/directors and Committees A from both units shall collaborate on one annual evaluation, one progress-towards-tenure letter, and one record for any other form of review and evaluation. In the case wherein there is disagreement between the academic units as to the appropriate evaluation, the next higher academic administrator shall resolve the conflict. For split appointments wherein both academic units are within the same college, this person shall be the academic dean of the college; for split appointments across two colleges or provost-direct academic units, this person shall be the Senior Vice President and Provost.

(E) PART-TIME FACULTY APPOINTMENTS
A part-time appointment is one at less than 1.0 (FTE). At the time of any part-time faculty appointment, the appointee and the University must reach a clear understanding of the terms of the appointment. This understanding shall be in writing and signed by the parties, and the appointee shall be given a copy.

A non-regular appointee shall have no voice or vote in faculty or department meetings and is not entitled to achievement of academic tenure within the department in which the appointee holds such appointment. The term of appointment shall be temporary.

(Regents 12-6-60,1-26-99, 3-29-00, 12-3-2002, 1-27-2004, 6-23-04)

3.5.3

RESEARCH FACULTY – NORMAN CAMPUS
The research faculty position is non-tenure track, term appointment at the rank of research assistant professor, research associate professor, or research professor whose compensation is generated by grants and/or contracts. This track is used to recruit and retain top research scholars to support and enhance the major research programs and initiatives at the University. Candidates for these positions must demonstrate significant capability or potential both to conduct high quality research and to obtain external funds. The primary responsibilities of these faculty will be research; creative/scholarly activity and research-related activities such as proposal writing, project management and teaching; and service and public outreach specifically linked to their research programs (for example, supervision of graduate students and service for professional organizations). Notwithstanding the term of the appointment, the existence of any research professor position is at all times subject to the availability of grant, contract, or bridge funding.

The text below is approved Regents Policy for the Norman Campus but is printed in its entirety only in the Norman Campus Faculty Handbook.

(A) RECRUITMENT AND APPOINTMENT OF RESEARCH FACULTY
Since this policy covers a position devoted primarily to research, with some related teaching and service and public outreach responsibility, it is expected that both the Vice President for Research and the Senior Vice President and Provost will have a determining role in the approval of personnel covered by this policy.

A University research group is eligible for a research faculty position when it can document that the group has a research program that can bring in sufficient funds to pay all costs of the program plus those of the proposed position for at least three years without additional Educational & General University funding.

In addition, the academic unit with which the research faculty is most closely allied shall have policies in place for recruiting, evaluating, and promoting research professors at the ranks of assistant, associate, and full research professor. These policies shall be determined by the academic unit in conjunction with the director of the research program and Committee A and approved by the dean, Vice President for Research, and Senior Vice President and Provost.

Candidates for research faculty positions are to be recruited and appointed through a process similar to that used for hiring other temporary faculty, except as provided in this policy. The director of the research group will request from the Senior Vice President and Provost, in consultation with the Vice President for Research, permission to recruit for the position. The positions may be advertised in appropriate national publications and applications shall be reviewed by a search committee chaired by the director of the research group funding the position. The search committee shall also consist of tenure track or tenured faculty within the academic unit and at least one tenure track or tenured faculty member from outside the academic unit. Applicants for these positions shall be considered eligible if they meet the required qualifications determined by the head of the research program and the other members of the search committee. The search committee shall recommend a candidate to the academic unit’s Committee A and Chair/Director for approval. Committee A and the chair shall present the approved candidate, along with a recommendation for rank, to the tenured and tenure-track faculty for a vote.

Once the academic unit has made a recommendation and the academic dean has endorsed this recommendation, the credentials of the candidate and the final recommendation to hire the candidate for the research faculty position shall be reviewed by the Vice President for Research, whose recommendation shall be forwarded to the Senior Vice President and Provost for review prior to presentation to the President and the Board of Regents. All subsequent practices currently in place for temporary faculty appointments would apply in these cases as well. Contractual documents shall state clearly these appointments will not become tenure-track.

Research faculty appointments are temporary term appointments not subject to the seven-year probationary period applicable to tenure-track faculty. Should a tenure-track position become available in the academic unit, an individual in a research faculty position is eligible to apply. Standard external search procedures for tenure track vacancies shall be rigorously followed.

(B) SALARY, BRIDGE FUNDING, PROMOTION, AND RAISES FOR RESEARCH FACULTY

The salary awarded those appointed to these positions will be paid from the grant(s) and/or contract(s) funding the research program. Initial salary and rank will be commensurate with experience and national standards. Continued employment of a research faculty during the term of the contract will depend on the availability of external funding. In the event of a break in the continuity of funding during the period of a research faculty member’s appointment, the individual may apply, with the approval of his or her research unit, for bridge funding only after three years of service, subject to two limitations: (1) the individual will be eligible for bridge funding in an amount equal to one-half the total indirect cost generated by the grants and contracts on which he or she has been appointed, up to a maximum of 12 months’ salary, and (2) the university will provide no more than 12 months’ salary, regardless of the amount of indirect cost generated. The University will establish budgetary procedures for bridge funding. Academic units will not be required to assume any obligations for funding of research faculty salaries. All bridge funds shall come from a percentage of indirect costs set aside in an escrow account.
The budgetary considerations of these positions will follow the same path as do regular faculty appointments.

Evaluation and promotion procedures for research faculty shall be those applicable to other temporary faculty, except that the nature of their non-tenure, term appointments means that they will be evaluated and promoted primarily based on their research and funding productivity. Raises will be awarded in the same manner as they are for regular faculty.

(C) GOVERNANCE ISSUES FOR RESEARCH FACULTY
Research faculty are not governing faculty and shall not be eligible to vote regarding departmental affairs, policies, procedures, tenure, promotion, administrative searches, Committee A, the Faculty Senate or other similar governance issues.

(D) CAPS ON RESEARCH FACULTY APPOINTMENTS
An initial cap on these research faculty appointments will be set at five percent of the number of all tenured/tenure-track faculty appointments on the Norman Campus. After a full evaluation of the program, the percentage may increase up to ten percent, but not beyond that point.

(E) IMPACT EVALUATION
The impact of these research faculty appointments will be reviewed at regular intervals. The first such review will occur within three years; then review will occur every five years. These periodic evaluations will be undertaken by the Senior Vice President and Provost, the Vice President for Research, the University Vice President for Technology Development, and the Faculty Senate or their designees.

(Regents, 5-7-99, 1-27-04)

3.5.4

REAPPOINTMENT AND NON-REAPPOINTMENT
Action on the reappointment of tenure-track and ranked renewable term appointees is initiated by the academic unit through the respective dean to the Senior Vice President and Provost, President, and Board of Regents. Any final decision not to reappoint a faculty member shall be determined by the Board of Regents.

3.5.5

(A) NOTIFICATION OF NON-REAPPOINTMENT OF TENURE-TRACK CONTRACT

(1) A faculty member with a tenure-track appointment who is not to be reappointed for a second year of service must be so notified no later than March 1; or, if the first year of appointment terminates at a time other than the end of the academic year, not less than three months before the end of the appointment period.

(2) A faculty member with a tenure-track appointment who is not to be reappointed to a third year of service must be so notified no later than December 15 of the second year of appointment; or, if the second year of appointment terminates at a time other than the end of the academic year, not less than six months before the end of the appointment period.

(3) A faculty member with a tenure-track appointment who is not to be reappointed to a fourth or subsequent year of service must be so notified no later than May 31 of the year preceding the final year of appointment; or, in the case of an appointment ending at a time other than the end of the academic year, not less than twelve months before the end of the appointment period.

(4) All notifications of non-reappointment shall be given in writing by the Senior Vice President and Provost.

(Regents, 7-22-81)
(5) If the notification practices prescribed in the foregoing paragraphs of this section are not followed, the faculty member may appeal to the Faculty Appeals Board.

(B) NOTIFICATION OF NON-REAPPOINTMENT OF A RANKED RENEWABLE TERM CONTRACT

(1) A faculty member with a ranked, renewable term appointment who is not to be reappointed for a second year of service must be so notified no later than March 1; or, if the first year of appointment terminates at a time other than the end of the academic year, not less than three months before the end of the appointment period.

(2) A faculty member with a ranked, renewable term appointment who is not to be reappointed to a third year of service must be so notified no later than December 15 of the second year of appointment; or, if the second year of appointment terminates at a time other than the end of the academic year, not less than six months before the end of the appointment period.

(3) A faculty member with a ranked, renewable term appointment who is not to be reappointed to a fourth or subsequent year of service must be so notified no later than May 31 of the year preceding the final year of appointment; or, in the case of an appointment ending at a time other than the end of the academic year, not less than twelve months before the end of the appointment period.

(4) All notifications of non-reappointment shall be given in writing by the Senior Vice President and Provost.

(5) If the notification practices prescribed in the foregoing paragraphs of this section are not followed, the faculty member may appeal to the Faculty Appeals Board.

(C) NON-REAPPOINTMENT TO A SUBSEQUENT TERM

A ranked, renewable term faculty member should receive a comprehensive evaluation of their performance in the penultimate year of their fixed term. If they are not to be renewed for a subsequent term, they should be notified by May 31 of the penultimate year of their fixed term.

(Senior Vice President and Provost, 5-17-05)

3.5.6

RESIGNATION

It is a professional expectation that a regular faculty member who elects to resign his or her appointment give written notice at the earliest possible opportunity to the chair of director of the academic unit. Timely notice of resignation is needed to allow sufficient time for the academic unit to seek appropriate personnel to cover the teaching assignments of the resigning faculty person and provide a smooth transition for students. A regular faculty member who elects to resign his or her appointment is obligated to give notice in writing at the earliest possible opportunity, but not later than May 15. A faculty member may request a waiver of this requirement.

For faculty and staff with 12-month appointments, resignations shall be effective on the last day of service of the employee, and an employee shall not be paid for a holiday if the last day of service was prior to the holiday period.

(Regents, 1-17-57, 3-29-00, 3-27-08, Senior Vice President and Provost 1-29-08)

3.6

PROFESSIONAL ACTIVITIES OF THE FACULTY

Above all else, the University exists for learning and scholarship of a breadth and depth that result in excellence in all of the University's major missions: teaching, research and creative/scholarly activity, and professional and University service and public outreach. Each academic unit has an obligation to contribute to each of the
missions of the University. Faculty members play a central role in the realization of these missions and fulfill the obligations of the academic unit by contributing their unique expertise and competence. Decisions regarding tenure, promotions, and salary increases are based upon an assessment of the faculty member's performance and contributions to the total mission of the University.

3.6.1

TEACHING
Teaching, which is the transmission of knowledge and cultural values, focuses upon helping students learn. As a part of its mission, the University is dedicated to undergraduate, graduate, professional and continuing education. Teaching includes, but is not restricted to, giving regularly scheduled instruction, directing graduate work, and counseling and advising students. This includes the direction or supervision of students in reading, research, internships, or fellowships. Faculty supervision or guidance of students in recognized academic pursuits that confer no University credit also should be considered as teaching. Faculty performing non-administrative professional duties for which they are employed shall be regarded as engaged in teaching when the clear and direct purpose and function of these activities is academic instruction. Professional librarians in the discharge of their professional duties shall be regarded as engaged in teaching.

3.6.2

RESEARCH AND CREATIVE/SCHOLARLY ACTIVITY
Research, which is the development and validation of new knowledge, focuses upon faculty participation in the extension of knowledge and maintenance of professional development and vitality. Research means systematic, original investigation directed toward the enlargement of human knowledge or the solution of contemporary problems. Creative/scholarly activity is understood to mean significantly original or imaginative accomplishment in literature, the arts, or the professions. The criteria for judging the original or imaginative nature of research or creative/scholarly activity must be the generally accepted standards prevailing in the applicable discipline or professional area. To qualify as research or creative/scholarly activity, the results of the endeavor must be disseminated and subject to critical peer evaluation in a manner appropriate to the field in question.

Included as a meritorious type of scholarly achievement are technology transfer successes and patent awards.

3.6.3

PROFESSIONAL AND UNIVERSITY SERVICE AND PUBLIC OUTREACH
Professional and University service and public outreach is work done or duties performed by a faculty member to advance the interests and capabilities of various communities, either inside or outside the University. These activities should stem from the faculty member's professional expertise (which is expertise deriving from the individual's professional activities in the categories of teaching, research and creative/scholarly activity, and professional and University service and public outreach, as described herein), and they should support and enhance the faculty member's scholarly stature. The evaluation of professional and University service and public outreach should be in terms of quality and effectiveness of performance and should take into account: (1) the relation of the service and public outreach to the general welfare and efficacy of the University's missions; (2) the relation to the welfare and furtherance of the faculty member's discipline; (3) the effect of the service and public outreach on development of a faculty member's value, professional competence, or professional skills; (4) the enhancement of the capabilities of University colleagues in their teaching, research and creative/scholarly activity and professional and University service and public outreach.

*The text below is approved Regents Policy for the Norman Campus but is printed in its entirety only in the Norman Campus Faculty Handbook.*

In encouraging appropriate service and public outreach and in its evaluation, it is convenient to distinguish service and public outreach as taking place within three primary communities: the community of the scholarly discipline of the faculty member, the University community, and the community of the public at-large. The weighting of these three components of service and public outreach may vary according to the specific academic unit and individual assignments within the unit. Each academic unit shall establish, publish, and
periodically review criteria for evaluating service and public outreach. The criteria, which should be reflective of
the unit's objectives, shall be approved by the dean after providing the opportunity for review and consultation by
appropriate University bodies that may especially rely on or benefit from specific service activities and public
outreach in that unit. Appropriate University bodies shall be designated by the dean and Senior Vice President
and Provost.

In cases in which extensive service and public outreach assignments might limit a faculty member's involvement
in any area of faculty responsibility, the relative weighting of categories for evaluation may need to be modified.
A written understanding should be approved by the dean and the chair of the academic unit at the time the
assignment is made and filed in the Office of the Senior Vice President and Provost. Such extensive service
and public outreach assignments might include, for example, serving as a high-ranking official for a professional
society or a professional journal, serving as the chair of a department or vital University committee, or serving as
the director of a public outreach center.

(A) SERVICE TO THE DISCIPLINE
The continued advancement of knowledge or artistic achievement within a scholarly discipline
relies integrally on leadership and service provided by its practitioners at state, national, and
international levels. The leadership and service activities of a faculty member on behalf of these
communities brings prestige to the University and enhances the University's visibility and its
scholarly and academic reputations. Service to the discipline might include activities such as
official service in relevant professional societies; service on state, national, or international
commissions, advisory boards, or agencies related to the faculty member's discipline or
profession; service on academic review or accreditation boards; editing professional journals or
other publications; reviewing books in professional journals; reviewing research grant proposals;
refereeing research papers submitted for publication; and participating in organizing research
conferences or professional meetings.

(B) SERVICE TO THE UNIVERSITY
The nature of the academic enterprise is such that the faculty shares in the formulation of
University policies and in making and carrying out decisions affecting the educational and
scholarly life of the University. Accordingly, faculty members have a responsibility to contribute
to the government and leadership of the University through timely participation on committees,
councils, or other advisory groups at the department, college, and University level. In addition,
faculty members sometimes are called upon to perform extensive administrative tasks that are
essential to the operations of the University. These include positions such as department
chair/director, associate or assistant dean, or director of a program or special center.

(C) PUBLIC OUTREACH
Public outreach is the application of knowledge gained through professional activities; it
generally focuses upon resolution of contemporary problems, policy analysis, identification of
new areas for inquiry and development, and sharing knowledge with the larger geographical
community. Appropriate public outreach activities might include artistic or humanistic
presentations; health care delivery; professional consultation; service on local, state, national, or
international commissions, advisory boards, or agencies (public or private); participation in a
professional capacity in programs sponsored by student, faculty, or community groups;
participation in continuing education instructional activities including those sponsored through
the College of Continuing Education; service in an organizational or advisory capacity for
particular University programs; and public relation activities that serve the University's interests
such as appearances as a University representative before government bodies or citizen
groups.

(Regents, 12-14-78, 7-22-81, 12-12-85, 1-15-87; Revised in part, 5-9-91, 1-27-04)

3.7

FACULTY TENURE
Tenure implies a mutual responsibility on the part of the University and the tenured faculty member. In granting tenure to a faculty member, the University makes a commitment to the faculty member’s continued employment, subject to certain qualifications. The University expects that tenured faculty members will maintain the level of performance by which they initially earned tenure. In those exceptional cases when it is recommended that a faculty member be permitted to reduce his or her employment to less than full time and maintain a tenured status, specific approval must be granted by the Board of Regents.

Faculty members accorded tenure will normally commence their tenure appointments in the academic year immediately following the action of the Board of Regents.

3.7.1

ACADEMIC TENURE - NORMAN CAMPUS

(A) Definitions

The term “tenure” means continuous reappointment to an achieved academic rank in accordance with the 1947 action of the Board of Regents. It is hereinafter understood that tenure must be granted or denied by specific action of the Board of Regents.

Tenure is designed as a means to protect the academic freedom of faculty members. This is to say, tenure is a means to assure unfettered, unbiased, unencumbered search, verification, and communication of truth by professional scholars and teachers. Tenure is designed to provide faculty members with freedom from political, doctrinaire, and other pressures, restraints, and reprisals which would otherwise inhibit the independent thought and actions in their professional responsibility of search, verification, and communication of truth.

(B) The term “probationary period” refers to the period of employment in an academic rank prior to the time tenure is granted for those faculty hired as tenure track faculty. Notwithstanding different uses of the term elsewhere (as in some statements of the American Association of University Professors), the probationary period does not include any period of employment following the awarding of tenure.

(C) The term “prior service” means academic employment at an institution of higher education (including the University) before the first appointment in the effective probationary period as a tenure track faculty member at the University.

3.7.2

ELIGIBILITY FOR TENURE

(A) All tenure-track faculty of the University of assistant professor or above are eligible for tenure.

(B) It is understood that a faculty member who has been granted tenure by the University, and thereafter accepts an administrative post within the University, retains tenured status as a member of the faculty.

(C) When an initial appointment is made to a position which is primarily administrative but carries with it academic rank of assistant professor or above, specific understanding should be reached at the time of offer with the individual concerned and agreed to in writing by the Senior Vice President and Provost, the dean, chair/director, and the faculty of the appropriate academic unit as to whether the individual will be reviewed for tenure at the proper time and what conditions must be met before there is tenure eligibility.*

Whenever a tenure-track faculty member during the probationary period assumes primary administrative responsibilities, agreement should be reached in the same manner. Likewise, whenever an administrator is given academic rank at any time following the initial appointment, the same would apply.
(D) It is understood that a faculty member who has been granted tenure by the University and thereafter changes from a full-time appointment to a volunteer or part-time faculty appointment forfeits tenured status unless the change is temporary or results from the faculty member's being in phased retirement.  

(Regents, 12-15-83)

*Academic titles of administrators or professionals are for the same period as the administrative appointment and do not continue beyond it unless the individual is awarded tenure at the time of appointment or is given full-time employment as a faculty person after the administrative duties cease.

(Presidential Approval, 8-15-77)

3.7.3

PROBATIONARY PERIODS

(A) The "Contract of Employment" furnished to a candidate for appointment to a tenure-track faculty position shall specify, in addition to the rank and salary, the length of the probationary period entailed in the appointment and any special conditions pertaining to the appointment. All such conditions must be set forth in writing by the Senior Vice President and Provost whenever any faculty appointment is offered.

(B) The probationary period for a faculty member whose effective date of appointment is later than the start of the academic year but no later than the first day of the second semester will be considered as dating from the beginning of the first semester, provided that the department or division in question and the Senior Vice President and Provost agree. If the effective date of appointment is later than the first day of the second semester, the probationary period shall begin with the first semester of the next academic year. (Note 1)

(Regents, 3-8-84)

Note 1: The beginning of academic year appointments on the Norman Campus is August 16 with the beginning of the second semester January 1.

(C) For a faculty member being appointed to a tenure-track position, whose initial appointment is at the rank of assistant professor or associate professor, the probationary period shall be six academic years or twelve regular semesters, except in cases noted below.

(D) Included in the probationary period is prior full-time service (up to a maximum of three years) in professorial ranks at other institutions of higher education unless the faculty member requests in writing at the time of the first regular appointment that such service should not be included and the academic unit, the dean, and the Senior Vice President and Provost approve. Included also is prior regular full-time service (up to a maximum of three years) which the appointee may have performed in the past at the University in the rank of assistant professor or above unless the faculty member requests in writing at the time the faculty member is most recently appointed to a tenure-track position that such service should not be included and the academic unit, the dean, and the Senior Vice President and Provost approve.

Prior full-time service as assistant professor or in a comparable non-professorial rank at other institutions of higher education and prior full-time service on temporary appointments at the rank of assistant professor at the University may be counted as part of the probationary period if this arrangement is agreed upon in writing at the time of the first regular appointment. The parties to such an agreement are the appointee, the faculty and the chair/director of the appropriate academic unit, the dean, and the Senior Vice President and Provost.

(Regents, 2-16-78)
In certain extraordinary cases, tenure may be awarded to faculty members of exceptionally high merit prior to the end of the sixth probationary year. The chair/director of the academic unit must obtain approval from the dean and Senior Vice President and Provost prior to having a faculty member submit a dossier for review. Any academic unit’s recommendation to award tenure before the end of the usual probationary period should be accompanied by an accounting of compelling reasons for this action. (Note 2) If the University's decision at that time is not to confer tenure, however, the faculty member in question may, subject to continuation or renewal of contract, continue to serve in the probationary period and be considered for tenure again without prejudice.

Note 2: Early consideration for tenure ought not to be an expected reward for outstanding performance. There should be other compelling reasons for any exception to the normal probationary period, and any unit considering such a recommendation should confer with the dean prior to proceeding with the tenure consideration. Early tenure cannot be initiated without prior written approval of the Senior Vice President and Provost.

A new faculty member appointed at the rank of professor or associate professor may be given tenure from the date of appointment, or the probationary period may be set at two, three, or four years, when prior service in a professorial rank at another institution is less than three years. Persons with three or more years of such prior service may have a probationary period of no more than three years. The probationary period’s length shall be set by the tenured members of the appointee’s academic unit, subject to agreement by the dean and Senior Vice President and Provost at the time of the formal offer of appointment. If a majority of the unit's tenured faculty members favor tenure upon appointment, the determination of tenure shall be made based on the candidate's application, letters of recommendation, and summary of the search committee recommendations and shall include a vote of the tenured faculty, a recommendation from Committee A, a recommendation from the chair/director, a recommendation from the Dean, and a recommendation from the Senior Vice President and Provost to the President, and a final recommendation from the President to the Board of Regents.

Whenever a non-regular or renewable term faculty member is hired into a tenure-track position following a faculty search, with the rank of assistant professor or above, specific written understanding must be approved by the Senior Vice President and Provost as to if and how the period of non-regular service or renewable term service will be counted toward satisfying the probationary period for tenure.

A maximum of one year of leave of absence without pay may be counted as part of the probationary period, provided the department chair or school director in question records in writing its prior agreement and secures administrative approval from the dean and Senior Vice President and Provost. Leaves of absence without pay counted as part of the probationary period must entail appropriate evaluation of professional activities carried out during the leave. At the written request of the faculty member and with the approval of the academic unit, dean, and Senior Vice President and Provost, a tenure-track faculty member may be granted an extension of the probationary period because of circumstances such as family or personal crises or pregnancy.

During the probationary period, a faculty member will be provided by the chair/director of the academic unit with both an annual, written evaluation of performance during the past calendar year and a progress towards tenure letter that reviews the faculty member’s entire probationary period at the University.

Such annual evaluation from the most recent spring evaluation cycle shall be provided prior to the applicable notification deadline for reappointment, with a copy sent to the dean.
A faculty member at any rank who submits a tenure dossier and is denied tenure shall be retained on the faculty until the end of the academic year following that in which there was notification of the denial, unless there are reasons to the contrary.

Faculty members accorded tenure will normally commence their tenured appointments in the academic year immediately following the action of the Board of Regents.

3.7.4

CRITERIA FOR THE TENURE DECISION

The choices that the University makes in granting tenure are crucial to its endeavors toward academic excellence. A decision to grant tenure must reflect an assessment of high professional competence and performance measured against national standards. Tenure should never be regarded as a routine award.

The tenure decision shall be based on a thorough evaluation of the candidate's total contribution to the mission of the University. While specific responsibilities of faculty members may vary because of special assignments or because of the particular mission of an academic unit, all evaluations for tenure shall address the manner in which each candidate has performed in:

(A) Teaching
(B) Research or Creative/Scholarly Activity
(C) Professional and University Service and Public Outreach

Above all else, it is essential to any recommendation that tenure be granted that the faculty member has clearly demonstrated scholarly attainment, primarily but not exclusively through teaching and research or creative/scholarly activity.

Each academic unit, with the participation and approval of the dean and the Senior Vice President and Provost, shall establish and publish specific criteria for evaluating faculty performance in that unit, so long as those criteria are in accord with this policy. These criteria may be changed by the faculty of the unit from time to time with the approval of the dean and the Senior Vice President and Provost. The Senior Vice President and Provost's approval of the revised criteria shall indicate a date on which they become effective. The revised criteria shall apply to all faculty in the unit appointed to the tenure-track after the effective date. Untenured faculty in the tenure-track on the effective date shall be subject to the revised criteria in instances where the changes affect only the process by which the unit ascertains the quality of individual faculty performance. When the revisions involve changes in the quality of faculty performance required for granting tenure, faculty already in the tenure-track shall remain subject to the previous criteria unless these faculty consent to the new criteria in writing.

In those cases in which specific assignments might limit the faculty member's involvement in any area of faculty responsibility, a written understanding to this effect should be filed in the Office of the Senior Vice President and Provost and approved by the dean and the chair of the academic unit at the time the assignment is made.

The award of tenure carries with it the expectation that the University shall continue to need the services the faculty member is capable of performing and that the financial resources are expected to be available for tenured employment. It also carries the expectation that the faculty member will maintain or improve upon the level of achievement which characterized the qualifications for tenure.

3.7.5

PROCEDURES FOR THE TENURE DECISION

(A) A faculty member who is eligible for tenure consideration should be notified by the chair of the academic unit by May 15 before the initial vote by the faculty member's colleagues. (See (f) below.)
At the time of notification, the candidate for tenure shall be requested to submit material which will be helpful to an adequate consideration of the faculty member's performance or professional activities in relationship to the tenure criteria. The candidate should be advised to consult with the chair or any other senior colleagues concerning the materials to include. It should be made clear, however, that responsibility for the contents resides with the candidate.

Note 1: All the materials assembled in accord with Section 3.7.5(b), (c), and (d) constitute the tenure dossier. Once the dossier is presented to the tenured faculty members for their vote in the process, it should not be changed either to increase it or decrease it. That way, it is clear what has been seen by all parties in the review process. Should any other items arise later that should be taken into account in the tenure process, those can be sent to any person in the tenure review process with the request that that person also take that information into account in making his or her recommendation. Technically, though, that information would not become a part of the tenure dossier itself. For example, (1) an outside letter of evaluation is received after the tenure dossier has been assembled and the tenured faculty have taken their vote, (2) someone volunteers a letter about the candidate during the process, or (3) an administrator in accord with 3.7.5(n) solicits advice from others.

(Senior Vice President and Provost, 11-22-82)

The chair is responsible for providing a minimum of ten copies of the candidate's material (as described in the Senior Vice President and Provost's "Call for Tenure Recommendations") and making them available for review by the voting members of the academic unit at least two weeks prior to the vote. Following the vote, these copies (along with the academic unit's recommendation forms) shall be forwarded to the appropriate dean.

Preceding the vote, all tenured faculty voters who are available shall meet for a discussion of the candidate's qualifications for tenure. It is assumed that the eligible voters will have studied the candidate's materials prior to the meeting. (See Note 1 above)

The candidate should not be present during the discussion of his or her qualifications. The candidate should be available, however, to enter the meeting on invitation to answer questions or clarify circumstances relevant to the qualifications.

Formal consideration for tenure shall originate with the polling by secret ballot of all tenured members of the candidate's academic unit, including, when practical, those who are on leave of absence. If it is proposed to consider a tenure recommendation prior to the candidate's tenure decision year after obtaining the dean's and Senior Vice President and Provost's preliminary approval to consider an early tenure decision, the tenured members of the unit shall hold a preliminary vote on whether to do so, and consideration of early tenure will proceed only if a majority of tenured faculty members favor such consideration. Subsequently, in any formal poll of tenured faculty taken prior to the candidate's designated tenure decision year, no tenure recommendation will be forwarded unless a majority of those polled favor granting tenure. Whatever the result of the faculty poll taken during the designated tenure decision year, it will be forwarded. In all cases, the result of the vote must accompany the recommendation. The numerical result of the formal secret ballot polling shall be provided to the candidate at the candidate's request.

The chair and Committee A shall submit separate recommendations with supporting reasons.

While primary responsibility for gathering complete information on professional activity rests with the individual faculty member, the chair or designated committee or mentor should assume a share of this responsibility to be certain that all tenure recommendations are initiated on the basis of full documentation, which must be considered by any person or group making a recommendation.

All recommendations shall be in writing and, with the exception of the faculty recommendation resulting from the secret poll, reasons for the recommendations must be stated. At the time recommendations are made at any stage of the review process, notification of such recommendations must be provided to the chair and the individual candidate. It shall be the
responsibility of the chair to inform the faculty of the unit about recommendations made at the various stages of the review process.

(J) Copies of the academic unit recommendations and all appropriate documentation upon which recommendations were based will be forwarded to the appropriate dean. The dean will attach a recommendation to the tenure materials and forward all materials to the Campus Tenure Committee with supporting reasons and will notify the candidate and the chair of the unit of the recommendation.

(K) The main purpose of the Campus Tenure Committee is to provide faculty advice on whether the academic unit's recommendation with regard to both substance and process is sustained by the accompanying documentation and is consistent with the approved tenure criteria of the academic unit and the University. If it determines that the documentation is inadequate, the Campus Tenure Committee may request more information from the academic unit.

(L) The Campus Tenure Committee will attach its recommendations to the tenure materials and forward all materials to the Senior Vice President and Provost with supporting reasons and will notify the candidate, the chair of the unit, and the college dean of its recommendations. The numerical result of the Campus Tenure Committee recommendation shall be provided to the candidate at the candidate's request.

(M) The Campus Tenure Committee will be composed of nine tenured faculty members on staggered three-year terms. The Faculty Senate appoints two new members each year, and the President appoints one new member each year.

(N) In determining its recommendation, the Campus Tenure Committee may request information or advice from any person. Committee members from the originating academic unit of a case under consideration will absent themselves from discussions regarding that case.

(O) The existence of the Campus Tenure Committee in no way limits the right of administrative officers to solicit advice from faculty members in determining their recommendations.

(P) In any tenure case where the Senior Vice President and Provost plans to submit to the President a recommendation contrary to that of the Campus Tenure Committee, the Senior Vice President and Provost shall so notify the Campus Tenure Committee, allowing sufficient time and opportunity for the Senior Vice President and Provost and the Campus Tenure Committee jointly to conduct a thorough discussion of the case before the Senior Vice President and Provost presents a final recommendation to the President. If after such a discussion the Senior Vice President and Provost and the Campus Tenure Committee are in disagreement, the President or the Committee may request a meeting between the President and the Campus Tenure Committee before the President makes a final recommendation to the Board of Regents.

(Q) At any stage of the tenure review process, the concerned faculty member may appeal in writing to the Faculty Appeals Board if it is believed that procedural violations have occurred in the case or that violations of academic freedom have occurred. If it is believed that there has been discrimination on the basis of race, color, national origin, sex, age, religion, disability, political beliefs, or status as a veteran, the faculty member may file a written appeal with the University Equal Opportunity Officer. Such appeals must be made within 180 calendar days after discovery of the alleged violation, and the review process will be suspended until a resolution is effected. Such an appeal shall not have the effect of extending the faculty member's terminal year should tenure be denied.

(R) The President will notify each faculty member by May 31 whether tenure has been granted, except when appeals make this impossible.
3.7.6

POST-TENURE REVIEW POLICY – NORMAN CAMPUS

Post-tenure review at the Norman Campus is a periodic peer-based evaluation of tenured faculty for the purpose of guiding career development and, when judged necessary, improving faculty performance. The post-tenure review process is based on and extends the annual evaluation of faculty described in the Norman Campus Faculty Handbook through two processes: (1) a retrospective review of faculty performance in teaching; research and creative/scholarly activity; and professional and University service and public outreach over the five years preceding the review, and (2) a formative evaluation for future professional growth.

For all faculty, post-tenure review provides a formal opportunity for self-assessment and discussion with peers about professional development. For those faculty whose performance is judged to be below expectations, the evaluation leads to the formulation of a professional development plan, the purpose of which is to assist the faculty member to raise his or her level of performance to meet or exceed the expectations for tenured faculty.

Post-tenure review is mandatory for all tenured faculty who are reviewed under the applicable section of the Norman Campus Faculty Handbook, unless they have signed an agreement to retire within the two years following the year of the scheduled review or have entered into a formal phased retirement agreement with the University.

Bearing in mind the value and importance of academic freedom and procedural due process to the well being and success of the academic community, the University acknowledges and supports in principle the policies and procedures set forth in the AAUP’s Standards for Good Practice in Post-Tenure Review. Post-tenure review is not a re-evaluation of a faculty member's tenure status, nor is it intended as means to effect programmatic change. The post-tenure review process will be carried out in a manner that is consistent with the University's policies on academic freedom and responsibility and on faculty evaluations (see the Norman Campus Faculty Handbook). Post-tenure review will be based on the criteria for annual review established by the faculty of the unit and approved by the administration.

*The text below is approved Regents Policy for the Norman Campus but is printed in its entirety only in the Norman Campus Faculty Handbook*

Post-tenure reviews shall be initiated immediately following the completion of the annual faculty evaluation process.

**(A) TIMING**

1. Normal Review
   Each faculty member shall undergo post-tenure review in the fifth year after the year in which the faculty member is awarded tenure or promotion, whichever is later, and every fifth year thereafter. Annually, the Office of the Senior Vice President and Provost will identify those faculty to undergo a normal post-tenure review, and establish and publish a time schedule for completing the required steps in the post-tenure review process.

2. Early Review
   A post-tenure review shall be initiated earlier than the normal review cycle under the following circumstances:

   (a) If the composite or overall rating of a tenured faculty member's performance on the annual evaluation is below expectations (i.e., 2.0 or less on a 5.0 scale) for two consecutive years, an early post-tenure review will be initiated immediately as an extension of the annual evaluation. Candidates for early post-tenure review will be identified by Committee A as part of the annual faculty evaluation process and reported to the unit's budget dean. However, Committee A may request from the dean permission to postpone initiation of an early review for one year if, in their opinion, the early review is not justified due to circumstances that Committee A enumerates in its request to the dean. With the approval of the dean, the initiation of an early review shall be postponed one year. If the review is postponed and the faculty member is judged to
have performed to expectations in this third year, no early review will be required. If performance continues below expectations, the early review will be conducted immediately following the third year annual evaluation.

(b) A tenured faculty member may request an early review for the purpose of professional development. Such reviews are not subject to the mandatory professional development plan nor to the sanctions provisions of this policy.

(B) LEVEL OF THE REVIEW
The review will be conducted by a Post-tenure Review Committee composed of the members of Committee A, the chair or director of the unit or units in which the faculty member holds an appointment, unless another arrangement has been approved in writing by the budget dean(s) and the Senior Vice President and Provost. Provided, in exceptional cases, as determined by the Senior Vice President and Provost, a senior faculty member outside such unit but within the college shall be added to the Post-tenure Review Committee, such member being chosen by the tenured faculty member under review from a list of three candidates selected by the Senior Vice President and Provost.

The results of the review will be forwarded simultaneously to the budget dean(s) and the Senior Vice President and Provost. All recommendations for actions must be forwarded to the dean(s) for approval.

(C) COMPONENTS OF THE REVIEW
Post-tenure review dossiers shall consist of the following elements:

(1) Annual evaluations and mini-vitae for the previous five years. The annual evaluations and the accompanying mini-vitae from the five years prior to the review will constitute the primary sources of information about the faculty member's performance. The post-tenure review will take into account the numerical evaluations (on a scale of 0-5) for: teaching; research, scholarship and creative activity; professional, university and administrative service; and the composite evaluation reflecting the relative weights of the three categories.

(2) A self-appraisal by the faculty member being reviewed. A written statement prepared by the faculty member will constitute a central element of the post-tenure review dossier. This statement is intended to serve two purposes: provide a formal opportunity for the faculty member to reflect on his or her professional career and contributions to the University; and serve as a source of information to Post-tenure Review Committee to assist in helping the faculty member develop professionally. In this statement, the faculty member should describe his or her past contributions to the unit(s) to which he/she is appointed and to the University, assess the current state and direction of his or her career, and discuss what he or she has planned professionally for the next five years. This self-appraisal should include an evaluation of his or her past performance in the areas of teaching, research, and creative/scholarly activity and professional and University service and public outreach; a statement of professional goals for the next five years; and an explicit discussion of how achieving those goals will advance his or her professional career and contribute to achieving the goals of the unit(s) to which he or she is appointed and the University as a whole. This document is not intended to be a contract but only a source of information to the Post-tenure Review Committee to assist it in helping the faculty member to develop professionally.

(3) The faculty member's current complete curriculum vitae.

(4) Sabbatical leave reports. The report of activities and accomplishments of any sabbatical or other leaves that occurred during the interval being reviewed should also be included.

(5) Post-tenure Review Evaluations. A copy of the evaluations by the Post-tenure Review Committee from the faculty member's previous post-tenure review(s), if any.

(6) Final Reports. A copy of previous professional development plans, if any.
(D) **EXPECTATIONS**

Faculty are expected to perform in all categories of the annual evaluation and achieve a composite evaluation of 2.01 or higher on a criterion-referenced scale of 0-5. The criteria should be specified in the approved evaluation criteria of the unit(s) to which the faculty member is appointed. As required under Section 3.11 of the Faculty Handbook, academic units should communicate carefully and clearly to their faculty the specific criteria for evaluation of the unit that are used for the basis of the annual evaluation.

When and only when a faculty member's five-year average composite evaluation is lower than 2.01, the faculty member shall be required to develop and participate in a professional development plan as described herein.

(E) **FEEDBACK**

All faculty members undergoing post-tenure review will be provided with written and verbal feedback about how they are developing as professionals and how the Post-tenure Review Committee evaluates the professional goals of the faculty member in relation to the goals and mission of the unit and the University. Within thirty days of completing its review of the faculty member's dossier, the Post-tenure Review Committee will provide the faculty member with a written evaluation of his or her past performance, current status, and future professional goals. In addition, within thirty days of providing the faculty member its written evaluation, the Post-tenure Review Committee will meet with the faculty member to discuss the findings of the review.

(F) **PROFESSIONAL DEVELOPMENT PLAN**

A professional development plan is intended to assist a faculty member whose performance is not meeting expectations to bring his or her performance up to the expected level. Participation in a professional development plan is mandatory for faculty members who, during post-tenure review, are found not to meet the expectations for faculty performance, as described in Section 3.7.6(B)(6). Other faculty members may request, from Committee A, permission to participate in a professional development plan on a voluntary basis to assist in their professional development. Voluntary professional development plans are not subject to the sanctions described in Section 3.7.6(B)(12) and shall not alter the cycles of the normal and/or early review or otherwise affect those processes.

(1) **Process**

The professional development plan should be prepared cooperatively between the faculty member and the Post-tenure Review Committee. The faculty member should prepare a draft of the plan and submit it to the Post-tenure Review Committee within 30 calendar days after his or her initial meeting with the Post-tenure Review Committee to discuss the results of the post-tenure review. The Post-Tenure Review Committee must prepare a final plan, in negotiation with the faculty member, and submit it to the budget dean(s) for approval within 60 calendar days after the initial meeting between the Post-tenure Review Committee and the faculty member to discuss the results of the post-tenure review, and within 30 calendar days of its initial receipt of the draft plan from the faculty member. Should the faculty member disagree with the final plan prepared by the Post-tenure Review Committee, he or she may write an appeal to be submitted to the budget dean(s) along with the plan, setting forth the reasons for disagreement.

The dean(s) must notify the faculty member and the Post-tenure Review Committee, in writing, as to whether or not the final plan is approved. If the plan is not approved, the faculty member and the Post-tenure Review Committee must be notified in writing of the reasons for non-approval and the process described in the previous paragraph should be repeated until approval is obtained.

Following approval of the plan, the Post-tenure Review Committee must meet with the faculty member and explain both the contents of the plan, including the expected time-line, and the consequences to the faculty member of failure to attain the goals of the plan. Reasonable University resources to support implementation of professional development plans will be provided by the Senior Vice President and Provost and the dean of the College. A faculty
member shall have the two full annual evaluation cycles following the date the plan is approved to accomplish the goals of the plan and to bring his or her performance up to expected standards.

(2) Content of the Plan
The professional development plan should include the following components:

(a) Goals and expectations.
(b) Proposed activities.
(c) A timeline for the plan.
(d) Resources that will be made available to the faculty member to assist with completion of the plan.
(e) An explanation of the consequences of failure to attain the goals of the plan. This provision is not applicable for a voluntary professional development plan.
(f) Signatures of the faculty member, the member’s Post-tenure Review Committee and the budget dean(s) verifying an understanding of the plan.

(3) Monitoring, Follow-up, and Final Report
Formal written evaluation of the faculty member’s progress towards meeting the goals of the professional development plan will take place as part of the annual evaluations of the faculty member following the beginning of the plan. Since less than a year will have elapsed between the implementation of the plan and the next annual faculty evaluation, that evaluation and the subsequent annual evaluation shall be used by the Post-tenure Evaluation Committee as an opportunity to provide written feedback to the faculty member on his or her progress in meeting the goals of the plan. The final assessment of the faculty member’s progress in meeting the goals of the plan shall occur during the third annual faculty evaluation after implementation of the plan. Following this third annual evaluation, a written report will be issued by the Post-tenure Review Committee to the faculty member, with copies to the dean(s), explaining the outcome of the plan.

(G) SANCTIONS
Failure of the faculty member to meet the goals specified in the plan and to bring his or her performance up to the level expected may lead to the initiation of the Severe Sanctions process of the Faculty Handbook. The results of the professional development plan, including without limitation, the final report, shall be relevant evidence in such a proceeding. In tenure abrogation proceedings, the University retains the burden of persuasion to show cause, as defined by the Faculty Handbook. Provided, nothing in this policy shall be construed to limit or restrict the University’s authority to undertake the Severe Sanctions process set forth in the Faculty Handbook.

Alternative actions, such as resignation or retirement from the University, may be negotiated and implemented with approval of the budget dean(s) and the Senior Vice President and Provost.

(Regents, 5-7-99, 10-25-04)

3.8
ABROGATION OF TENURE, DISMISSAL BEFORE EXPIRATION OF A TENURE-TRACK APPOINTMENT, OR RENEWABLE TERM APPOINTMENT, AND OTHER SEVERE SANCTIONS – NORMAN CAMPUS
The University strives to exercise great care in selecting its faculty appointees and to confer tenure only upon those faculty members who have demonstrated their merit for tenured appointment. For that reason, severe sanctions such as a dismissal proceeding involving a tenured faculty member (abrogation of tenure) or of a faculty member during a tenure-track appointment or a renewable term faculty member should be an exceptional event. It also is recognized, however, that a few faculty members may, from time to time, engage in improper conduct which requires severe sanctions short of dismissal. Such sanctions may include but are not limited to loss of prospective privileges for a stated period (for instance, loss of eligibility for a sabbatical leave of

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absence, loss of remunerated consultative privileges, loss of remunerated private practice privileges); restitution (payment of damages due to individuals or to the University); a fine; a reduction in salary; or suspension from service for a stated period, without other prejudice. As in the case of dismissal, the imposition of severe sanctions short of dismissal should be viewed as a serious and infrequent step usually undertaken only after administrative remedies and minor sanctions have failed.

While extreme action will be required infrequently, the University must be prepared for such an eventuality so that both the integrity of the University and the rights of the faculty member may be preserved. Toward this end, the faculty must be willing to recommend severe sanctions of a colleague when necessary. By the same token, the President and the Board of Regents shall give all reasonable consideration to faculty recommendations.

Only the Board of Regents has the power to impose severe sanctions. The Board of Regents shall exercise this power only in cases where it determines that there exists sufficient cause for such action.

3.8.1

GROUNDS FOR ABROGATION OF TENURE, DISMISSAL, AND SEVERE SANCTIONS

A faculty member against whom the imposition of a severe sanction is to be brought or whose dismissal is to be requested must have given such cause for the action as relates directly and substantially to his or her professional capabilities or performance. It is not possible to specify all proper grounds for these drastic measures. Proper reasons for dismissal of a faculty member who has tenure or whose tenure-track or renewable/consecutive term appointment has not expired include the following:

(A) Professional incompetence or dishonesty;

(B) Substantial, manifest, or repeated failure to fulfill professional duties or responsibilities;

(C) Personal behavior preventing the faculty member from satisfactory fulfillment of professional duties or responsibilities;

(D) Substantial, manifest, or repeated failure to adhere to University policies; including, for example, the University’s Compliance Program;

(E) Serious violations of law which are admitted or proved before a court of competent jurisdiction or the administrative hearing body established to hear such matters, which prevent the faculty member from satisfactory fulfillment of professional duties or responsibilities, or violations of a court order, when such order relates to the faculty member’s proper performance of professional responsibilities;

Subparagraphs (f) and (g), below, are not severe sanctions but nevertheless are valid reasons for terminating employment of a faculty member who has tenure or whose tenure-track or renewable term appointment has not expired include the following:

(F) Changes in the University’s educational function through action of the Board of Regents and/or the Oklahoma State Regents for Higher Education which result in the elimination of an academic unit. In such instances, the University will make every reasonable effort to reassign affected faculty members to positions for which they are properly qualified before dismissal results from such elimination.

(Copies of the Program Discontinuance Policy, approved April 8, 1993, are available in the Senior Vice President and Provost’s Office and the University of Oklahoma Regents’ Office. The Financial Emergency Policy is in the Faculty Handbook, Section 5.43.)


(Regents 10-25-04)
3.8.2

GROUNDs FOR SUMMARY SUSPENSION
Suspension of a faculty member or assignment to other duties in lieu of suspension is justified only if immediate harm to the faculty member or to others is threatened by that person’s continued performance of regular duties or if the faculty member has failed to adhere to the University’s Compliance Program. The faculty member may, on written request and at the convenience and discretion of the department, be relieved of some professional duties if this is necessary to provide time for the preparation of a defense. Summary suspension does not remove from the University the obligation to provide due process within a reasonable period of time following action.

3.8.3

INITIAL PROCEDURES FOR ABROGATION OF TENURE, DISMISSAL BEFORE EXPIRATION OF A TENURE-TRACK APPOINTMENT OR RANKED RENEWABLE TERM APPOINTMENT, AND OTHER SEVERE SanCTIONS

(A) INITIAL PROCEEDINGS
Section 3.8.3 pertains to tenured, tenure-track or ranked, renewable term appointment faculty.

(1) Administrative Review
When reasons arise to question the fitness of a faculty member whose conduct may warrant the imposition of severe sanctions, the circumstances shall be brought to the attention of the appropriate administrative officer(s) (i.e., Department Chair, Director, Dean, or Senior Vice President and Provost or, as provided in subsection (2) below, an Institutional Equity Officer) who shall ordinarily investigate the matter to include, among other things, meeting with the faculty member in person to fully discuss the matter, unless reasonably prevented from doing so. If after investigation, the administrative officer determines the conduct warrants imposition of severe sanctions, he/she shall convey the matter and a recommendation to the President and Senior Vice President and Provost (Provost). However, if after investigation, he/she determines the conduct does not warrant severe sanctions, the matter may be resolved by mutual consent. The faculty member is encouraged to seek the assistance of the University Ombudsperson.

(2) Institutional Equity Office Matters
When such concerns involve Civil Rights matters (defined below), if the complaining party has not already reported the matter to the University’s Institutional Equity Office (IEO), the appropriate administrative officer shall immediately refer the matter to the IEO for investigation. Upon conclusion of the investigation, the IEO officer shall refer his/her findings and conclusions to the appropriate administrative officer for action in accordance with subsection 3.8.3(A)(1), above.

When the term “civil rights” is referred to in this policy, it refers to matters falling under the Nondiscrimination Policy (e.g. discrimination or harassment based on race, ethnicity, national origin, sex, sexual orientation, genetic information discrimination, color, age, religion, disability, political beliefs, or status as a veteran http://www.ou.edu/home/eoo.html), the Sexual Misconduct, Discrimination and Harassment Policy (e.g. discrimination or harassment based on the interference with the enjoyment or the entitlement to an educational, institutional or employment benefit because of gender— http://www.ou.edu/home/misc.html ), or the Consensual Sexual Relations Policy (e.g. prohibition on persons in positions of authority having intimate relationships with their subordinates or students— http://www.ou.edu/home/misc.html (collectively, “Civil Rights”).

(3) Faculty Appeals Board Referral
If the President decides that there is reason to question the faculty member’s fitness or professional behavior as set forth in Section 3.8.3(A)(1) or (2), above, the President shall so
inform the Chair of the Faculty Appeals Board, the faculty member and appropriate administrative officers.

(B) FACULTY APPEALS BOARD PRELIMINARY REVIEW

(1) FAB Inquiry
Other than for Civil Rights matters, the Chair of the Faculty Appeals Board may then conduct or cause to be conducted, additional inquiry/investigation into the matter, as the Chair deems necessary.

(2) FAB Prehearing
For all severe sanctions matters coming to the Faculty Appeals Board (FAB), the Chair of the Faculty Appeals Board shall conduct a pre-hearing review (which shall include, other than for Civil Rights claims, the participation of other members of the FAB selected by the Chair) pursuant to informal procedures to be determined by the Chair. The pre-hearing review will, other than for Civil Rights claims, provide the faculty member(s) and a University representative(s) the opportunity to appear and relate their views of the matter. Other than these parties, no witnesses will be heard and although attorneys and/or advisors may be present in an advisory capacity to the parties, they may not otherwise participate in the prehearing. When completed, the FAB Chair shall advise the President whether, in his/her view as a result of the prehearing, formal proceedings for severe sanctions should be instituted.

(C) DECISION WHETHER TO PROCEED AND NOTICE
The President shall consider the FAB Chair recommendation, together with other relevant information, and determine whether or not to move forward with formal severe sanctions proceedings. The President, or the President's designee, shall inform the faculty member(s) in question, the FAB Chair and appropriate administrator of the decision, in writing. If the President's decision is to move forward with a hearing, appropriate administrative officials may assist in composing the complaint. A hearing shall take place as described below in Section 3.9.1(B)(8).

(D) THE COMPLAINT
The President or the President's designee shall set forth the complaint against the faculty member with reasonable particularity and shall file the formal written complaint with the FAB within 60 days of the FAB Chair's recommendation.

3.9

FACULTY APPEALS AND GRIEVANCES -- NORMAN CAMPUS

3.9.1

FACULTY APPEALS BOARD
The FAB is a standing body that responds to matters of tenure abrogation, dismissal, other severe sanctions, alleged violations of academic freedom or academic due process, and other grievances unresolved through administrative or informal procedures. Because of the extraordinary importance and the range of such issues, the FAB shall be empowered to appoint ad hoc hearing committees to assist in the conduct of its affairs. The Norman Campus FAB shall consist of 50 members, elected to four-year staggered terms by the Faculty Senate from among all full-time tenured faculty whose duties are primarily non-administrative. The FAB shall elect annually a chair-elect from among those who are in their third year of service. The chair-elect will serve as chair the following year. Membership on the Board is not disqualification for service on University Councils. All members of the FAB are eligible for re-election. Terms of service shall begin September 1 and end August 31.

(A) WHO MAY USE PROCEDURE
(1) Norman Campus Faculty Community
The grievance procedures described herein shall be available to any aggrieved party who is a Norman campus faculty member; an academic or administrative unit; or any other duly constituted faculty body within the Norman Campus University community, when the respondent is also a Norman Campus faculty member, academic unit, administrative unit, or other duly constituted faculty body within the Norman Campus University community. Violations covered by this procedure include academic freedom, academic due process, unlawful discrimination, harassment, constitutional due process and other grievances that may occur in the course of performing professional duties or in the process of being considered or evaluated for salary increase, promotion, tenure, or other personnel decisions.

(2) Faculty Member Complaints Covered by Different Policies
(a) Faculty Grievances against Faculty Administrators. Faculty grievances against deans, directors and chairs shall follow procedures provided in Sections 2.8.1(K) and 2.8.2(l), of the Norman Campus Faculty Handbook.
(b) Faculty Administrators’ Complaints. Faculty members serving as chairs, directors, deans, or in other administrative positions may not utilize these FAB procedures in filing a grievance when the grievance is based upon actions related to their administrative performance. Provided however:
   (i) chairs or directors who are dismissed or relieved of administrative responsibilities before their terms expire, and/or affected faculty members, may appeal such decisions to the Senior Vice President and Provost and if still dissatisfied, to the President; and
   (ii) deans who are dismissed, and/or affected faculty members, may appeal such decisions to the President.
(c) Complaints against Employees and Students. Faculty complaints against employees who are not faculty members or against students shall be addressed under applicable staff or student procedures.

(3) Ombudsperson Services
The University Ombudsperson serves as a resource on University grievance procedures/policies and provides an opportunity for neutral resolution and mediation. Persons having complaints are encouraged to seek informal resolution through regular administrative channels or through mediated resolution with the Ombudsperson. Complaints pursuant to Section 3.9.1 (B)(1)(c) unresolved administratively or through the Ombuds service shall be filed with the FAB Chair.

(B) COMPLAINT
The term “complaint,” as referred to in this policy, also includes where appropriate, written appeals to the FAB of adverse administrative actions; e.g., imposition of a minor sanction.

(1) Initial Administrative Review
Individuals or units having complaints are encouraged to raise them with the appropriate administrative officer, provided:

(a) Severe Sanctions Cases
Complaints that may reasonably warrant the imposition of severe sanctions shall follow the initial processes set forth in Section 3.8.3, above. In severe sanction cases, the University is the complainant;

(b) Institutional Equity Office Cases
Civil Rights matters as defined in Section 3.8.3(A)(2) above shall be referred directly to the appropriate IEO officer for investigation, findings and recommended sanctions; i.e., the Sexual Misconduct Officer, Kathleen Smith at (405) 325-2215, or the Equal Opportunity Officer, Shad Satterthwaite at (405) 325-3546, or the Institutional Equity and Title IX Coordinator, Laura Palk at (405) 325-3549. For such claims, the University is the complainant and any hearing shall take place as referred to below in Section 3.9.1(B)(8); and,
Other Cases
Excluding matters involving severe sanctions, Civil Rights or grievances under Section 3.9.1(A)(2) above, complaints which remain unresolved by or not raised with the appropriate administrative officer, shall be filed with the FAB Chair and the complaining faculty member or unit will be the complainant.

Timing of Complaint

(a) General Filing Time
Except in Civil Rights and severe sanctions cases or as otherwise specified in Regents policy (e.g., when considering faculty for tenure, faculty may appeal violations within 180 calendar days of the discovery of the violation. See Section 3.7.5(q) of the Faculty Handbook), if a complaint cannot be resolved administratively or through the Ombuds service, generally it must be filed with the FAB within 60 calendar days from the date on which the faculty member, unit, or body knows or reasonably should know of the alleged violation or incident giving rise to a grievance. Provided, 9 month faculty who do not have a University appointment during the summer, may toll the time for filing a grievance or responding to a grievance, from the last classroom day of the spring semester until the first classroom day of the fall semester (or some shorter tolling period as may be agreed to in writing) by providing written notice to the FAB Chair. All other time periods may be extended as may be provided by applicable policy, for good cause or as may be agreed to by the parties and approved by the FAB Chair, Hearing Chair, or University Institutional Equity Officers (as appropriate).

(b) Civil Rights Complaints
All Civil Rights complaints, as defined in Section 3.8.3(A)(2), should be filed in accordance with the policies and procedures noted in http://www.ou.edu/eoo.html. Such complaints generally are considered "filed" when the allegations forming the complaint are provided to a proper institutional representative orally or in writing who, upon being so informed, shall immediately report the complaint to the IEO office.

(c) Severe Sanctions
Other than for Civil Rights complaints, if a complaint that may warrant severe sanctions cannot be resolved administratively, it must be filed with the FAB within 60 calendar days following the recommendation of the FAB prehearing described above in Section 3.8.3(B)(2).

Filing of Complaint

(a) The Written Complaint and Response.
(i) With the exception of complaints that may reasonably warrant severe sanctions or include Civil Rights claims, if after the initial investigation, the matter is not resolved with the appropriate administrative officer, the complainant is responsible for stating in writing, and in full particularity, the grounds upon which the alleged grievance is based, which then shall be filed with the FAB Chair. The grounds for the alleged grievance may not be changed after the filing of the complaint. The Ombudsperson may assist the parties in resolving the grievance.

Upon receipt of the written complaint, the FAB Chair shall provide the respondent a copy of the complaint and may conduct or cause to be conducted, additional investigation into the matter, as the Chair deems necessary and an informal pre-hearing as provided below. The respondent shall generally have 30 calendar days to provide the FAB Chair and complainant a written response to the complaint.

(ii) Where more than one complaint is present (e.g., sexual harassment and violation of due process), the complainant must specify all the grounds of the grievance of which the complainant should have reasonably known at the time
of filing the complaint. For mixed issues involving Civil Rights and non-Civil Rights matters, the IEO will forward its findings and recommendations to the appropriate academic administrative officer for consideration in his/her review, resolution, or recommendation. A grievance with multiple grounds shall be heard by one hearing committee, which shall hear all aspects of a particular grievance; provided, the Institutional Equity Office shall investigate the Civil Rights claims in all cases.

(b) Institutional Equity Office Complaints
   (i) The complaints may be either written or verbal and the original complaining individual and the charged faculty member (respondent) shall follow IEO policies and procedures through completion of the investigation. See http://www.ou.edu/eoo. The respondent may appeal sanctions and findings to the FAB, in which cases, the hearing process noted in Section 3.9.1(B)(8)(a) shall be followed. If dissatisfied with the IEO outcome, the original complaining individual may request reconsideration by the IEO Officer.
   (ii) Where the appropriate IEO officer determines that a faculty member’s fitness or professional behavior warrants initiation of severe sanctions proceedings, the IEO officer shall so inform the Senior Vice President and Provost and the President who may file a complaint against the faculty member with the FAB and proceed as provided in Section 3.8.3(C).

(4) Informal FAB Prehearing
Cases involving severe sanctions shall follow procedures in Section 3.8.3, above. Otherwise, within a reasonable time, following receipt of the written response, the FAB Chair shall conduct a pre-hearing pursuant to informal procedures to be determined by the Chair, which shall include the assistance or participation of other members of the FAB. The pre-hearing will provide the parties the opportunity to appear and relate their views of the matter. Other than the parties, no witnesses will be heard and although attorneys and/or advisors may be present in an advisory capacity to the parties at the prehearing, they may not directly address the prehearing panel. Provided however, in matters that involve Civil Rights claims, the investigating IEO officer will also present his/her findings. If the FAB prehearing panel determines no further hearing is warranted, the matter is administratively ended within the University; otherwise the matter shall proceed as set forth below. In either case, the FAB Chair shall promptly so inform the parties and appropriate administrative officers.

(5) Withdrawal of Complaint
The complainant may withdraw the complaint at any point prior to the adjournment of the formal hearing by notifying in writing the party with whom the complaint was originally filed. Once withdrawn, the same complaint may not be resubmitted under any grievance procedure.

(6) Confidentiality of Proceedings and Records
University employees who investigate or hear matters shall preserve confidentiality with respect to any matter investigated or heard under this policy. Parties and witnesses also are admonished to maintain confidentiality with regard to these proceedings.

Except for those cases in which grievances go to a hearing and as otherwise required by law, all records of administrative investigation with regard to Civil Rights matters shall be transmitted to and maintained by the University Institutional Equity Office as confidential records. All records of administrative investigation for other grievances will be held by the administrator involved as confidential records except as otherwise required by law.

(7) Selection of Hearing Committee
If, following the FAB prehearing, the decision is made to proceed with a hearing, normally the FAB Chair will immediately notify the parties and provide them with a current roster of the FAB members, less members who served on the prehearing panel in the matter. Provided however,
in severe sanctions cases, the FAB Chair shall provide the parties with the roster immediately after the formal written complaint is filed. In Civil Rights cases, the roster will include only those members of the FAB with special training in hearing Civil Rights matters. The Hearing Committee will be selected as follows:

(a) Unless modified by the FAB Chair, as provided by Section 3.9.1(B)(8)(a), the complainant and respondent, or their authorized designees, shall each select three names from the FAB roster within 10 classroom days (any weekday on which regularly scheduled classes or regularly scheduled final examinations are held at the University) of receipt of the roster. If there are multiple respondents who cannot agree or if a party fails to respond, the FAB Chair may request the Faculty Senate Chair to select the remaining Hearing Committee members by lot.

(b) When the composition of the initial six panel members is finally set, those members shall select a seventh name from the previously referenced FAB roster within 10 classroom days to serve as chair of the Hearing Committee.

(c) Any member of the FAB selected to serve on a Hearing Committee who is a member of the same academic unit or related within the third degree of sanguinity or affinity to the respondent or the complainant or who is biased or has a personal interest in the outcome of the case shall be disqualified from serving on the Hearing Committee.

(d) The complainant and the respondent may each request of the FAB Chair that a member or members of the Hearing Committee be disqualified and removed from the Hearing Committee. The Chair, former Chair, and Chair-elect of the FAB shall decide by majority vote whether cause has been shown. The Chair of the Faculty Senate shall substitute if one of the above is unavailable.

(e) A member of the Hearing Committee may disqualify himself or herself on personal initiative or in response to such challenge for cause as is provided for in the immediately preceding paragraph.

(f) Prior to the commencement of the formal hearing, members of a Hearing Committee who have been disqualified, whose terms have expired, who have ceased to be full-time members of the faculty and any members who, by reason of illness or absence from campus, are unable to serve, shall be replaced immediately by the FAB Chair. The replacement shall be determined by the procedures herein, with replacements being selected by the party whose initial selection was eliminated, or by the Hearing Committee if the Hearing Committee Chair is the member being replaced.

(g) After the commencement of the hearing if cause arises to disqualify a member of the Hearing Committee or if a member otherwise becomes unable to serve, with the advice of University Legal Counsel the Hearing Committee Chair, or the FAB Chair if the absent member is the Chair of the Hearing Committee, will determine whether the member should be replaced or if the hearing shall continue without a replacement. If replacement is deemed necessary, the replacement shall be determined by the procedures herein, with replacements being selected by the party whose initial selection was eliminated, or by the Hearing Committee if the Hearing Committee Chair is the member being replaced. No members of the FAB may be eligible for selection for a hearing committee if they currently are serving on another ongoing hearing.

(8) FAB Formal Hearing Process

(a) Civil Rights Complaints

In Civil Rights cases appealed to the FAB, the policies and procedures governing Civil Rights complaints and any hearings or appeals hereunder shall be conducted in conformance with the requirements of federal and state law. The FAB Chair, with the assistance of Legal Counsel, shall have the authority to modify FAB proceedings and procedures where necessary to comply with applicable law and federal agency administrative guidance (e.g., accelerate the timing since by federal law the matter generally must be administratively concluded within the University no later than sixty (60) days following receipt of the original complaint). Appendix A may be used as a general guideline for modifying procedures in such cases with the understanding that
any procedures required by applicable law shall be incorporated into the hearing process.

(b) Non Civil Rights Complaints
All complaints other than Civil Rights complaints brought to a formal hearing shall be handled according to the following procedures:

(i) Within 20 classroom days of receipt of respondent's written response to the complaint, the complainant shall provide the respondent and the Chair of the Hearing Committee:
   (a) Relevant University rules or policies involved.
   (b) A summary of the evidence upon which the charges or complaints are based and an initial list of complainant's witnesses.

(ii) Respondent’s Reply
The respondent shall review the materials submitted by the complainant and provide a written reply within 10 classroom days of delivery. The reply shall summarize the evidence to be used in refutation of the charges and shall include an initial list of respondent’s witnesses.

(iii) Set Hearing
The Hearing Committee shall normally set the date of the hearing to occur within 30 calendar days after the deadline for the respondent's reply.

(c) Adviser/Counsel
At the party’s expense, any party, whether complainant or respondent, may select a person to act as adviser or may select an attorney for advice on legal matters. At his or her discretion, the party may be assisted by both an adviser and an attorney.

(i) Both the complainant and respondent shall inform the Chair of the Hearing Committee in writing of the identity of any adviser and/or attorney as soon as known but in no event later than 10 classroom days prior to the hearing.

(ii) The following procedure assumes that a faculty member will use his or her own judgment in acting upon any advice or deciding when to be represented by an attorney.

(d) University Legal Counsel
University Legal Counsel will provide legal advice to the Hearing Committee and parties on matters of procedure and as otherwise requested and appropriate. In situations in which different attorneys within the Office of Legal Counsel are involved in advising the Hearing Committee and one or more parties, the attorneys shall not confer with respect to the advice given to their clients, separately discuss the matters at issue, share information about the case or collaborate with one another outside of the process prescribed herein for all parties and determinations. In conformance with the Oklahoma Governmental Tort Claims Act and contractual directives of existing policies of insurance, covered claims that arise against the Hearing Committee or any one or more of its members will be defended by the University.

(e) Hearing Preparation
The University maintains a guideline that contains supplemental procedures assisting the operation and administration of a FAB hearing (Book of Procedural Guidelines), a copy of which shall be available to each party. The Chair of the Hearing Committee and Legal Counsel shall confer regarding any modifications to the Guidelines reasonably necessary to account for special circumstances. The Hearing Committee Chair shall provide the parties with any such supplemental guidelines.

(f) Hearing on the Record
If the respondent fails to cooperate with the Hearing Committee or defaults at the hearing stage, the Hearing Committee will evaluate all available evidence provided by the parties and base its recommendation upon the relevant evidence in the record. If the complainant fails to cooperate with the Hearing Committee or defaults at the hearing stage, the Chair of the Hearing Committee may cancel the Hearing and recommend dismissal of the complaint.

(g) Hearing Regulations
The FAB process is a lay process relying on peer review. The intent of this process is to avoid excessive legalism in deference to the common sense, sound judgment, good character, and sense of fairness of each Hearing Panel. The process should strive to diminish formality and rigidity and avoid emulation of a trial in a courtroom. The purpose for a system of internal review is to effect a just and fair disposition of a grievance.

The following regulations shall apply to the hearing:

(i) Both complainant and respondent shall have the right to be present and be accompanied by their adviser, attorney, or both, throughout the hearing. The Hearing Committee also shall have the right to have its legal adviser present throughout the hearing. Attorneys may be present to advise witnesses; however, in no case will the attorney representing a witness participate in the case. Attorneys should facilitate and not control the process.

(ii) The hearing shall be closed unless all parties in the case agree that it be open.

(iii) The Hearing Committee shall proceed by considering the statement of grounds for grievances already formulated and the response written before the time of the hearing. If any facts are in dispute, the testimony of witnesses and other evidence concerning the matter shall be received.

(iv) Both parties or their advisers or attorneys shall have the right to present, examine, and cross-examine witnesses. Provided, however, where the matter involves sexual misconduct or sexual harassment claims, no party may directly cross-examine the other. Rather, the party may submit questions to the panel for the panel to inquire or the advisors/attorneys may conduct the cross-examination.

(v) The President's Office shall make available to the Hearing Committee Chair such authority as it possesses to require the presence of witnesses, and it shall bear any reasonable cost attendant upon the appearance of percipient witnesses at the hearing.

(vi) The principle of confrontation shall apply throughout the hearing and the complainant shall bear the burden of proof, which shall be by a preponderance of the evidence, i.e. whether the claims of wrongdoing or impropriety are more likely true than not true. Provided, for purposes of clarity, in a Civil Rights case there is no burden on any party to have to prove its case but rather the process included in Appendix A contemplates the Hearing Committee shall provide a neutral review of all information presented at the hearing to determine whether the claims of wrongdoing or innocence are more likely true than not true.

(vii) A recording of the hearing shall be made. The recording will normally be an audio recording arranged by the Hearing Committee Chair. The full cost of the recording shall be borne by the University. A transcript of the recording may be requested by a party, the cost of which will be charged to the requesting party.

(viii) The full text of the findings and the conclusions of the Hearing Committee shall be made available in identical form and at the same time to the President's Office and the parties in the case.

(ix) The Committee may proceed to its findings, conclusions and recommendations without having the record of the hearings transcribed, or it may request a transcript of the hearings if it feels its decision would be aided thereby.

(x) The President may attend the hearing or may designate a representative to attend in the President's place.

(h) Disposition of Charges

The Hearing Committee normally will communicate its findings, conclusions, and recommendations in writing to the parties involved and the President within 15 calendar days of the conclusion of the hearing.

(i) If action by the Board of Regents is not required by other policies or procedures and the President concurs in the recommendation, the President shall so indicate to the parties and the Hearing Committee's recommendation shall be put into effect. However, if the President does not concur, the President may
modify, or reject the recommendations of the Hearing Committee or remand the matter to it for further consideration.

(ii) If action by the Board of Regents is required by other policies or procedures, the President shall forward the full record of the hearing and the conclusions and recommendations of the Hearing Committee, together with his/her recommendation, to the Board of Regents within 15 calendar days of receiving the recommendation of the Hearing Committee. The Board of Regents may adopt, modify, or reject the recommendation of the President and/or Hearing Committee or remand the matter to the Hearing Committee for further consideration.

(iii) If either the President or the Board of Regents chooses to remand the matter to the Hearing Committee, they will return the proceedings to the Hearing Committee and specify their concerns within 15 calendar days and 15 calendar days after the next regularly scheduled Board of Regents meeting, respectively. The Hearing Committee shall reconsider the case, take into account the stated concerns and receive new evidence as deemed necessary. As soon as reasonably possible, the Hearing Committee shall report its final conclusions to the President for the President’s decision or for the President’s transmittal to the Board of Regents as before. The work of the Hearing Committee is finished when the President communicates the final decision, whether duly made by the President or the Board of Regents, to the parties in the case, the Hearing Committee, and any necessary administrative officers.

(iv) If the complaint under consideration has alleged the violation of academic freedom and/or academic due process and if the Hearing Committee finds that either or both have been violated, the Hearing Committee must recommend that any professional or personnel decision affected by the violation shall be initiated anew from the point of the violation. The Hearing Committee also may recommend necessary remedies appropriate to the case.

(i) Disposition of Records
Upon conclusion of any hearing, the Chair of the Hearing Committee shall remove all identifying characteristics from the agreement on procedures, if any, and shall forward this document to the Office of the Senior Vice President and Provost. Agreements on said procedures will be maintained in a file in the Office of the Senior Vice President and Provost and will be available to panel members and participants in future cases upon request. All other text, transcripts, and documents of the procedures will be held in the Faculty Senate Office and released only with the consent of the Hearing Committee, in accordance with appropriate legal process, or as needed by the University in defense of any matter. Tapes of the hearing will be stored in the Office of the Legal Counsel for five years or as otherwise required by law. In the case of hearings involving discrimination, harassment, or retaliation, copies of all transcripts and documents will be filed with the University Institutional Equity Office.

(j) Policy Maintenance
A Rights Assurance Committee composed of the University Ombudsperson; University Institutional Equity Office; FAB Chair, Chair-elect, and former Chair; University Legal Counsel; Faculty Senate Chair, and Senior Vice President and Provost or their designated representatives will confer annually with respect to grievances that have transpired and to formulate recommendations to revise these procedures, as necessary. The FAB Chair will chair the committee and report recommended changes to the Faculty Senate for consideration.

(C) ADMINISTRATIVE TERMINATION
In the event the grievance/complaint, if prosecuted, would clearly violate prevailing law (e.g., violate the faculty member’s 1st Amendment right to free speech or constitute retaliation), then the FAB Chair, with the advice of University Legal Counsel after due examination, shall administratively terminate the Hearing process.
3.10
NONDISCRIMINATION POLICY AND SEXUAL ASSAULT, DISCRIMINATION, AND HARRASSMENT POLICY AND GRIEVANCE PROCEDURE

The University, in compliance with all applicable federal and state laws and regulations does not discriminate on the basis of race, color, national origin, sex, sexual orientation, genetic information, age (40 or older), religion, disability, political beliefs, or status as a veteran in any of its policies, practices, or procedures. This includes but is not limited to admissions, employment, housing, financial aid, and educational services. Please refer to the University's Institutional Equity Office’s policies and procedures for a more detailed explanation and complaint procedure: for the Nondiscrimination Policy: http://www.ou.edu/home/eoo.html and for the Sexual Assault, Discrimination and Harassment Policy; http://www.ou.edu/home/misc.html. Or, contact the Institutional Equity Office directly at: (405) 325-3549, Norman Campus and Norman-based Tulsa Campus programs: Room 102, Evans Hall and/or the Sexual Misconduct Officer at (405) 325-2215: 338 Cate Center Building, Building 4, Rooms 480-481. Tulsa-based programs may also contact (918) 660-3107.

3.11
CONSENSUAL SEXUAL RELATIONSHIPS POLICY

(A) RATIONALE

Consensual amorous, dating, or sexual relationships have inherent risks when they occur between a faculty member, supervisor, or other member of the University community and any person over whom he or she has a professional responsibility. As noted in the Sexual Assault, Discrimination and Harassment Policy, the risks include a student or subordinate's feeling coerced into an unwanted relationship to ensure they receive a proper educational or employment experience; potential conflicts of interest in which the person is in a position to evaluate the work or make personnel or academic decisions with respect to the individual with whom he or she is romantically involved; a perception by students or employees that a fellow student or coworker who is involved in a romantic relationship with his or her supervisor or professor will receive an unfair advantage; either or both of the parties engaging in behavior destructive to the other or their academic or working environments if the relationship ends; and the potential that University/state resources are used inappropriately to further the romantic relationship.

Those with professional responsibility over others and with whom they have a romantic relationship should be aware that their involvement may subject them and the University to legal liability; consequently, such relationships are strongly discouraged. “Professional responsibility” is defined as performing functions including but not limited to teaching, counseling, grading, advising, evaluating, hiring, supervising, and making decisions or recommendations that confer benefits such as promotions, financial aid awards, or other remuneration, or that may impact upon other academic or employment opportunities.

Definitions- As used in this policy, the terms "faculty" or "faculty member" mean all those who teach at the University and include graduate students with teaching responsibilities and other instructional personnel. The terms "staff" or "staff members" mean all employees who are not faculty and include academic and nonacademic administrators as well as supervisory personnel. The term "consensual sexual relationship" may include amorous or romantic relationships and is intended to indicate conduct that goes beyond what a person of ordinary sensibilities would believe to be a collegial or professional relationship.
(B) POLICY

(1) Faculty/Student Relationships

Within the Instructional Context
It is considered a serious breach of professional ethics for a member of the faculty to initiate or acquiesce in a sexual relationship with a student who is enrolled in a course being taught by the faculty member or whose academic work (including work as a teaching assistant) is being supervised by the faculty member.

Outside the Instructional Context
Sexual relationships between faculty members and students occurring outside the instructional context may lead to difficulties. Particularly when the faculty member and student are in the same academic unit or in units that are academically allied, relationships that the parties view as consensual may appear to others to be exploitative. Further, in such situations, the faculty member may face serious conflicts of interest and should be careful to distance himself or herself from any decisions that may reward or penalize the student involved. A faculty member who fails to withdraw from participation in activities or decisions that may reward or penalize a student with whom the faculty member has or has had an amorous relationship will be deemed to have violated his or her ethical obligation to the student, to other students, to colleagues, and to the University.

(2) Staff/Student Relationships
Staff/Student Relationships - Consensual sexual relationships between staff and students are prohibited in cases in which the staff member has authority or control over the student. A staff member who fails to withdraw from participation in activities or decisions that may reward or penalize a student with whom the staff member has or has had an amorous relationship will be deemed to have violated his or her ethical obligation to the student, to other students, to colleagues, and to the University. Failure to abide by this policy may result in disciplinary action, up to and including termination.

(3) Staff/Subordinate Relationships
Supervisors, or those with professional responsibility, over someone with whom they have or have had an amorous, consensual, romantic, or sexual relationship must notify their direct supervisor that a management-control plan needs to be implemented, or that the supervisor wishes a transfer so that he or she is no longer in a position of professional responsibility over the affected individual. To avoid the severe risks noted, supervisors in such relationships may not manage, supervise, evaluate, or make other employment decisions concerning the individual with whom they are engaged in a romantic relationship. If the relationship ends, the management-control plan must remain in effect. Failure to notify a supervisor to ensure a plan is in place may result in disciplinary action, including termination, for that supervisor.

(C) COMPLAINTS
Complaints alleging a violation of the Consensual Sexual Relationships Policy shall be handled in accordance with the Grievance Procedure for Complaints Based upon Sexual Assault, Discrimination and Harassment, and Retaliation. Complainants should contact the University Sexual Misconduct Officer: Norman campus and Norman-based Tulsa programs, 338 Cate Center Building, Building 4, Rooms 480-481, Ph: (405) 325-2215, Health Sciences Center campus and HSC-based Tulsa programs, Room 113, Service Center, Ph: (405) 271-2110. Or, contact the Institutional Equity and Title IX Officer at: (405) 325-3549; Room 102 Evans Hall. Tulsa-based programs may also contact (918) 660-3107.

(Regents, 12-19-90, 6-13-91, 7 9-27-95, 1-14-97, 1-26-99, 3-29-00, 1-27-04, 6-23-11, 1-24-12)
STUDENT GRIEVANCE PROCEDURES
Students with grievances not covered by other University policies should be referred to the Office of Judicial Services at http://www.ou.edu/judicial/ to determine the appropriate grievance procedure in cases of student versus student complaints or grievances.

If a student feels wrongfully and unfairly treated by an instructor and if he or she is unable to resolve the matter in conference with the instructor or the departmental chair/director of the academic unit, an appeal may be made with the Academic Appeals Board of the college offering the course. Any thesis and dissertation appeals shall be heard by the Graduate College appeals board. For the full policy of the Academic Appeals Board refer to Section 4.16.1.

Persons who have complaints alleging discrimination based upon race, color, national origin, sex, sexual orientation, genetic information, age, religion, political beliefs, disability or status as a veteran or complaints alleging sexual harassment, consensual sexual relationships, retaliation, or racial and ethnic harassment (together, "discrimination and harassment or retaliation") may file their complaints in writing with the University Institutional Equity Office. For the Grievance Procedure for Nondiscrimination Policy, refer to http://www.ou.edu/home/eoo.html and for Sexual Assault, Discrimination and Harassment Policy, refer to: http://www.ou.edu/home/misc.html

To contact the University Institutional Equity Office:
Norman Campus
Room 102, Evans Hall
(405) 325-3546 or 325-3549

Health Sciences Center Campus
Room 113 Service Center Building
(405) 271-2110

To contact the Sexual Misconduct Officer:
Norman based programs:
338 Cate Center Building 4, Rms 480-481
(405)325-2215

Health Sciences Center Campus based programs
Room 113 Service Center Building
(405) 271-2110

Tulsa-based programs may also contact: (918) 660-3107.

(Regents: 6-23-11, 1-24-12)

3.13

FACULTY EVALUATION

3.13.1

FACULTY EVALUATION, ADJUSTMENT IN SALARY, AND ADVANCEMENT IN RANK
Faculty evaluation is a continuous process, both prior to and following the granting of tenure. An annual review of each faculty member's performance is the responsibility of the academic deans and the specific academic units. A systematic procedure for accomplishing such evaluations shall be developed in each academic unit with the participation and approval of the dean and the Senior Vice President and Provost. The criteria for evaluation shall be carefully and clearly stated. Specific faculty assignments within an academic unit and the specific mission of a particular academic unit may have different percentages of effort distributed across the areas of professional activity (teaching; research, and creative/scholarly activity; and professional and University service and public outreach) if, in consultation with the dean and Senior Vice President and Provost, this is determined to assist the entire University in best meeting its mission.

(A) Norman Campus
All salary adjustments and promotions in rank shall be based on systematic evaluations of faculty performance. (Note 1)

Note 1: There are two basic purposes of faculty performance evaluations. The first and foremost is to provide information to the faculty member regarding his or her work so that the faculty member can build upon strengths and improve where improvements are desirable. As such, it becomes an essential element of career development for the individual and assists both the faculty member and the faculty member's department or school.

The second basic purpose is to provide a documented basis for providing appropriate recognition of the quality of the faculty member's work; of how well the faculty member meets the department's or school's approval criteria for advancement in salary, promotion, and tenure.

(Senior Vice President and Provost, 7-14-81)

It is the policy of the University (Norman Campus) that all "A" budget salaried faculty, temporary and permanent, tenure-track and non-tenure-track, and renewable term be subject to the same performance evaluation process currently in place starting academic year 1986-87.

(Faculty Senate, 4-14-86, President, 4-21-86, Senior Vice President and Provost, 10-8-04)

Every faculty member will be evaluated annually by Committee A in the appropriate academic unit or department according to the criteria and procedures approved by that unit. These evaluations then will be represented in the form known as the Summary Report of Annual Faculty Evaluation and submitted first to the faculty member, who may respond to the Summary Report in the space provided, and then to the appropriate dean and the Senior Vice President and Provost.

(Faculty Senate, 1-12-87, President, 1-16-87)

3.13.2

(A) Salary Adjustments
(1) The most frequent reflection of a continuing faculty evaluation system is in the annual recommendations for merit salary increases. Deserving faculty should be rewarded, within the limits of the financial resources of the University, for meritorious performance.

(2) Each academic unit, with the participation and approval of the dean and the Senior Vice President and Provost, shall establish and publish specific criteria for evaluating faculty performance in that unit, consistent with overall University evaluation procedures, so that any ensuing disagreements on salary recommendations will arise only through differences of opinion concerning evaluation and application of the criteria rather than over the criteria themselves. These criteria may be changed by the faculty of the unit from time to time with the approval of the dean and the Senior Vice President and Provost. The Senior Vice President and Provost's approval of the revised criteria shall indicate a date on which they become effective. The revised criteria for salary evaluation shall apply to all faculty beginning with the academic year following the effective date.

(3) Under no circumstances will merit increases in salary be based upon race, color, national origin, sex, age, religion, disability, political beliefs or status as a veteran.

(4) At times when a faculty member is recognized with a special award designating a specific merit increase in salary to accompany the award, such special monetary award will be treated as additional to any increase recommended through normal procedures.

(5) In certain circumstances, merit salary increases may cause the salary of a faculty member to equal or exceed the salary of faculty in higher ranks. Such a situation is perfectly acceptable provided the salary levels are fair reflections of the respective merits in effort and achievement of the faculty.

(B) PROCEDURES FOR RECOMMENDATIONS ON SALARY ADJUSTMENTS
Procedural guidelines for salary recommendations are as follows:
(1) The academic unit will annually collect:
(a) achievement data from all the academic unit's faculty and

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(b) evaluations of each faculty member’s performance from those who are in supervisory positions and from other sources agreed upon as suitable in departmental policy.

(2) For each faculty member, the chair (along with Committee A, where appropriate) will prepare a recommendation based upon a comparison of faculty performance with University and departmental criteria and forward a documented recommendation to the dean.

(3) The dean will review each recommendation and notify the chair of any changes or adjustments made.

(4) The salary recommendations from the college will be forwarded from the dean to the Senior Vice President and Provost for additional discussion, further recommendations, and administrative action.

(5) Each faculty member may request the reasons for the salary recommendation that was made. It is the duty of the chair to discuss such matters individually with the unit's faculty. These discussions should take place as soon as feasible following delivery of the official salary notifications.

(C) ADJUSTMENTS OF SALARY INEQUITIES
Upon occasion, adjustments in salary may be needed to correct inequities caused by annual variations in available funds, changing conditions in the academic profession or in the economy, or other elements beyond the University’s control. The responsibility for making adjustments, where needed, lies primarily with the dean, who, after consultation with the appropriate academic unit, recommends to the Senior Vice President and Provost specific salary adjustments to correct evident inequities. Such adjustments should be made as funds are available, without causing disruption to the merit reward system.

3.13.3

ADVANCEMENT IN RANK
Advancement in rank is a major way in which the University recognizes a faculty member's achievements. A promotion is not a routine reward for satisfactory service but reflects a positive appraisal of high professional competence and accomplishment.

(A) CRITERIA FOR PROMOTION
Decisions to promote a faculty member must be made in light of a thorough evaluation of his or her performance in all the areas of faculty activity.

The candidate's performance is judged by all recommending parties against the academic unit's written statement of criteria for promotion to the rank in question, the approved written assignment for the candidate, and any special conditions pertaining to the candidate's appointment.

Each academic unit, in concert with the dean and the Senior Vice President and Provost, shall establish and publish specific criteria for promotion in that unit. These criteria may be changed for promotion in that unit from time to time with the approval of the dean and the Senior Vice President and Provost. The Senior Vice President and Provost's approval of the revised criteria shall indicate a date on which they become effective. The revised criteria for promotion shall apply to all faculty in the unit beginning with the academic year following the effective date. These statements of criteria determine the emphasis placed on the various areas of faculty activity, subject to the following conditions:

(1) Qualifications for promotion in all units should include attainment of high standards in teaching, research, or creative/scholarly activity; and professional and University service and public outreach; and the evaluation should be substantially the same process as followed in tenure considerations.

(2) Service in a given rank for any number of years is not in itself a sufficient reason for promotion.
(3) Promotion should indicate that the faculty member is of comparable stature with others in his or her field at the same rank outside the University.

(B) PROCEDURES FOR PROMOTION DECISIONS
(1) Recommendations regarding advancement in rank shall originate in the academic units by procedures to be determined by the Senior Vice President and Provost.

(2) The college dean or the Senior Vice President and Provost may at his or her discretion, require an academic unit to initiate consideration of promotion for an individual faculty member. In such a case, the academic unit must forward a recommendation, whether or not it is favorable.

(3) While primary responsibility for gathering complete information on professional activity rests with the individual faculty member, the chair should assume a share of this responsibility to be certain that all promotion recommendations are initiated on the basis of full documentation. All such documentation must be considered by any person or group making a recommendation.

(4) All recommendations must be in writing and, with the exception of a recommendation based on any polling of the unit's faculty members, all must include a statement of reasons for the recommendation made. Notification of all such recommendations made above the level of the academic unit, up to and including the recommendation of the Senior Vice President and Provost, must be provided to the unit's chair. The numerical result of the formal secret ballot polling of the unit's faculty members shall be provided to the candidate if the candidate makes a request.

(5) In all recommendations that are to be forwarded, the chair and Committee A members shall provide their recommendations. Each member shall record an independent opinion, by name, without obligation to represent majority departmental opinion. Reasons must be given for all recommendations.

(6) Whenever possible, a promotion should be accompanied by an appropriate increase in salary. If budgetary limitations make this impossible in any particular year, an adjustment should occur at the next budget period when funds are available. Promotions should not be delayed because of budgetary constraints. Conversely, promotions should be earned on their own right and not be used as substitutes for salary increases.

(Regents, 2-12-76, 1-15-87, 7-23-87, 5-9-91, 6-13-91, 7-27-93, 1-27-04)

3.14

SERVICES AVAILABLE FOR FACULTY/ACADEMIC UNITS
The University of Oklahoma has a Program for Instructional Innovation that provides the following services to all departments, as academic units, and to individual faculty and graduate teaching assistants.

(A) INDIVIDUAL CONSULTING
Free consulting is available on any general or specific question about teaching. This interaction may lead to classroom visits, student interviews, video-taping, or independent student evaluations.

(B) TEACHING EVALUATIONS
Two confidential teaching evaluations are offered. One is the IDEA Course Evaluation System, an in-depth, end-of-course diagnostic service. Also available is a mid-course evaluation entitled Teaching Analysis by Students (TABS). In addition to these evaluations, IDP staff is available to work with individual faculty to create a customized evaluation. All evaluations are offered at no cost to OU instructors.

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(C) FACULTY DISCUSSION GROUPS
Informal faculty discussion groups are offered each semester and meet once every two weeks for lunch and a one-hour discussion. These discussion groups offer faculty members an opportunity to learn about teaching from their professional colleagues on campus.

(D) PROFESSIONAL DEVELOPMENT SEMINAR
Designed for new faculty members, this seminar meets once a week during the fall semester and focuses on the University's organization, support for research, University services, and effective teaching. These free luncheon seminars are offered in cooperation with the Graduate College and OU academic and service units.

(E) TEACHING ASSISTANT TRAINING PROGRAMS
(1) The All-TA Workshop: In order to help teaching assistants become acquainted with the University and their teaching responsibilities, the University requires all TAs to participate in a training workshop. The All-TA workshop, held prior to each fall semester, offers a general orientation to the University and includes a variety of sessions to prepare TAs for their teaching duties.

(2) The ITA Workshop: All international teaching assistants (ITAs) are required to attend the ITA workshop offered each fall. This workshop is designed to address the unique problems encountered by international TAs; for example, managing cultural differences, adapting to OU classes, and building communication effectiveness.

(3) Other TA Programs: The Instructional Development Program serves as a resource to help individual academic departments develop their own TA training programs.

(F) LIBRARY OF RESOURCES ON COLLEGE TEACHING
Books, journals, and reprints of articles on every aspect of college teaching are available and may be borrowed.

(G) PUBLICATIONS
A newsletter for OU faculty and teaching assistants, Spotlight on Teaching, is published three to four times a year. The newsletter features profiles of successful OU educators as well as articles of general interest on college teaching.

3.15

ACADEMIC YEAR
The academic year for the University of Oklahoma (Norman Campus, excepting the College of Law) begins with the summer term, which begins in early June and ends in early August, with a day's recess for Independence Day when it falls during a scheduled class day. The fall semester begins in late August to allow completion of the semester before the Christmas holidays, with recesses of classes at Labor Day and during the Thanksgiving vacation. The spring semester begins in mid-January and ends in mid-May, with recesses for Martin Luther King Jr. Day and spring vacation. (For specific dates for faculty appointments for the academic year and the summer term, see Section 3.5.2.)

(Faculty Senate, 3-30-70; Presidential Approval, 4-13-70; State Regents, 8-2-93; President, 5-4-94)

3.15.1

UNSCHEDULED HOLIDAYS
Undergraduate Student Congress and Graduate Student Senate shall have authority to recommend to the President one unscheduled school holiday in the Fall semester of each academic year with the understanding
the recommendation of a holiday must be made to the President at least two weeks before the recommended date in order to allow time for adjusting teaching schedules and the like. 

(Regents, 3-9-78, 12-02-03)

3.15.2

RELIGIOUS HOLIDAYS

It is the policy of the University to excuse the absences of students that result from religious observances and to provide without penalty for the rescheduling of examinations and additional required class work that may fall on religious holidays.

(Senior Vice President and Provost Approval, 9-14-78)

3.16

FACULTY DUTIES

The work of a faculty member may include teaching, research or creative activity, and service. Specific activities of a faculty member may vary from semester to semester as long as they are consistent with his or her department's objectives and responsibilities as indicated by the department's statement of criteria for evaluating faculty performance.

(Presidential Approval, 7-1-78)

3.16.1

POLICY GUIDELINES FOR FACULTY TEACHING RESPONSIBILITIES

Policy Guidelines for Faculty Teaching Responsibilities were developed with the input of college deans and members of the Faculty Senate. These guidelines are designed to apportion responsibilities within academic units and increase differential teaching assignments.

(A) Faculty teaching loads should be differentiated.

(B) A teaching load policy that is appropriate for a major national research university should be developed by each college. This policy will be approved by the college dean and the Senior Vice President and Provost and will be implemented at the departmental level. College teaching policies may differ.

(C) Teaching loads should be related to practice and productivity at peer institutions.

(D) Differentiated teaching loads should be based upon needs of the unit; teaching ability; type, level, and size of courses taught; productivity in research and creativity; service assignments; administrative responsibilities; and other unique characteristics of the instructor.

(E) The annual faculty evaluations should be in conformity with the policy set forth in Section 3.11.

(F) Graduate level research and creativity activity, advisement, directing of theses and dissertations, and special service functions are to be taken into consideration as part of the overall teaching load.

(G) College deans should review and evaluate teaching loads each year.

(H) Department chairs or directors, with the approval of their college dean, will have the flexibility to approve exceptions to their college's policies.

(Senior Vice President and Provost, 9-12-90)

3.17
REGENTS' AWARDS
The Regents' Award is an annual University-funded award that may be given for superior accomplishment in any of the following: teaching; research and creative/scholarly activity; and professional and University service and public outreach.

3.17.1
CRITERIA FOR SELECTION
Substantiating data should relate directly to the individual's effectiveness in the award area for which he or she is under consideration (teaching; research; and creative/scholarly activity; and professional and University service and public outreach). The data should be derived from as many as possible of the following sources of evaluation: faculty colleagues, undergraduate and graduate students, alumni, departmental chairs, and Committees A and/or personnel committees, as well as from off-campus sources where appropriate.

3.17.2
NOMINATION PROCEDURE
The Senior Vice President and Provosts will solicit recommendations for the awards during the fall semester and announce appropriate schedules for processing the nominations.

An academic unit may submit no more than a total of two names for all the Regents' awards. The name of each person recommended for nomination by the academic unit should be supported by substantiating statements as described under Criteria For Selection. The suggested nominations and supporting information are to be sent to the dean of the academic unit. The dean will transmit to the appropriate Senior Vice President and Provost names of nominees and all substantiating data and will append, for each nominee, his/her own statement of endorsement. The Vice President for Research from each campus shall share in the evaluation of nominees for the Regents' Award for Superior Research and Creative/Scholarly Activity. The Council on Faculty Awards and Honors will consider the nominations and make its recommendations through the Senior Vice Presidents and Provosts to the President.

3.17.3
SELECTION PROCEDURE
The Council on Faculty Awards and Honors shall consider only the formal nominations. The Council may seek additional data about the nominees from such sources as seem appropriate.

The Council shall recommend to the President, through the Senior Vice Presidents and Provosts, as many as nine faculty members for the awards, with the understanding the majority of the awards will be given for Superior Teaching. The Council also shall transmit all substantiating materials pertaining to all nominees. The Senior Vice President and Provosts will review the nominees and forward their recommendations, along with all substantiating materials, to the President, who will make recommendations to the Board of Regents for consideration.

The final selection of the recipients will be made by the Board of Regents.

3.17.4
ANNOUNCEMENT
The recipients of the Regents' Award for Superior Teaching, Regents' Award for Superior Research and Creative/Scholarly Activity, and Regents' Award for Superior Professional and University Service and Public Outreach will be announced by the Board of Regents at spring meetings of the faculty.
PERQUISITES
Each award will consist of affixing the recipient’s name to a permanent plaque in a prominent and suitable location and a cash award of $2,000. A certificate suitable for framing will be presented to the recipient.

(Regents, 5-11-78; Amended, 9-11-86, 6-27-95, 1-27-04)

3.18

DISTINGUISHED PROFESSORSHIPS
Recipients of distinguished professorships are deemed to have achieved unusual distinction in teaching; research and creative/scholarly activity; and Professional and University service and public outreach. The University awards the following distinguished professorships:

(1) David Ross Boyd Professorships
(2) George Lynn Cross Research Professorships
(3) Presidential Professorships
(4) Regents’ Professorships

All nominations shall be made known to the Board of Regents at least 20 days prior to the time that nominees’ names appear on an agenda for action.

(Regents, 5-12-66 5-11-78, 9-26-95, 1-27-04)

3.18.1

DAVID ROSS BOYD PROFESSORSHIP
(A) CRITERIA FOR SELECTION
To qualify for a David Ross Boyd Professorship, a faculty member must have consistently demonstrated outstanding teaching, guidance, and leadership for students in an academic discipline or in an interdisciplinary program within the University. Among more specific criteria which may be considered are the degree to which the candidate:

(1) establishes, communicates, and fulfills appropriate course and program goals;
(2) utilizes formats and techniques that are appropriate to the students served;
(3) measures student performance appropriately and fairly;
(4) establishes relationships with students that facilitate mutual respect and communication;
(5) stimulates an intellectual inquisitiveness and communicates methods of pursuing that inquiry;
(6) brings about change in students’ knowledge, motives, and attitudes;
(7) fosters the professional development of colleagues and serves as a model for colleagues and students;
(8) contributes to the success of students.

(B) NOMINATION PROCEDURE
(1) Initiation
The Senior Vice President and Provosts will solicit recommendations for the professorship by September and announce appropriate schedules for processing the nominations.

(2) Recommendations
Any academic unit may submit to the college dean the name of one tenured faculty member with the rank of professor. The recommending unit will be responsible for assembling the supporting documentation. The dean of the college will review the recommendations and add his or her comments to the recommendation(s) considered to be most worthy. The dean will submit all the recommendations and supporting documentation to the Senior Vice President and
Provost. The Senior Vice President and Provosts will forward these materials to the University Council on Faculty Awards and Honors.

(3) Supporting Documentation
Recommendations are to be accompanied by specific evidence that the nominee meets the criteria for selection. Whenever possible, surveys of representative groups of present and former students should be made and reported.

(C) SELECTION PROCEDURE
(1) Review
The Council on Faculty Awards and Honors shall recommend to the President, through the Senior Vice President and Provosts, only those nominated faculty considered by the Council to be most highly qualified and most deserving of being awarded the David Ross Boyd Professorship. The Council also shall transmit all substantiating materials pertaining to all nominees.

(2) Selection
The Senior Vice President and Provosts will review the nominees from the respective campuses and forward their recommendations, along with all nominations and all substantiating materials pertaining to all nominees, to the President, who will make recommendations to the Board of Regents.

(D) PERQUISITES
In the year of designation as a David Ross Boyd Professor, the person receiving the award will receive a one-time cash award of $7,000 and a permanent salary increase of 7% or $7,000 minimum, starting in the subsequent fiscal year. Persons named David Ross Boyd Professors on or after Spring 1996 are not eligible for consideration as Presidential Professors. On the Norman Campus each year, the Senior Vice President and Provost in consultation with the Director of the Instructional Development Program, shall establish a fund from which David Ross Boyd Professors who are involved in full-time teaching, can request support for their instructional activities.

(E) TERM OF THE AWARD
The term of a David Ross Boyd Professor is continuous until retirement.


3.18.2

GEORGE LYNN CROSS RESEARCH PROFESSORSHIPS
(A) CRITERIA FOR SELECTION
To qualify for a George Lynn Cross Research Professorship, a faculty member must have demonstrated outstanding leadership over a period of years in his or her field of learning or creative activity and have been recognized by peers for distinguished contributions to knowledge or distinguished creative work.

(B) NOMINATION PROCEDURE
(1) Initiation
The Senior Vice President and Provosts will solicit recommendations for the professorship by September and announce appropriate schedules for processing the nominations.

(2) Recommendations
Any academic unit may submit to the appropriate Vice President for Research the name of any tenured faculty member with the rank of professor who is deemed to meet the criteria for
selection. The Vice President for Research will request that the appropriate academic unit chair/director and college dean review and comment on those recommendations.

(3) Supporting Documentation
Recommendations are to be accompanied by specific indications that the person being recommended meets the criteria for selection. The appropriate Vice President for Research, consulting with knowledgeable persons both within and outside the University, will develop a list of external evaluators to aid in the review process. The specific procedures for evaluating those being recommended will be developed by the Vice Presidents for Research in consultation with the appropriate Research Council.

(4) Evaluations
The Vice President for Research will present to the appropriate Research Council all nominations with the supporting documentation and the comments of the academic unit chair/director and college dean. In addition, the Vice President for Research will present to the Research Council the external evaluations and his/her own evaluations.

(C) SELECTION PROCEDURE
(1) Final Nomination
The Research Council shall recommend to the President, through the appropriate Senior Vice President and Provost, all those nominated faculty deemed by the Research Council to fully meet the criteria for selection as George Lynn Cross Research Professors. The Research Council also shall transmit all substantiating materials pertaining to all nominees. The Council on Faculty Awards and Honors will be informed of those recommended by the Research Council.

(2) Selection
The Senior Vice President and Provost will review the nominees and forward their recommendations, along with all nominations and all substantiating materials pertaining to all nominees, to the President, who will make the recommendations to the Board of Regents.

(3) Perquisites
In the year of designation as a George Lynn Cross Research Professor, the person receiving the professorship will receive a one-time cash award of $7,000 and a permanent salary increase of 7% or $7,000 minimum starting in the subsequent fiscal year. Persons named George Lynn Cross Research Professors on or after Spring 1996 are not eligible for consideration as Presidential Professors. On the Norman Campus each year, the Vice President for Research, in consultation with the Research Council, shall establish a fund from which only George Lynn Cross Research Professors can request support for their scholarly and creative activities.

(E) TERM OF THE AWARD
The term of a George Lynn Cross Research Professor is continuous until retirement.

(Regents, 5-11-78, 3-15-89, 6-27-95, 9-26-95, 1-27-2004, 6-23-04)

3.18.3

PRESIDENTIAL PROFESSORSHIPS
(A) CRITERIA FOR SELECTION
Presidential Professors are those faculty members who excel in all their professional activities and who relate those activities to the students they teach and mentor. These professors inspire their students, mentor their undergraduate and/or graduate students in the process of research and creative/scholarly activity within their discipline, and exemplify to their students (both past and present) and to their colleagues (both at the University and within their disciplines nationwide) the ideals of a scholar through
their endeavors in teaching; research and creative/scholarly activity; and professional and University service and public outreach.

To support this charge, nomination materials will include:

(1) The nominee’s mini-vita and faculty evaluations for the previous three years (or since beginning at the University if, the nominee has been at the University less than three years) and the nominee’s complete vita.

(2) A narrative assessment (no more than 5 double-spaced pages) of:

(a) The impact of the nominee’s research and creative activity on his/her students.

(b) The nominee’s contribution to the undergraduate instructional enterprise including such examples as:

(1) The effectiveness of lower-division and upper-division undergraduate courses developed and taught by the nominee.

(2) The extent of the nominee’s involvement with undergraduates in advising and mentoring within the academic discipline. This could include the quantity and quality of the independent study enrollments (3990, 4990, 3960, 3980, etc.), Undergraduate Research Opportunities Program (UROP) and Undergraduate Research Day (URD) sponsorships, Research Experience for Undergraduates (REU) sponsorships, placement of undergraduates in quality graduate programs, number of academic advisees, and the sponsorship of academic clubs or academic honoraries.

(3) The extent of the nominee’s involvement with the planning and review of the undergraduate program within the academic unit. This could include chairing an undergraduate studies or program committee that undertook major changes in the undergraduate program or other leadership roles within the academic unit, college, or university that resulted in an updated and improved undergraduate program.

(4) The extent of the nominee’s involvement with undergraduates through University-wide programs such as the freshman Gateway course, freshman seminars, the residence hall adopt-a-faculty program, or other programs outside the classroom.

(c) The nominee’s contribution to the graduate instructional enterprise including such examples as:

(1) The effectiveness of graduate courses developed and taught by the nominee.

(2) The extent of the nominee’s advising and mentoring involvement with graduate students within the academic discipline. This could include numbers of theses and dissertations supervised, publications co-authored with graduate students, graduate students supported through external grants and contracts, and the job placement of the nominee’s graduate students.

(3) The extent of the nominee’s involvement with the planning and review of the graduate program within the academic unit. This could include chairing a graduate studies or program committee that undertook major changes in the graduate program or other leadership roles within the academic unit, college, or university that resulted in an updated and improved graduate program.
(d) Up to five letters from among current undergraduate or alumni, current or former graduate students, University colleagues, or colleagues within the nominee’s academic discipline from other campuses. Among all these letters, there should be commentary attesting to the nominee’s ability to excel in all professional activities and relate those activities to the students they teach and mentor. However, any one reference is unlikely to be able to attest to all aspects of a nominee’s professional activities.

(B) SELECTION COMMITTEE
The Norman Campus selection committee will be chaired by the Senior Vice President and Provost and the Vice President for Research, who serve as non-voting members. Thirteen members of the selection committee will be chosen as follows:

The President will select six faculty and three academic administrators from among current members on the Research Council, University Council on Faculty Awards and Honors-Norman Campus members, and Deans’ Council to serve three-year staggered terms.

The President will also select two faculty-at-large from the Norman campus tenure-track and tenured faculty to serve two-year staggered terms.

The President will also select two distinguished outside individuals to serve two-year staggered terms.

Any faculty members who are nominees must recuse themselves from the selection committee during that particular year; the President will replace them so as to maintain the composition of the selection committee.

(C) SELECTION PROCEDURE
(1) Initiation
The President’s Office—in conjunction with the Senior Vice President and Provost of the Norman Campus and the Senior Vice President and Provost of the Health Sciences Center—(a) will review the number of vacant Presidential Professorships, (b) will hold three vacancies each year for recruitment leverage, and (c) will issue a call for nominations by September 30. Separate selection committees will be constituted on the Norman and Health Science Center campuses.

(2) Nominations
Nominations should be prepared by chairs, directors, and committee A or other faculty groups and forwarded to both the appropriate dean and Senior Vice President and Provost. Self-nominations will not be accepted. Deans will forward the nominations with their own comments to their campus Senior Vice President and Provost. Each Senior Vice President and Provost will convene his/her campus’ selection committee.

The selection committees’ selections for the Presidential Professors must be forwarded by February 15 to the President’s Office along with all nominations and all substantiating materials pertaining to all nominees. The President will make recommendations to the Board of Regents during the March Board of Regents meeting.

(1) Selections
The final selections will be announced for Norman Campus at the annual Faculty Award Ceremony and for the Health Sciences Center at the Spring Regular Faculty Meeting.

(D) PERQUISITES
The Professorship is awarded for a four year term. Assistant and Associate Professors receive $5,000 per year and Professors receive $10,000 per year. To be eligible for funding in any given year, a faculty member must be considered as a full-time continuing member of the University.
Awardees' base salary in the following four academic years will be increased by the award amount. Decisions regarding merit increases will be on the new total base salary as a Presidential Professor.

(E) TERM OF AWARD
The Professorship is granted for a four year term with the faculty member receiving the funding each year based on faculty rank.

(Regents, 5-11-78, 3-15-89, 9-26-95, 1-27-04)

3.18.4

REGENTS' PROFESSORSHIP
(A) CRITERIA FOR SELECTION
To qualify for a Regents' Professorship, a faculty member must have rendered outstanding service to the academic community or to an academic or professional discipline through extraordinary achievement in academic administration or professional service.

(B) NOMINATION AND SELECTION PROCEDURES
Nominees for Regents' Professorships shall be presented to the Board of Regents by the President after conferring with the Chair of the Board of Regents, the Chair of the appropriate Faculty Senate, and the University Council on Faculty Awards and Honors. Recommendations for the appointment may be made to the President by any academic unit, administrative officer, or faculty member, but such recommendations are not required.

(C) PERQUISITES
In the year of designation as a Regents' Professor, the person receiving the award will receive a one-time cash award of up to $7,000 and a permanent salary increase of the same amount starting in the subsequent fiscal year. Persons named Regents' Professors on or after Spring 1996 are not eligible for consideration as Presidential Professors.

(D) TERM OF THE AWARD
The term of a Regents' Professor is continuous until retirement.

(Regents, 5-11-78; 3-15-89; 9-26-95, 1-27-04)

3.19

ENDOWED CHAIRS AND PROFESSORSHIPS
Faculty may be appointed to endowed chairs and professorships.

3.19.1
(A) CRITERIA FOR SELECTION
Specific criteria for the selection of occupants may be established for particular chairs as appropriate. To qualify for an endowed chair or professorship, a faculty member must be distinguished within a particular academic field or an interdisciplinary program.

(B) SEARCH COMMITTEE
The President, with advice and counsel of the appropriate Senior Vice President and Provost, the appropriate dean, and appropriate chair/director, will appoint the Search Committee. Search Committees for occupants of endowed chairs and professorships shall be composed of two faculty members from the academic unit concerned, two outside individuals distinguished within the relevant area and appointed by the President, and either the dean of the relevant college or a faculty member appointed by that dean. (The Board of Regents prefers and expects the dean to serve.)

At least one member will be from outside the University and at least one member will be from another college. The President and the Senior Vice President and Provost will meet with the Search Committee.
(and the dean and department head if appropriate) to hear their recommendations. The Senior Vice President and Provost, after consultation, may make a recommendation to the President. The President may approve and forward the appointment to the Board of Regents or reject it and request further searching.

(Regents, 1-27-04)

(C) TERM OF THE AWARD
For endowed chairs only, the appointee must be a tenured faculty member or must receive tenure on appointment to an endowed chair in accord with the applicable Faculty Handbook. Endowed professorships do not carry such stipulations. To the extent the appointee's performance and conduct remain satisfactory to the University, the term of an endowed chair, unless the endowment contract provisions provide otherwise, is continuous until resignation, retirement, or the endowment is withdrawn.

(Regents, 4-14-77, 6-15-78; Regents, 6-27-95, 1-27-04)

3.20

FACULTY AWARDS
The University recognizes teaching; research and creative/scholarly activity; and professional and University service and public outreach by its faculty by presenting several annual awards to deserving nominees. Some awards (including the Merrick Teaching Award) are privately funded, and criteria and method of selection are set forth in joint University-donor contracts.

3.20.1

COLLEGE AWARDS FOR FACULTY AND STAFF
Colleges that wish to use private funds to give faculty or staff merit awards for outstanding performance must secure the Senior Vice President and Provost's approval of the selection procedure and the amount of awards prior to any advertising or announcement. As a general rule, awards are given once a year and are limited to less than 10 percent of the recipient's salary. Annual deadlines will be established for the submission of criteria and awards. Announcements of recipients will not be made until the President has approved the annual recommendation. These awards will be made from absolutely unrestricted funds or funds designated specifically for faculty/staff awards. Recipients will be issued an IRS Form 1099 with the payment from The University of Oklahoma Foundation.

(Regents, 12-19-90, 3-7-91, 1-27-04)

3.21

LEAVES POLICY
The University of Oklahoma Leave Policy has additional leave information detailed in the University of Oklahoma Regents Policy Manual.

3.21.1

SABBATICAL LEAVES POLICY

(A) PURPOSE
Sabbatical leaves of absence are among the most important means by which an institution's academic program is strengthened, a faculty member's teaching effectiveness enhanced, and scholarly usefulness enlarged. The major purpose is to provide opportunity for continued professional growth and new or renewed intellectual achievement through study, research, writing, and training.

However, a faculty member does not automatically earn a sabbatical leave. Instead, it is an investment by the University in the expectation that the sabbatical leave will significantly enhance the faculty member's ability to contribute to the objectives of the University. There should be a clear indication that the improvements sought during a sabbatical will benefit the work of the faculty member, department,
college, and the University. Only sabbatical leave proposals that meet this criterion will be accepted and approved by the University. Sabbatical leaves are supported as an investment in the future of the faculty member and the future of the faculty member's students at the University.

The purposes for which a sabbatical leave may be granted may include:

- Research on significant problems and issues.
- Important creative or descriptive work in any means of expression, for example writing or painting.
- Postdoctoral study at another institution to update teaching skills.
- Other projects satisfactory to the University.

It should be demonstrated that such work cannot occur as effectively during the regular work schedule of the faculty member.

Normally, the University will not grant a sabbatical for the purpose of pursuing work on the terminal degree in the faculty member's academic field.

Adherence to the plan submitted by the faculty member is expected. Within two months of returning from leave, the faculty member shall submit to the Senior Vice President and Provost through the chair or director and college dean a report of activities undertaken, which will be used in evaluating future applications for sabbatical leaves.

A faculty member who is on sabbatical leave shall not be penalized on matters of salary consideration. The report on the sabbatical will be used in consideration for merit raises in subsequent years.

(B) CONDITIONS OF AWARD

Approval of a sabbatical leave of absence with full or partial pay depends on the ability of the faculty member's college to absorb the financial obligation and on the college's ability to provide teaching without loss of quality.

A faculty member applying for a sabbatical leave and receiving a stipend for the same period from another institution or agency may still receive a sabbatical provided that it appears to the Senior Vice President and Provost that it is in the best interest of the University and will be needed to prevent financial loss to the faculty member obtaining the sabbatical.

Normally, faculty on sabbatical leave at full pay may not receive additional compensation from within the University for teaching in Advanced Programs, Liberal Studies, Intersession, or other University programs, since such activities would diminish the sabbatical time for study and creative activity. However, the Senior Vice President and Provost may approve exceptions provided that it appears to be in the best interest of the University. Faculty on sabbatical shall resign from all councils, standing committees, and administrative advisory committees of the University, except graduate students' committees, in order to devote their full time to their projects. The obligation to supervise and advance the work of graduate students shall continue during the sabbatical leave. (Note 1)

As a condition of receiving approval of a sabbatical leave, the sabbatical recipient shall sign a statement of commitment to return to the University for one year following the sabbatical or to remit the salary and cost of benefits received from the University during the sabbatical leave, unless this requirement is waived by the President, in writing.

Note 1: Although this is not a part of the official Regents Policy, faculty should also work with the Office of Research Services, as appropriate, to ensure the obligation for their sponsored projects are met.

(Vice President for Research, 3-31-05)

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(C) **BENEFITS PAYABLE**

Employment benefits for faculty members on sabbatical with full salary will continue at full benefits levels.

Employment benefits for faculty members on sabbatical leave at less than full salary will be as follows:

Health, Accidental Death and Dismemberment, and Dental insurance will continue at full benefit level. Please refer to the Medical Plan Rates Chart for full-time, salaried active-employees listed on the Human Resources website. Although faculty members receive half of their regular salary, the full-time rate for their full-time salary tier will be deducted from their paychecks. Please refer to the Medical Plans Rates Chart to determine the amount that will be deducted. You will be responsible for any benefit premium amounts in excess of Sooner Credits while you are on a half pay sabbatical.

Social Security contributions will be based on the actual salary paid and Defined Contribution benefit will be computed by reducing the salary that is exempt (normally the first $9,000) in the same proportion to the sabbatical FTE. For example, for a faculty member on sabbatical leave at half-pay for a year, the exempt salary will be reduced to $4,500.

OTRS rules provide that employees on official sabbatical leave may fully credit the sabbatical period toward years of service if the employee receives at least one-half pay during the sabbatical and the retirement contributions during the sabbatical are made at the full-time rate (i.e., the rate commensurate with the salary earned as a regular full-time employee in the last preceding school year).

University contributions will be concomitant with the employee’s contributions to OTRS, at either the half-time or full-time rate. The member must elect to participate and make contributions to OTRS at the time of the sabbatical. Credit for sabbatical leave cannot be purchased by the member at a later date. See OTRS rules, OAC sec. 715:10-1-4. This agreement authorizes the university to make OTRS contributions at the full-time rate during a half-pay sabbatical.

(D) **ELIGIBILITY**

The semesters that are counted toward eligibility for sabbaticals are the fall and spring semesters only and do not include the summer term.

After six years of service, faculty on nine-month appointments may be granted a sabbatical leave at half-pay for a period not to exceed two semesters or at full-pay not to exceed one semester. After six years of service, faculty on 12-month appointments may be granted a sabbatical leave at half-pay for a period not to exceed 12 months or at full-pay for a period not to exceed six months. The term "six years of service" refers to full-time appointments in a regular faculty appointment at the University, but not counting leaves of absence without pay. The term "six years of service" also includes other full-time service at the University that has been included in the probationary period for tenure. Such service at other institutions of higher learning shall not be included.

A faculty member’s eligibility to apply for subsequent sabbatical leaves is established by length of service following return from the previous sabbatical leave in accord with the schedule referred to above. Occasional exceptions to the rule may occur when a faculty member who is otherwise formally determined to merit a sabbatical leave is obliged to postpone it for the convenience of the University. In exceptional cases, the President may determine the period of delay be considered as part of the period of service establishing eligibility to apply for the next sabbatical leave.

(E) **PROCEDURES**

The procedure to be followed in applying for a sabbatical leave shall be as follows:

The faculty member shall apply to the department. After recommending approval or disapproval, the department chair or director shall submit the application to the college dean by February 1 for sabbaticals beginning in the following academic year or later and no later than July 15 for sabbaticals.
beginning the following spring semester. The dean will hold all applications for comparative review and recommend, by ranking in order of merit, to the appropriate Senior Vice President and Provost. The Senior Vice President and Provost may seek the advice of the Council on Faculty Awards and Honors. The Senior Vice President and Provost will recommend to the President, who will make recommendations to the Board of Regents for the April and September meetings respectively.

(Regents, 5-11-78, 9-9-82, 4-12-84, 1-17-85, 7-23-87, 1-24-95, 1-27-04)

3.21.2

ADMINISTRATIVE LEAVE
An administrative leave with pay may be given when it is determined to be in the University's best interest that an employee not return to work for a specified period of time or for designated emergency closings of the University. Recommendations for administrative leave must be submitted to the President or his designee for approval.

(Regents, 7-23-87, 1-27-04)

3.21.3

LEAVE OF ABSENCE WITHOUT PAY
Leaves of absence without pay may be granted for a period usually not exceeding one year to members of the faculty and other employees for purposes deemed to be in the interests of the University. Leaves without pay should be infrequent and should be approved only after careful consideration by department heads and college deans. Recurring requests for leaves of absence without pay should not be approved without strong justification, particularly when they are in consecutive years.

(A) Application for a leave of absence should be submitted to the department chair or director, who will forward it with recommendation to the college dean by February 1 for leaves beginning in the following academic year or later and no later than July 15 for leaves beginning the following spring semester. After recommending approval or disapproval, the dean will forward the application to the Senior Vice President and Provost. The Senior Vice President and Provost will recommend to the President, who will make recommendations to the Board of Regents for final action for the April and September meetings, respectively. The President may approve exceptions to these deadlines, provided that it appears to be in the best interest of the University.

(B) The application will be in the form of a letter of request with specific justification for the absence from the University and will include, for example the following information:

(1) Sabbatical or other leaves the faculty has taken in the past six years, their dates and purposes.

(2) The purposes of the proposed leave.

(3) The contribution of the leave to the realization of the faculty member's goals and those of the University in research, teaching, or service.

(4) The arrangements to be made by the department to handle the courses that normally would be taught by the faculty member who is proposing to go on leave. The application should be specific and list the affected courses or other work and the arrangements that have been made for these courses and work.

(C) Requests for extension must contain updated information about the above items and will be subject to the same approval procedure as an initial leave.

(D) Time spent on leave of absence without pay will not count toward a probationary period for tenure or for eligibility for sabbatical leave.

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University contributions to the Defined Contributions Plan, AD&D, group life, medical, and dental insurance will not be made during a leave of absence without pay. Persons on such leave without pay may pay for their own contributions to the plans except to the Defined Contribution Plan.

For staff, leaves of absence without pay for personal reasons may be recommended by the budget unit head when it appears to be in the best interest of the University and the employee. Such leaves may not exceed one year in length. A period of leave of absence without pay does not count as service time for computation of benefits other than for retirement as specified. Leave without pay for monthly paid employees may not be for absences of less than one day’s duration.

EXTENDED SICK LEAVE POLICY FOR NINE MONTH FACULTY
The following extended sick leave benefits are available to full-time faculty members with the rank of instructor or above who hold nine-month continuous appointments on the Norman and Health Sciences Center campuses. Benefits for 12-month faculty are addressed in the University's Paid Leave and Extended Sick Leave Policy.

Full-time and nine-month faculty with the rank of instructor or above will accrue 12 days of extended sick leave per year. Such faculty members working at least half time (.50 FTE) but less than full time (1.0 FTE) will receive leave accrual based on their FTE. There is no maximum on the accrual of extended sick leave. No cash payment will be made for any time accrued.

BREASTFEEDING SUPPORT
The University supports breastfeeding mothers in the workplace by providing flexibility to allow sufficient time to express milk or to breastfeed a baby brought in by a care provider. Time spent beyond the normal break time will be considered to be unpaid. The employee and the supervisor can make arrangements to make up time lost or use available paid leave in accordance with existing University policies.

CANDIDATES FOR POLITICAL OFFICE
Any employee of the University who becomes a candidate in any primary or general election for any county, state, or federal office shall, prior to announcing candidacy for any said offices, offer his/her resignation to the Board of Regents, without reservation. In making the announcement of the adoption of the resolution, the Board of Regents stated: “In adopting this resolution, the Board of Regents does not want to be understood as offering discouragement to faculty members or employees from becoming candidates for public office. As an American citizen, an employee may regard it his or her duty to become a candidate.”

PARTICIPATION IN POLITICAL CAMPAIGNS
The University encourages all employees to vote and otherwise actively participate in the political process. Contact the Office of Legal Counsel for information regarding acceptable conduct within this context.

(President, 10-1-90)

3.23

ATTENDANCE AT SUMMER INSTITUTES
Academic administrative officers on 12-month appointments and in direct charge of academic programs, upon proper prior application and recommendation, may be allowed to attend summer institutes designed to improve or maintain their scholarly qualifications for their University work, at no expense to the University other than the continuation of the regular salary during the period of the institute, subject to the following conditions:

(1) The applicant will be expected to count the time spent in the institute as vacation time.

(2) A maximum of two weeks beyond the applicant’s entitlement of vacation time may be spent in the Institute without loss of salary.

(3) The frequency of such an arrangement may not be greater than once in three summers.

Approval of such an arrangement in each individual case will be given by the President upon recommendation of the appropriate dean as appropriate, and Senior Vice President and Provost, based upon the work load in the academic unit involved, the appropriateness of the institute to the applicant's work, and the ability to handle the applicant's work during his absence at no extra cost to the University.

(Regents, 5-13-65, 1-27-04, 6-23-04)

3.24

FACULTY SCHOLARSHIPS AND FELLOWSHIPS
The University often is called upon to recommend faculty members for scholarships or Fellowships, such as Fulbright Scholarships, American Council of Learned Societies Fellowships, Social Science Research Fellowships, and Guggenheim Fellowships.

The University is always glad to help faculty members secure important scholarships and fellowships. Application for University assistance should be made to the Dean of the Graduate College or to the Senior Vice President and Provost's Office.

(Senior Vice President and Provost, 4-24-70)

Certain national fellowships and scholarships that are highly competitive, such as the Fulbright, often do not provide stipend levels commensurate with faculty salaries and fringe benefits. To offset any loss in salary and benefits, the University has developed a policy for awards of at least $20,000 for the academic year. This policy provides that the amount of the faculty award will be deposited in a released time account and that the faculty member will continue to receive a full salary--partly from the grant and partly from state funds--in the budgeted position. The faculty member's department will use the money in the released time account for departmental needs determined by the chair and the dean; therefore, the department may need to set a higher minimum award amount for the faculty members in their departments.

To be eligible, the faculty member must obtain complete approval in advance of all details of the arrangement. The procedure for approval will follow normal channels with the chair/director and faculty securing the approval of the budget dean, who will recommend a specific arrangement to the Senior Vice President and Provost. Without exception, all arrangements must be made in advance of obtaining the award and must be approved by the Senior Vice President and Provost. Only in extraordinary cases will approval be given for awards of less than $20,000 for the academic year as that minimum amount is normally needed to ensure adequate supplementary funds.
If the award cannot be paid directly to the University, leave options may accommodate the circumstance.

(Senior Vice President and Provost, 9-20-87, 3-5-05)

3.25

RESEARCH COUNCIL
The Research Council is charged with the promotion and development of research and creative activity throughout the University community. The Council serves as adviser to the President, the Senior Vice President and Provost, the Vice President for Research and Faculty Senate in matters regarding research.

(Adapted from: Structure, Descriptions, Charters, and Purposes of University and Campus Councils, Committees, and Boards appointed by the President of the University, 6-28-78)

The Council also makes recommendations to the Vice President for Research on the allocation of internal funds in support of the research and creative activity of the faculty. These funds are for a variety of specific programs, the details of which are announced to all eligible faculty periodically by the Vice President for Research. Application is made through, and additional program information is available from, the Office of Research Services.

(Vice President for Research, 5-19-88, 8-26-04)

3.26

ETHICS IN RESEARCH
Research and other scholarly activity at the University must be above reproach. Each member of the University community has the responsibility to ensure the integrity and ethical standards in any activity with which he or she is associated directly, or any activity of which there is sufficient knowledge to determine its appropriateness.

Misconduct in the conduct of research undermines the scholarly enterprise and erodes the public trust in the University community to conduct research and communicate results using the highest standards and ethical practices. The University is responsible both for promoting scholarly practices that prevent misconduct and for developing policies and procedures for dealing with allegations or other evidence of scholarly or research misconduct.

This policy establishes uniform policies and procedures for investigating and reporting instances of alleged or apparent misconduct involving research, including but not limited to, research or research training, applications for support of research or research training, applications for research or research training, or related research activities that are supported with funds made available under the Public Health Service Act. The policies and procedures outlined below apply to faculty, staff, and students. They are not intended to address all scholarly issues of an ethical nature. For example, discrimination and affirmative action issues are covered by other University policies.

The text below is approved Regents Policy for the Norman Campus but is printed in its entirety only in the Norman Campus Faculty Handbook.

3.26.1

DEFINITION OF SCHOLARLY MISCONDUCT
Scholarly misconduct involves any form of behavior which entails an act of deception whereby one's work or the work of others is misrepresented. Other terms, such as research fraud, are here subsumed within the term "scholarly misconduct" as defined below. The term scholarly misconduct will be used to encompass scientific as well as other types of scholarly misconduct. Scholarly misconduct is distinguished from honest errors and ambiguities of interpretation that are inherent in the scholarly process. Further, scholarly misconduct involves significant and intentional breaches of integrity which may take numerous forms such as, but not limited to, those outlined below:
(A) Falsification of data ranging from fabrication to deceptive selected reporting of findings and omission of conflicting data.

(B) Plagiarism and other improper assignment of credit, such as excluding others or claiming the work of others as one's own; presentation of the same material as original in more than one publication; inclusion of individuals as authors who have not made a definite contribution to the work published; and submission of multi-authored publications without the concurrence of all authors.

(C) Improper use of information gained by privileged access, such as through service on peer review panels, editorial boards, or policy boards of research funding organizations.

(D) Serious deviation from the scientific method accepted in proposing or carrying out research, deliberate manipulation or improper reporting of results.

(E) Material failure to comply with federal, state, or institutional rules governing research including, but not limited to, serious or substantial violations involving the use of funds; care of animals; protection of human subjects; or use of investigational drugs, recombinant products, new devices, or radioactive, biological, and/or chemical materials.

(F) Inappropriate behavior in relation to misconduct including, but not limited to, inappropriate accusations of misconduct; failure to report known or suspected misconduct; withholding or destruction of information relevant to a claim of misconduct; and retaliation against persons involved in the allegation or investigation of misconduct.

The Board of Regents shall have governance and oversight of the Ethics in Research Policy. The specific regulations concerning the Ethics in Research Policy, which must conform to federal regulations, shall be set forth in the Faculty Handbooks and the Staff Handbook of the respective campuses of the University as approved by the Board of Regents. Any modification to a Board of Regents' policy in these Handbooks must be made through action of the Board of Regents.

3.26.2

PROCESS FOR HANDLING ALLEGATIONS OF SCHOLARLY MISCONDUCT

(A) INITIATION

Initiation of an Allegation of Misconduct. Initial allegations or evidence may be reported to any faculty member or administrator, who must then report the allegations to the Senior Vice President and Provost or his or her designee (hereinafter referred to as "Provost") on the campus where the misconduct allegedly occurred. The person appropriate in most situations would be the Vice President for Research. If the person to whom the report would normally be given is involved in some way in the misconduct, the next higher academic officer should be informed. The Senior Vice President and Provost shall take interim administrative actions, as appropriate, to protect federal funds and insure that the purposes of the federal financial assistance are carried out during the inquiry and investigation stages.

The Senior Vice President and Provost shall informally review any allegations of scholarly misconduct, confer with the dean of the college in which the allegation is alleged to have occurred as well as Legal Counsel, and determine whether the allegation warrants initiation of the inquiry process according to the policies and procedures for scholarly misconduct or whether other University policies or procedures should take precedence. The Senior Vice President and Provost will counsel the individual(s) making the allegation as to the policies and procedures to be used. If the reporting individual chooses not to make a formal allegation but the Senior Vice President and Provost believes an inquiry is warranted, an inquiry shall be initiated. The University will pursue an allegation of misconduct to its conclusion, even if the person against whom the allegation is made (hereinafter referred to as the "Respondent") leaves or has left the University before the case is resolved.

(B) STEPS
(1) The first step of the review process is an inquiry which has as its purpose fact finding in an expeditious manner to help determine if an allegation is deserving of further formal investigation, and if formal investigation is not warranted, to make recommendations concerning the disposition of the case.

(2) An Inquiry Committee composed of no fewer than three tenured faculty with no real or apparent conflict of interest, with no appointment in the department of either the individual(s) making the allegation or the Respondent, with appropriate expertise for evaluating information relevant to the case shall be appointed by the Senior Vice President and Provost within fifteen days after receipt of an allegation.

(3) The Senior Vice President and Provost shall notify the Respondent, in writing, of the allegations and the procedures which will be used to examine the allegations. The Respondent will be informed of the proposed membership of the Inquiry Committee to identify in advance any bias or conflict of interest.

(4) Where the individual(s) making the allegation seeks anonymity, the Inquiry Committee shall operate in such a way as to maintain that anonymity to the degree compatible with accomplishing the fact-finding purpose of the inquiry. Such anonymity cannot, however, be assured. Further, this anonymity may be neither desirable nor appropriate where individual(s) testimony is important to the substantiation of the allegations.

(5) Information, expert opinions, records, and other pertinent data may be requested by the Inquiry Committee. All involved individuals are obligated to cooperate with the Inquiry Committee by supplying such requested documents and information. Uncooperative behavior may result in immediate implementation of a formal investigation or University sanctions.

(6) All material will be considered confidential and shared only with those with a need to know. The Senior Vice President and Provost and the members of the Inquiry Committee are responsible for the security of relevant documents.

(7) In order to gather evidence, whenever possible, the Inquiry Committee will conduct interviews of all individuals possessing relevant information but in particular the Respondent and the individual(s) making the allegation.

(8) All individuals may have the assistance of personal legal counsel at their expense at both the inquiry and investigative stages; however, principals are expected to speak for themselves at the interviews.

(9) The review by the Inquiry Committee should be completed and a written report filed within sixty days of written notification to the Respondent that an Inquiry Committee is being named. The written report shall contain what evidence was reviewed, summarize relevant interviews, and include the conclusions of the Committee. If this deadline cannot be met, a request for extension and a report of reasons and progress to date, together with the anticipated time frame, should be filed with the Senior Vice President and Provost, and all individuals with a need to know should be informed.

(10) The written report of the Inquiry Committee will be conveyed to the Senior Vice President and Provost, who shall give a copy of the written report to the Respondent. The Respondent shall have ten working days to comment in writing upon the findings and recommendations of the Inquiry Committee. These comments may be made part of the record.

(11) If, after reviewing the outcome of the inquiry, the Senior Vice President and Provost determines the need for a formal investigation, the Senior Vice President and Provost will initiate that action within fifteen days by appointment of an Investigating Committee, and by immediately notifying, among others with a need to know, the Director of the Office of Research Integrity, if
appropriate, and the funding source, if any, that an investigation is being undertaken. This notification is expected to occur within twenty-four hours of the determination of the need for a formal investigation. Under certain circumstances, the University may be expected to notify the sponsoring agency or funding source at a point prior to the initiation of an investigation. Factors used in determining the timing of such notification include the seriousness of the possible misconduct; the presence of an immediate health hazard; and consideration of the interests of the funding agency, the scientific community, the public, and the individual who is the subject of the inquiry or investigation and his/her associates.

(12) If, after reviewing the outcome of an inquiry, the Senior Vice President and Provost determines that a formal investigation is unwarranted, or if the inquiry is terminated for any reason, the Senior Vice President and Provost shall notify all involved individuals and make diligent efforts to restore the reputations of persons alleged to have engaged in misconduct when allegations are not confirmed, shall also undertake diligent efforts to protect the positions and reputations of those persons who, in good faith, have made allegations of scientific misconduct and, if appropriate, shall send a report to the Office of Research Integrity stating the intent to terminate the procedure without an investigation and including a description of the reasons for such termination. If the Investigating Committee finds the allegations not to have been brought in good faith, sanctions may be recommended against the individual(s) making the allegation.

(13) Records of the inquiry are confidential to the maximum extent possible and are to be passed on to an Investigating Committee only if formal review is initiated. The records of inquiry shall contain sufficiently detailed documentation of the inquiry to permit a latter assessment of the reasons for determining that an investigation was not warranted, if necessary. If a formal review is not initiated, the records shall be kept by the Senior Vice President and Provost for at least three years after completion of an inquiry and, if appropriate, shall, upon request, be provided to authorized Department of Health and Human Services personnel.

(C) INVESTIGATION

(1) The Senior Vice President and Provost shall appoint an Investigating Committee of no fewer than three senior faculty who are without conflict of interest, hold no appointment in the departments of either the individual(s) making the allegation or the Respondent, and have appropriate expertise for evaluating the information relevant to the case. Preferably, at least one member should not be associated with the University.

(2) The Senior Vice President and Provost shall notify the Respondent, in writing, that there will be an investigation and of the procedures to be used during the investigation. The Respondent will be informed of the proposed membership of the Investigating Committee to identify any bias or conflict of interest.

(3) The purpose of the Investigating Committee is to explore further the allegation and to determine whether serious scholarly misconduct has been committed and, if so, the extent of the misconduct. The investigation normally will include examination of all documentation, including but not necessarily limited to relevant research data and proposals, publications, correspondence, and memoranda of telephone calls. Interviews should be conducted of all individuals involved, including the Respondent and the individual(s) making the allegation, as well as other individuals who might have information regarding key aspects of the allegations. Respondent shall be given the opportunity to address the allegations and evidence at the interviews. Complete summaries of these interviews should be prepared, provided to the interviewed party for comment or revision, and included in the investigatory file. The Investigating Committee may request the involvement of outside experts. The investigation must be sufficiently thorough to permit the Investigating Committee to reach a firm conclusion about the validity of the allegation(s) and the scope of the wrongdoing or to be sure that further investigation will be unlikely to alter an inconclusive result. In the course of an investigation, additional information may emerge that may justify broadening the scope of the investigation beyond the initial allegation. Should this occur, the Respondent is to be informed, in writing, of
any significant new directions in the investigation. In addition to making a judgment on the
veracity of the charges, the Investigating Committee may recommend to the Senior Vice
President and Provost appropriate sanctions.

(4) As the University is responsible for protecting the health and safety of research subjects,
patients, students, staff, and federal funds as well as the public interest, interim administrative
action prior to conclusion of either the inquiry or the investigation may be indicated. Such action
may range from restriction on some activities to full suspension of the Respondent. Notification
of external sponsors and the Office of Research Integrity, if appropriate, may be initiated by the
Provost.

(5) All individuals involved in the investigation are obligated to cooperate in a timely fashion by
producing any additional data requested for the investigation. Copies of all materials obtained
by the Investigating Committee shall be provided to the Respondent and to other concerned
individuals as judged appropriate by the Investigating Committee.

(6) The proceedings of the Investigating Committee are confidential and will be closed. A tape
recording of proceedings may be made.

(7) After the investigation has been completed, the Investigating Committee shall deliberate and
prepare its findings and recommendations.

(8) All significant developments during the formal investigation as well as the interim and final
findings and recommendations of the Investigating Committee will be reported by the Senior
Vice President and Provost among others, to the research sponsor and the Office of Research
Integrity, if appropriate.

(9) Every effort should be made to complete the investigation within 120 days; however, it is
acknowledged that some cases may render this deadline difficult to meet. In such cases, the
Investigating Committee shall compile a progress report, identify reasons for the delay, and
request an extension from the Senior Vice President and Provost. The Senior Vice President
and Provost shall convey to the funding or other relevant agency such information as may be
required by it, at intervals as required by the agency.

(10) Upon completion of the investigation, the Investigating Committee shall submit to the Senior
Vice President and Provost a full report that details the Investigating Committee's findings,
recommendations, and the documentation to substantiate the investigation's findings. This
report shall be sent to the Respondent by the Senior Vice President and Provost. The
Respondent shall be given twenty working days to comment in writing on the allegations,
evidence, findings, and recommendations of the Investigating Committee. Based on all the
information received, the Senior Vice President and Provost shall then make the decision
regarding application of sanctions and shall so inform the Respondent in writing of the sanctions
and the appeal process. If the sanctions involve the recommendation for termination of
employment, the academic termination procedures of the University will be invoked.

(11) When appropriate, the Senior Vice President and Provost will submit the final report of the
investigation to the Director of the Office of Research Integrity and the funding agency. In cases
involving a recommendation for severe sanctions, the notification will state, “these sanctions are
being recommended and, following University policy, appropriate procedures to appeal the case
will be initiated.” On occasion the sanction may require a request for an extension. At the
conclusion of the University process, the final report will be submitted. The final report must
describe the policies and procedures under which the investigation was conducted, how and
from whom information was obtained relevant to the investigation, the findings and the basis for
the findings and the actual text or accurate summary of the views of any individual(s) found to
have engaged in misconduct, as well as a description of any sanctions taken by the University.
(12) If the formal investigation is terminated for any reasons without completing all of the requirements for an investigation, the Provost shall, if appropriate, send a report to the Office of Research Integrity stating the intent to terminate the investigation, including a description of the reasons for such termination.

(D) RESOLUTION
Finding of absence of scholarly misconduct. All research sponsors and others initially informed of the investigation shall be informed in writing that allegations of misconduct were not supported. If the allegations are deemed to have not been made in good faith, appropriate disciplinary action should be taken against the individual(s) making the allegation. If the allegations, however incorrect, are deemed to have been made in good faith, no disciplinary measures are indicated and an effort should be made to prevent retaliatory actions. In publicizing the findings of no misconduct, the University should be guided by whether public announcements will be harmful or beneficial in restoring any reputation(s) that may have been lost or damaged. Usually, such decisions should rest with the person who was wrongfully accused. Reasonably appropriate efforts, should be undertaken to restore the reputations of persons alleged to have engaged in misconduct when allegations are not confirmed and to protect the positions and reputations of those persons who, in good faith, make allegations.

(E) FINDINGS OF SCHOLARLY MISCONDUCT
The Senior Vice President and Provost is responsible for notification of all federal agencies, sponsors, or other entities initially informed of the investigation of the finding of scholarly misconduct. The University should take action appropriate for the seriousness of the misconduct, including but not limited to the following:

(1) Notification
Consideration should be given to formal notification of the following, among other appropriate entities:

(a) Sponsoring agencies, funding sources
(b) Co-authors, co-investigators, collaborators
(c) Department, school, or University
(d) Editors of journals in which fraudulent research was published
(e) Editors of other journals or publications, other institutions, other sponsoring agencies, and funding sources with which the individual has been affiliated
(f) State professional licensing boards
(g) Professional societies.

(2) Institutional Disciplinary Action -- including, but not limited to, the following:

(a) Removal from particular project
(b) Special monitoring of future work
(c) Letter of reprimand
(d) Probation for a specified period with conditions specified
(e) Suspension of rights and responsibilities for a specified period, with or without salary
(f) Termination of employment.

(F) APPEAL
Individuals may appeal the judgment of the Investigating Committee and/or the sanction. A written statement of the grounds for the appeal must be submitted to the President within thirty days of written notification of the results of the investigation. Grounds for appeal include, but are not limited to, new/ previously unconsidered evidence that was not available earlier, sanctions not in keeping with the findings, conflict of interest not previously known among those involved in the investigation, or other lapses in due processes. Upon receipt of a written appeal, the President will evaluate the evidence and make a determination. The President may, at his/her discretion, reopen the investigation. The President's decision will be binding on all parties and will be conveyed to all involved in a timely fashion.
In case of termination of employment, the decision may be appealed according to University policy and procedure.

(Regents, 5-9-85, 12-20-89, 6-25-97, 3-29-00, 1-27-04)

3.27

FACULTY PARTICIPATION IN COMMENCEMENT
The University has one commencement per year in the spring.

It is the responsibility of all OU Norman faculty members to participate in the University-wide Spring Commencement. Faculty should also participate in college convocations.

(Faculty Senate, 12-13-71; Presidential Approval, 8-4-98)

Caps and gowns are available from the University Bookstore. Requests should be made as announced.

(Vice President for Administration and Finance, 8-1-80)

3.28

SCHOLARLY AND PROFESSIONAL ORGANIZATIONS
There are active chapters of numerous scholarly and professional organizations at the University. A partial list includes Phi Beta Kappa, the Society of Sigma Xi, the Order of the Coif, and the American Association of University Professors.

3.29

INTELLECTUAL PROPERTY POLICY

3.29.1

PREAMBLE
(A) The people of the State of Oklahoma may reasonably expect that their investments in the University will create new industry and enhance existing industry within the State and Nation. Such new industry creates greater employment opportunities for citizens of the State and the Nation and an improvement in their standard of living.

(B) The creation and development of intellectual property at the University encourages new business and is key to creating strong University and industry partnerships. It is the responsibility of University employees to disclose intellectual property and to foster an entrepreneurial attitude within the work force by involving students in the creation of intellectual property. Intellectual property development shall be pursued in concert with, but subject to, the University’s principle responsibilities of education and knowledge creation.

(C) Therefore, it is in the best interest of the University to adopt a policy that encourages disclosure of discoveries and inventions and rewards such creative activity. To do so, the University policy must insure that creators of copyrightable works or trademarks and inventors share in any financial success enjoyed by the University through the creation and commercialization of intellectual property. The basic objectives of the University’s policy concerning creative works, trademarks, discoveries, and inventions (i.e., intellectual property) include the following:

(1) To maintain the University’s academic policy of encouraging research, publication, and scholarship independent of potential gain from royalties or other income.
(2) To make patented materials created pursuant to University objectives available in the public interest under conditions that will promote their effective utilization and commercialization.

(3) To provide adequate incentive and recognition to faculty and staff through proceeds derived from their creative works, trademarks, discoveries, and inventions.

The text below is approved Regents Policy for the Norman Campus but is printed in its entirety only in the Norman Campus Faculty Handbook.

3.29.2

PATENTS

(A) OWNERSHIP

All discoveries and inventions, whether patentable or un-patentable, and including any and all patents (domestic and foreign) based thereon and applications for such patents, which are made or conceived by any member of the faculty, staff, or student body of The University of Oklahoma, either in the course and/or scope of employment for The University of Oklahoma or substantially through the use of facilities or funds provided by or through the University shall be owned by and be the property of the Board of Regents of the University of Oklahoma and the member will assign and does hereby assign all of member’s rights in and to the discoveries and inventions to the Board of Regents of the University of Oklahoma except as described below. Faculty having rights to discoveries/inventions prior to employment at the University of Oklahoma should notify the Office of Technology Development of such intellectual property so that ownership to any further development of that same intellectual property at the University of Oklahoma may be established, by written agreement, with the University Vice President for Technology Development. The Vice President for Technology Development shall consult with the Provost of the Health Sciences Center or his designee before entering a contract with faculty at the Health Sciences Center. In the event faculty or staff make discoveries or inventions outside the course of and/or scope of employment and using no University facilities, equipment, or supplies, or if using such reimburses the University for this use in accordance with a prior written agreement with the University and in accordance with University policy, title to such discoveries or inventions shall remain in the inventor, provided the University Vice President for Technology Development determines that the discovery or invention was made under these conditions. The inventor shall nonetheless submit a disclosure form to the Office of Technology Development. This disclosure shall contain sufficient information to enable the University Vice President for Technology Development to make a determination. If confidential information is required, the University will sign a nondisclosure agreement for purposes of this review. Should the University Vice President for Technology Development determine that the University does have a proprietary interest, a more complete disclosure may be required before making a decision in regard to title, the University Vice President for Technology Development shall consult with the Provost of the Health Sciences Center when the faculty member is based at the Health Sciences Center. If it is determined that the University has an interest, the provisions of this policy shall then be applicable. Appeals of such determinations may be made to the Faculty Appeals Board and then to the President. All rights in and to discoveries and inventions described in this policy shall be disclosed to and inventor will assign and hereby does assign all rights in and to said discoveries and inventions to the Board of Regents of the University of Oklahoma as a specific condition of employment with the University and admission to and/or attendance at the University. Faculty, staff and students shall execute any and all documents the University deems reasonably necessary to evidence such ownership, meet its legal obligations and effect patent protection, domestic and foreign, for the University or its nominee. All costs involved in obtaining and maintaining patent protection shall be borne by the University or its nominee. The University agrees to act in good faith with respect to the determination of ownership.

(B) REVENUE

The gross revenues (which shall include but not be limited to, cash and equity) received by the University from the licensing, sale, or commercialization of a University discovery or invention as described in section 1, will be distributed among the discoverer(s)/inventor(s), his/her/their primary department(s) and the University, in accordance with the following formula:

(1) 35% of gross revenues to the discoverer(s)/inventor(s) (as submitted on the Invention Disclosure Form);
(2) The remaining 65% to be used to reimburse the University for out-of-pocket expenses that it has or shall incur in connection with, but not limited to, patent filing, prosecution, maintenance, and defense;

(a) After expenses have been recouped, the remaining 65% will be distributed as follows:
   (i) 20% to originating college(s), half of which to go to the originating department
   (ii) 5% to President’s discretionary fund
   (iii) 5% to the campus Vice President for Research
   (iv) 15% to OTD to apply to operational expenses with a pro rata share to go to the originating campus (at least 80%) Office of Technology Development
   (v) 20% to the Growth Fund maintained for each originating campus

(3) Stock certificates issued to the University shall be held by the Controller's Office of the Norman Campus. The right to receive such royalty revenue shall be extended to the inventor(s) in the event that the inventor is no longer an employee or student of the University. Such right shall also accrue to the estate of the inventor(s). Inventor(s) and/or their successors or assigns shall have the responsibility to provide the Office of Technology Development of the respective campuses with all the necessary information to make payments to the appropriate parties, including without limitation, current addresses; provided, failure to keep the University so informed shall permit the University to hold all such revenue for such parties for a reasonable time or until the lawful beneficiaries make claim thereto. The University Vice President for Technology Development shall establish and maintain a “Growth Fund” for each originating campus to be used to stimulate general faculty intellectual property disclosures as well as technology development and transfer. The fund will be used to further stimulate researchers on each campus to make proposals when there is a need for additional funding to provide prototypes, additional research results, and/or “gap” funding to keep a program in place during transition. Those accessing the Fund will be expected to repay the fund at a target rate of two times the amount awarded from the fund. This fund will be administered under guidelines consistent with the research and scholarly missions of the University in consultation with the University Patent Committee. The Health Sciences Center Senior Vice President and Provost will confer with the University Vice President for Technology Development prior to the Provost’s allocation of funds. If the University Vice President for Technology Development does not approve of the proposed allocation, the proposed allocation will be submitted to the President for final approval or disapproval.

(4) When there are two or more discoverers/inventors, each shall share equally in the inventor’s share unless all discoverers/inventors agree in writing to a different distribution of such share. Such originally-signed agreement shall be filed with the Office of Technology Development of the respective campuses of the discoverer(s)/inventor(s). No distribution of cash revenues will be made until this issue is resolved by the discoverer(s)/inventor(s) or their successors in interest.

(5) The discoverer(s)/inventor(s) and his or her college shall be paid their share of the cash revenues upon receipt of the University and will be furnished with a statement of revenue derived from the commercialization of the invention at the time of payment. In the event of any litigation, actual or imminent, regarding patent rights, the University may withhold distribution until resolution of the particular matter. The University does not act as a fiduciary for any person relating to consideration received under the terms of this policy.

(C) EQUITY MANAGEMENT COMMITTEE AND POLICY
The Equity Management Committee shall determine the disposition of equity assets obtained through the commercialization of University technology which is valued under $100,000.00, e.g. whether to sell, trade or hold the assets, as it deems to be in the best interests of the University considering, among other factors, the requirements of the University and risks associated with holding the particular equity/stock asset. For assets valued $100,000.00 and above, the committee shall make recommendations to the Board of Regents with regard to their disposition. Provided in such cases, should the committee determine that University interests require a decision regarding the disposition of such assets prior to the next regularly scheduled meeting of the Board of Regents, it shall be authorized to do so, upon the approval of the President, and the results shall be reported at the next meeting of the Board. At the call of the University Vice President for Technology Development, the committee shall meet together in person, by teleconference or other acceptable means on an "as needed" basis in order to make decisions in a timely fashion regarding equity/stock as it is received by the University. However, such meetings shall take place not less than once each fiscal year. The committee shall meet to review current assets, previous management actions taken and for any other purpose related to management of the equity assets. The committee shall consist of two current members of the Board of Regents (to be appointed by the Board), the University Vice President for Technology Development, University General Counsel, acknowledgeable University employee who shall be appointed by the President and two extra-mural members familiar with such matters by education, training and/or experience. From recommendations by the President, the Board of Regents of the University shall appoint the two non-employee members of the committee, who shall serve at the convenience of the Regents. Appointments shall be made on an annual basis, at the time of the Board of Regents' officer elections (March).

(D) ADMINISTRATION

The President of the University, after consultation with the University Vice President for Technology Development and appropriate campus officials, shall determine the disposition of University discoveries and inventions described in this policy as deemed prudent and consistent with the University's mission to ultimately convey the benefits of its research to the public for the general welfare of the State and Nation. In determining the proper disposition of University discoveries and inventions, the University President shall consult as necessary with scientific and/or technical and/or business subject matter experts in fields appropriate to the discovery or invention under consideration. Among other choices, the University President may:

(1) License the discovery and/or invention to third parties to provide for the further development and/or commercialization of the property;

(2) Transfer the discovery and/or invention for commercialization by entering into commission agreements with third parties to identify potential licensees to further develop and commercialize the property;

(3) Transfer rights to the property to a patent service organization to further develop and commercialize the property;

(4) Allow rights (U. S. and foreign) to the discovery or invention to revert back to the Federal agency that funded the development of the discovery;

(5) Transfer rights (U. S. and foreign) to the discoverer(s)/inventor(s) if requested by the discoverer(s)/inventor(s), and the University President determines that the discovery/invention will not be pursued further by the Office of Technology Development.

(a) If Federal funds were used in the development of the discovery/invention, such transfer of rights are subject to a reversionary right in the Federal government as described in 37 CFR sec. 401.

(b) Such transfer also shall be subject to an irrevocable, non-exclusive, royalty-free, and world-wide right and license in the University to make, use, and/or practice the discovery or invention for University education, research and/or service purposes. The University also reserves the right to publish and or present information and data obtained in the research project resulting in the

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discovery or invention being transferred, assuming such rights do not jeopardize the discoverer's/inventor's patent rights. Faculty, staff and students shall execute any and all documents, as the University deems reasonably necessary to confirm or enforce such reserved right and license.

(c) Such transfer shall be limited to the discovery or invention duly disclosed to the University, in writing, as of the time the transfer is requested by the discoverer/inventor;

(6) Transfer rights to the discovery and/or invention to the person(s) or entity sponsoring the research in the course of which the discovery or invention was made if such action is required under the terms of the research agreement or is required by law; or

(7) Transfer the discovery and/or invention into the public domain through publication of the invention by the discoverer/inventor. All transfers of University discoveries or inventions shall be subject to and contingent upon any rights in third parties as may be governed and/or required by, among other things, sponsored research agreements, other third-party contracts, or law.

The University Vice President for Technology Development shall be responsible for administering the patent affairs of the University in a manner consistent with this Policy. The University Vice President for Technology Development shall cooperate with the appropriate campus officers to establish written policies to be approved by the President and distributed to the faculty, staff and students of the University, governing procedures to be followed in processing discoveries and inventions generated within the University. The Office of Technology Development shall provide information regarding disposition of specific discoveries/inventions to the inventor(s) no later than six (6) months from the date the discovery/invention is marketed by the Office. If the Office of Technology Development is not going to pursue marketing and/or protecting the invention, rights in and to the discovery/invention shall revert to the inventor(s) upon his/her request.

When it is in the best interest of the University to get its technology into the marketplace, when the longer term opportunity for returns to the University and the State exceed the short term value of not taking equity, then the University President will approve taking equity. As a matter of principle some equity is desirable in all transactions to create the best opportunity for the University and the State of Oklahoma to get a fair return on the technologies transferred from the University to the marketplace.

(E) DISCLOSURE

It is the responsibility of faculty, staff or students of the University of Oklahoma to report all inventions they may develop during their term of employment or registration as a student. Any discovery/invention, whether or not patentable, must be reported to the University by filing an Invention Disclosure Form with the appropriate technology development office. Such Invention Disclosure shall provide sufficient information so that the Office of Technology Development, in conjunction with others, can determine its commercial potential and patentability. Although the maintenance of the laboratory notebooks that describe the discovery/invention is the responsibility of the discoverer/inventor, the Office of Technology Development may require access to such notebooks at any time throughout the prosecution and maintenance stage of patenting the discovery/invention.

(F) TERM

The terms of this Patent Policy are a part of any contractual relationship of the University of Oklahoma with any member of the faculty, staff, or student body. This Policy, as amended from time to time, shall be deemed to be part of the conditions of employment of every University employee or a part of the conditions of enrollment and attendance of every student at the University. Any licensing revenues received throughout the duration of such license shall be distributed in accordance with the distribution policy in effect at the time of the signing of such license and can only be changed through mutual agreement of the parties receiving portions of such revenue.
(G) UNIVERSITY PATENT COMMITTEE
The University shall have a Patent Committee (for each Campus) that shall consider and investigate disputes among administrators, faculty, or staff and shall recommend appropriate solutions to the President. This committee shall be convened as needed and will consist of one student member appointed by the Graduate Student Senate for one year, two staff members, one appointed by the President and one appointed by the Staff Senate, and five faculty members, three appointed by Faculty Senate and one each by the President and the Vice President for Technology Development. All staff and faculty appointments are for three-year terms. This Committee will assist the University Vice President for Technology Development in setting policy and procedures that will be implemented on a daily basis by the Office of Technology Development staff. The committee will provide a forum for faculty, staff, and students to present any issues such as, but not limited to, revenue sharing, ownership, etc. The committee will make recommendations to the University Vice President for Technology Development for the handling of these issues. The Director of the respective campus’ Office of Technology Development, the respective campus’ Vice Presidents for Research, and University Counsel shall serve as ex-officio members of the committee.

(H) USE OF FACILITIES
(1) As outlined in the Oklahoma Technology Transfer Act of 1998, use of the facilities of the University by a business enterprise or private business entity is allowed when that project involves the research or development of a University technology, whether or not the technology is protected pursuant to federal or state law governing intellectual property, the results of which have potential economic and academic value for the University. Such use of University facilities must be on a “space-available” arrangement in which normal University activities are not displaced. The use of such facilities by a business enterprise or private business will be done on a fee-for-service contract and in conjunction with projects where the University has a vested interest in the outcome of the transfer of University technology, through research and development of a discovery/invention for commercialization purposes, scholarly rewards, or furthers the University’s educational, research, or public service missions.

(2) The University may take an equity stake in such business enterprises or private businesses in consideration for the use of such facilities and/or the development of University discoveries/inventions which shall be managed in accordance with the University’s policies on stock acquisition and management. Any cash revenues received from the sale or trade of such equity stocks shall be distributed as if received as royalty income. If the equity interest is acquired through an exchange of value other than money and the exchange of value is made in connection with the development of technology by the private business enterprise through the use of the facilities or resources or both of an institution within the Oklahoma State System of Higher Education, acquisition of an equity interest shall be permissible through the use of the facilities, premises or assets of an institution within The Oklahoma State System of Higher Education through the use of faculty expertise or student expertise, including the value of time expended by faculty or students upon developing a technology in connection with a private business enterprise or private business entity. No state appropriated monies shall be used or obligated to acquire an ownership interest in a private business enterprise except as authorized by the provisions of this section.

(I) BACKGROUND
A patent is a grant issued by the U. S. Patent and Trademark Office (PTO) that provides the assignee of the patent the right to keep others from practicing or using its patented invention. Patents are issued for inventions that are novel (not published, sold, or utilized for more than one year), useful, and non-obvious to others equally skilled in the art. (In almost all foreign countries, to be patentable, an invention requires complete novelty. In others words, it cannot have been published, used, sold, or bartered publicly prior to the filing of a patent application either in the country itself or in the United States PTO.) U. S. Patent Law has maintained the first-to-invent rule. What this means is that the first person to conceive and reduce to practice the invention shall be entitled to the patent. Foreign countries rely on the first-to-file concept in issuing patent rights. In the case of U. S. law, the laboratory notebooks of the
Laboratory notebooks should be bound notebooks where corrections are readily identifiable. The pages of the notebooks should be signed, dated, and witnessed on a daily basis and stored in a secure location. The term of patent applications filed in recent years is twenty years from the date of application. The laboratory notebooks should be maintained at least for that period of time.

(Regents, 12-9-99, 12-02-01)

3.29.3

TRADEMARKS
A trademark identifies an item of intellectual property or an educational or training service. The University owns all rights and titles to any trademarks related to any item of intellectual property owned by the University. Any cash revenues received in exchange for the commercial use or sale of such trademark shall be distributed as those cash revenues received for discoveries/inventions.

(Regents, 12-9-99)

3.29.4

COPYRIGHT
(A) PREFACE
Copyrights are created by the Constitution and the laws of the United States to promote the progress of science and the useful arts by securing for limited times to authors the exclusive rights to their works and writings. The basic objectives of the University’s policy concerning copyright include the following:

(1) To maintain the University’s academic policy of encouraging research and scholarship as such without regard to potential gain from royalties or other income.

(2) To make copyrightable materials created pursuant to University objectives available in the public interest under conditions that will promote their effective utilization.

(3) To provide adequate incentive and recognition to faculty and staff through proceeds derived from their works.

(4) To stimulate creativity across all media.

(B) POLICY
It is the policy of the Board of Regents of the University of Oklahoma that all rights in copyright shall remain with the creator of the work unless the work is created with substantial use of University resources, is specifically assigned or commissioned by the University, is subject to non-University contractual or legal obligations, or is a “work made for hire” as that term is defined by U.S. Copyright Law.

(C) OWNERSHIP
(1) Scholarly/Aesthetic Works
In keeping with traditional academic practice and policy, ownership of copyrights to works of artistry or scholarship in the creator’s professional field such as textbooks, course materials, scholarly papers and articles, software and other computer materials when they are works of artistry or scholarship, novels, poems, paintings, musical compositions or other such works of artistic imagination produced by University employees who have a general obligation to produce such works where the specific choice, content, course, and direction of the effort is determined by the employee without direct assignment or supervision by the University shall reside in the creators and the works shall not be deemed "works made for hire" under this policy unless they are also sponsored/contracted works or specifically assigned by the University. Copyrighted courseware and/or software that are not associated with traditional works as described above shall fall under and are subject to the Patent Policy. The general
obligation of faculty to produce scholarly works does not constitute specific assignment. Upon request by the University, the creator(s) will grant the University a nonexclusive, free of cost, world wide right and license to exercise all copyright rights in and to the work, except the right to commercially display, use, perform, or distribute copies of the work, unless to do so would impair the ability of the creator to have the work published or distributed. If a use of the work by University is reasonably determined by the creator to impair the exercise of such rights, the University shall discontinue the impeding use but otherwise shall remain free to use the work as provided in this Paragraph 3.1. Subject to the approval of the Vice President for Technology Development, the University will assist any University employee wishing to commercially exploit a scholarly/aesthetic work falling under this paragraph, through the Office of Technology Development and its respective campus officers. In such cases, the University will normally own the work and the provisions of the Patent Policy shall apply.

(2) Personal Works
Ownership of copyrights to works prepared outside the course and scope of University employment and without the substantial use of University resources (equipment, facilities, services or funds (regardless of source) administered by and/or under the control of the University) shall reside with the creators; provided, the provision of office facilities, limited secretarial assistance, library facilities for which special charges are not normally made or other resources which are made available to the public without charge, shall not be considered substantial use of University resources.

(3) Sponsored Works
Ownership of copyrights to works produced by or through the University in the performance of a written agreement between the University and a third-party/sponsor shall be governed in accordance with the agreement. If the agreement is silent in that regard, ownership shall be governed by the other provisions of this policy.

(4) Commissioned Works Ownership of copyrights to works produced for University purposes by persons not employed by the University or by University employees outside their regular University employment (commissioned works) normally shall reside with the University. In all cases, copyright ownership shall be specified in a written agreement approved by University legal counsel signed by the parties. Any commissioned work agreement which provides for ownership by other than the University shall also provide, to the fullest extent possible, that the University will have an irrevocable, free-of-cost, non-exclusive, world-wide license to exercise all copyright rights in and to the work, except the right to commercially display, use, perform or distribute copies of the work unless to do so would impair the ability of the University employee creator to commercially or professionally exploit the work. If a use of the work by University is reasonably determined by the University employee creator to impair the exercise of such rights, the University shall discontinue the impeding use but otherwise shall remain free to use the work as provided in this Paragraph 3.4.

(5) University Works.
Except as otherwise provided in this Policy, the University shall own all copyrights to works made by University employees in the course and scope of their employment and shall own all copyrights to works made with the substantial use of University resources. Provided, the University shall give due regard to the creator’s interests in the quality and integrity of the work and where appropriate grant recognition for creation of the work. To the extent consistent with University rights under the U.S. copyright law, nothing herein shall be construed to prevent the creator from using his/her knowledge, expertise, research, and creative achievement in other employment.

(6) Student Works.
Ownership of copyrights to works produced by enrolled students without the use of University funds (other than Student Financial Aid), that are produced outside any University employment and are not sponsored or commissioned works, shall reside with the student creator(s). Provided however, in all cases a student’s graduate thesis or dissertation shall be deemed a student work under this policy but as a condition of enrollment and awarding a degree, the University reserves an irrevocable, non-exclusive, free-of-cost and world-wide right to reproduce in any media and distribute to the public, on a non-commercial basis, copies of said theses and dissertations, unless to do so would impair the ability
of the creator to commercially or professionally exploit the work. If a use of the work by University is reasonably determined by the creator to impair the exercise of such rights, the University shall discontinue the impeding use but otherwise shall remain free to use the work as provided in this Paragraph 3.6.

(7) Jointly Originated Works.
Ownership of copyrights to jointly originated works shall be determined by separately assessing the category of work of each creator under this Section 3. Rights between joint owners of a copyright shall be determined pursuant to copyright law or by agreement between the owners of the work.

(D) REVENUE SHARING
The University may assign or license its copyrights to others. The University shall share royalty revenue derived from such assignment or license (excepting commissioned works and sponsored research funding) which it receives through copyrights with the creators, as provided for in the Patent Policy above. Notwithstanding the above or anything else to the contrary herein, staff employees are not eligible to share revenues received from University owned copyrights where such employees create copyrightable works as a part of their normal responsibilities of University employment. Provided, a staff employee may apply to the appropriate Senior Vice President and Provost to be treated as a faculty member for purposes of revenue sharing for a work resulting from a specific project upon a showing that his/her duties and responsibilities in that project are, in practical effect, substantially the same as those of a faculty member.

(E) ADMINISTRATION
(1) Release to the Creator.
An individual creator of a University owned work may seek transfer of the University owned copyright to him/herself by making a written request to the appropriate Provost. If the University decides not to exploit such work, then it may transfer the copyright, by written agreement, to the individual creator to the extent consistent with any applicable third-party agreement or law. Provided, such transfer shall be subject to an irrevocable, non-exclusive, free-of-cost and worldwide license in the University to exercise all rights under the copyright in the work except the right to publicly distribute copies for commercial purposes or such other conditions as may be agreed upon in writing between the individual creator(s) and the Senior Vice President and Provost, unless to do so would impair the ability of the creator to have the work published or distributed. If a use of the work by the University is reasonably determined by the creator to impair the exercise of such rights as transferred in the agreement, the University shall discontinue the impeding use but otherwise shall remain free to use the work as provided in this Paragraph 5.1.

(2) Disclosure and Protection.
An individual creator of a University owned copyrightable work shall protect the work by placing the following statutory copyright notice on all copies thereof (“Copyright [insert year produced, e.g., 2000], the Board of Regents of the University of Oklahoma.”). If the creator believes the work may have commercial value, he/she shall promptly provide written disclosure of the work to the appropriate Senior Vice President and Provost.

(3) Legal Compliance.
Any work created by a University employee or student, to the best of his/her knowledge and informed belief, shall not infringe on any existing copyright. Creators of copyrightable works subject to this policy and the University shall cooperate as reasonably necessary to effect the terms of this policy. For example, if copyright to a work of scholarship vests in the University by law, the University will, upon request and to the extent consistent with its legal obligations to third parties, promptly execute such documents as will transfer copyright to the faculty creator(s).

(a) The Senior Vice President and Provosts, Norman Campus and the Health Sciences Center, shall be responsible for administering the copyright affairs of the University in a manner consistent with this policy. The Senior Vice President and Provosts shall
cooperate in consultation with the Copyright committee on each campus to establish written directives to be approved by the President of the University and distributed to the employees and students of the University, which shall govern the procedures to be followed in processing copyrighted works created within the University.

(b) The University does not act as a fiduciary for any person concerning consideration received under the terms of this policy.

(c) The University Vice President for Technology Development may negotiate ownership of copyrighted works with research sponsors when it is in the best interest of the University to do so. Otherwise, all rights are as described above.

(d) Faculty having rights to copyrighted works prior to employment at the University of Oklahoma should notify the Office of Technology Development of such intellectual property so that ownership to any further development of that same intellectual property at the University of Oklahoma may be established, in a written agreement with the University.

(F) **CONTRACTUAL TERM**
The terms of this copyright policy are a part of any contractual relationship of the University with any member of the faculty, staff or student body. This policy, as amended from time to time, shall be deemed to be a part of the conditions of employment of every University employee and a part of the conditions of enrollment and attendance of every student at the University.

(G) **RESOLUTION OF CONFLICT**
Should disputes arise relative to the ownership of copyright between the creator and the University, the matter will be referred to the Copyright Committee, which will make recommendations to the President for proper resolution of the disputes. Either the University or creator may contact the Provost to arrange to have the Copyright Committee meet to consider such disputes.

(H) **UNIVERSITY COPYRIGHT COMMITTEE**

1. The University shall have a Copyright Committee for each Campus that shall consider and investigate disputes among administrators, faculty, or staff and shall recommend appropriate solutions to the President. The committee's responsibilities shall include, but not be limited to, disputes concerning:

   a. Ownership of copyright; and

   b. Terms of commissions.

2. The Copyright Committee of each campus shall have as its members:

   a. One member appointed by the President for a four-year term;

   b. One student member appointed by the Graduate Student Senate for one year;

   c. Two staff members, one appointed by the President, one appointed by the Staff Senate, all appointments are for three years; and

   d. Three faculty members with two appointed by the Faculty Senate and one by the President. All appointments are for three-year terms. Tie votes will be settled by chair of Faculty Senate, who shall be an ex-officio member of the committee. Each member of the committee shall have one vote. The committee shall keep its own records, determine its own procedures, and elect its own chair who shall report to the President. The committee also may review this policy from time to time and may recommend changes to the President.
COMPLIANCE POLICIES
University Compliance and Quality Improvement Program

3.30

ADOPTION OF COMPLIANCE AND QUALITY IMPROVEMENT PROGRAM

(A) PURPOSE OF THE PROGRAM
The University is committed to the highest standards of ethics, honesty, and integrity and to compliance with all applicable laws and regulations. The purpose of this Compliance and Quality Improvement Program (the “Program”) is to call the attention of persons associated with the University to some of the laws and regulations applicable to academic institutions. The Program is intended to (a) promote legal and ethical behavior in the academic context and (b) prevent and detect violations of law. The Program is intended to provide for more effective and efficient compliance efforts and oversight.

(B) PRE-EXISTING STANDARDS AND PROCEDURES
In addition to this Compliance and Quality Improvement Program, the University has established and maintains various practices, policies, and procedures which are incorporated into the Program. This Program does not supersede or diminish any other policy or program of the University that, in whole or in part, also addresses compliance issues, unless such other policies or programs are inconsistent with this Program.

(C) COMPLIANCE WITH OTHER LAWS
University employees are required to comply with all applicable laws and regulations, whether or not specifically addressed in the Program. The standards of conduct set forth in this Program cannot cover every legal situation. It is the responsibility of each University employee to act honestly and with integrity in all dealings and to seek appropriate guidance when necessary.

(D) MODIFICATION OF THE PROGRAM
This Program will be periodically updated or otherwise modified by the Board as necessary. In addition to this document, the University will periodically distribute memoranda or other policies, which supplement the Program.

(E) GENERAL APPLICATION
This Program applies to all University colleges, departments, and employees that:
(1) submit claims for reimbursement of medical services;
(2) perform human and/or animal research; and/or
(3) handle or work with or around hazardous, controlled substances and/or radioactive materials.

3.30.2

OFFICE OF COMPLIANCE

(A) GENERAL PURPOSE
The University’s Office of Compliance, under the direction of the Director of Compliance, is responsible for overseeing, monitoring, and assisting the University in its efforts to
(1) raise awareness regarding legal and ethical issues;
(2) improve compliance training and quality improvement and review functions; and
(3) ensure adherence to the highest standards of conduct.

(B) SPECIFIC PURPOSES
In addition to the general purpose stated above, the Office of Compliance will coordinate the University’s efforts to:

1. Inform University employees about the Standards of Conduct and improvement;
2. Implement and conduct training programs where needed and/or monitor existing training programs;
3. Perform and/or arrange periodic compliance/quality improvement reviews;
4. Conduct investigations of compliance complaints in coordination with the applicable University department and/or officer;
5. Maintain a reporting and question hotline for compliance matters;
6. Serve as a resource to the University on matters of compliance;
7. Assist with the correction of compliance concerns; and
8. Draft and implement, in coordination with the applicable department, any necessary policies and procedures.

(C) STRUCTURE
The Office of Compliance will report to the University’s General Counsel. However, the Director of Compliance may present time-sensitive compliance issues or concerns directly to the President or the Board of Regents.

3.30.3 ADVISORY COMMITTEE

(A) ESTABLISHMENT OF COMMITTEE
The University shall establish a Compliance Advisory Committee consisting of:
1. the Senior Vice President and Provost – Norman Campus;
2. the Senior Vice President and Provost – Health Sciences Center;
3. the Vice President for Health Affairs and Associate Provost – Health Sciences Center;
4. the Vice President for Research – Norman Campus;
5. the Vice President for Research – Health Sciences Center;
6. the Associate Vice President for Clinical Research;
7. the Vice Presidents for Administration and Finance; and
8. any other University employees designated from time to time by the General Counsel.

(B) PURPOSE OF COMMITTEE
The Compliance Advisory Committee will meet on a periodic basis to:
1. provide advice and assistance to the Director Compliance;
2. discuss matters of policy applicable to the areas covered by the Program; and
3. receive reports from the Director of Compliance regarding the activities of the Office of Compliance and developments regarding compliance issues.

The text below is approved Regents Policy for the Norman Campus but is printed in its entirety only in the Norman Campus Faculty Handbook.

3.30.4 STANDARDS OF CONDUCT

(A) INTRODUCTION
The Standards of Conduct (“Standards”) is a non-exclusive compilation of guidelines regarding ethical and legal standards that all University employees are expected to follow when performing services for or on behalf of the University that are related to the areas covered by this Program. The Standards shall be made available in the Office of Compliance and on the University’s website.

(B) HIRING AND RETENTION
The University will not hire or retain as an employee independent contractor or agent or health care professional it knows to have been convicted of a criminal offense related to health care or who is
(C) CODING AND BILLING STANDARDS AND PROCEDURES

(1) Billing in General
Honesty and accuracy in billing and in the making of claims for payment by a Federal Health Care Program, or payment by any third party payer, is vital. Each health care professional employed by the University is expected to monitor compliance with applicable billing rules. No University employee shall submit, authorize or sign a false claim for reimbursement in violation of applicable laws and regulations. Claims for the provision of services and/or supplies should be submitted only by the University department or college that generated the charges unless an alternative billing arrangement has been approved by the Director of Compliance and the Vice President for Health Affairs and Associate Provost, Health Sciences Center.

(2) Billing and Coding
University employed health care professionals will refrain from any of the following practices and work to identify and correct instances in which mistakes have occurred in the following areas:
(a) Billing for items or services not rendered or not provided as billed;
(b) Submitting claims for equipment, medical supplies and services that are not reasonable and necessary;
(c) Double billing resulting in duplicate payment;
(d) Billing for non-covered services as if covered;
(e) Knowingly misusing provider identification numbers, resulting in improper billing;
(f) Unbundling (billing for each component of the service instead of billing or using an all-inclusive code);
(g) Failure to properly use coding modifiers;
(h) Falsely indicating that a particular health care professional attended a procedure;
(i) Clustering (billing all patients using a few middle levels of service codes, under the assumption that it will average out to the appropriate level of reimbursement);
(j) Failing to refund credit balances; and
(k) Upcoding the level of service provided.

(3) Billing to Receive Denial
A University college or department may bill Medicare in order to receive a denial of services but only if the denial is needed for reimbursement from a secondary payer. The Medicare claim submission should indicate that the claim is being submitted for the purpose of receiving a denial in order to bill a secondary insurance carrier.

(4) Waiver of co-payments and deductibles
The University employed health care professionals will not waive co-payments or deductibles except to the extent consistent with applicable laws, regulations, and guidance issued by the Office of Inspector General. Permissible waivers may include, but are not necessarily limited to, waiver based on indigency and contractual write-offs and discounts.

(5) Billing and Coding Queries
Billing and Coding staff shall be able to communicate with and receive communications from University employed health care professionals at all times. Billing and Coding staff will not submit claims for reimbursement until all coding questions have been satisfactorily answered and appropriate documentation has been submitted by the appropriate health care professional.

(6) Use of Consultants
From time to time the University may retain consultants to provide reimbursement and/or coding assistance. Such consultants may not be paid on a percentage based upon the increase in reimbursement to the University or one of its departments or colleges (i.e. a contingent fee contract).

(7) Documentation
Claims for payment will be coded and billed based on the documentation contained in the patient’s medical record. University employed health care professionals will appropriately document the services and supplies provided to, or the diagnosis and treatment of, each patient.

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and will complete medical records in a timely manner. Medical record documentation must be complete and legible.

(D) ANTI-KICKBACK STATUTE AND SELF-REFERRAL PROSCRIPTIONS

(1) Anti-Kickback Statute
No University employed health care professional or University department or college may pay or accept a payment to induce the referral of a patient in violation of the federal or state anti-kickback statutes. No one acting on behalf of the University or one of its departments or colleges may offer gifts of nominal value, loans, rebates, services, or payment of any kind to a referral source or to a patient without consulting the Director of Compliance. A number of safe harbor regulations have been adopted under the Federal Anti-kickback Statute. Analysis of an activity under the Anti-kickback Statute and its safe harbors is complex and depends upon the specific facts and circumstances of each case. University employees should not make unilateral judgments on the availability of a safe harbor for a financial transaction, payment practice, discount or other financial arrangement. Such situations must be brought to the attention of the Director of Compliance prior to implementation.

(2) Self-Referral Proscription
The Physician Self-Referral Statute more commonly known as “Stark II” prohibits a physician’s referral of a patient for a designated health service to an entity with which the physician has a financial relationship unless an exception is met. Compensation and ownership relationships with physicians, including physician employment and independent contractor arrangements, must satisfy an exception to Stark II. Analysis of whether an exception is met depends upon a number of specific facts. University employees should not make a unilateral judgment on the availability of an exception. The responsibility for evaluating the availability of an exception lies with the University’s Director of Compliance.

(3) Physician Recruitment
The recruitment and retention of physicians requires special care to comply with applicable laws and regulations. Each recruitment package or commitment must be in writing and consistent with applicable laws and regulations. New or unique recruitment arrangements must comply with Board of Regents policy and must be reviewed by the Director of Compliance in consultation with the University’s Office of Legal Counsel before a formal offer is made.

(E) GIFTS AND GRATUITIES

(1) Gifts from Patients
University employed health care professionals are prohibited from soliciting tips personal gratuities or gifts from patients and from accepting monetary tips or gratuities. Health care professionals may accept non-monetary gratuities and gifts of nominal value from patients. If a patient or another individual wishes to present a monetary gift, he/she should be referred to the University Development Office. When an employee receives a gift which violates this policy, the gift should be returned to the donor and reported to the Director of Compliance.

(2) Gifts Influencing Decision-making
University-employed health care professionals shall not accept gifts, favors, services, entertainment, or other things of value to the extent that decision-making or actions affecting such employee may be influenced. Gifts may be received by University-employed health care professionals when they are of nominal value and they could not reasonably be perceived as an attempt to affect the judgment of the recipient. For example, token promotional gratuities from suppliers, such as advertising novelties and food, are not prohibited under this policy. The offer of giving of money, services, or other things of value with the expectation of influencing the judgment or decision making process of any purchaser, supplier, customer, government official, or other individual by University employee, department, or college is prohibited.

(3) Gifts to Referral Sources
Gifts of nominal value may be provided to a referral source if made without intent to induce a referral. If a gift is to be made to a referral source which will result in that individual receiving gifts valuing over $300.00 in a calendar year, that gift must be approved in advance by the Director of Compliance. Cash gifts to referral sources are prohibited. Non-cash gifts are
permissible only if made without regard to the volume of business received from the referral source. No University funds may be used to provide gifts to referral sources.

(F) UNLAWFUL ADVERTISING
Neither the University nor the departments and colleges of an employed health care professional will use the names, abbreviations, symbols, or emblems of the Social Security Administration, Center for Medicare Services (formerly the Health Care Financing Administration), Department of Health and Human Services, Medicare, Medicaid or any combination or variation of such words, abbreviations, symbols or emblems in a manner that conveys the impression that the advertised item or service is endorsed by such government agencies.

(G) CONFIDENTIALITY OF PATIENT INFORMATION
University employees shall maintain the confidentiality of individually identifiable health information in accordance with the Health Insurance Portability And Accountability Act Privacy Regulations and all other applicable laws and regulations and to adhere to the University’s policies and procedures implementing such laws and regulations.

(H) ENVIRONMENTAL HEALTH AND SAFETY/RADIATION SAFETY
(1) Workplace Health and Safety
The University wants all employees to work in a safe and healthy environment. All University employees must perform their jobs in compliance with all applicable institutional policies and state and federal laws and regulations relating to the protection of workers’ safety. Employees must become familiar with the worker safety laws and regulations which apply to their jobs. Employees should seek advice regarding workplace safety and compliance issues from their supervisors or the Environmental Health and Safety Office. Each employee is responsible for advising the employee’s supervisor or the Environmental Health and Safety Office of any serious situation presenting a danger of injury so that timely corrective action may be taken.

(2) Protection of the Work Environment
All University employees must manage and dispose of hazardous chemical, radioactive, and other wastes in a way that maximized protection of human health and the work environment and is in accordance with all applicable local, state, and federal laws and regulations. All employees must be trained to perform their duties and conduct their activities in an environmentally responsible manner in accordance with applicable laws, regulations, and University policies.

(I) RESEARCH
(1) Protection of Human and Animal Subjects
The University is committed to dealing ethically with the human and animal subjects which participate in research projects conducted by University faculty, staff, and students or performed using University property. Employees involved in human subject or animal research must comply with all federal and state statutes and governing regulating such research and must adhere to all University policies and procedures regarding research.

(2) Research Financial Issues
Research costs and budgets must be prepared and submitted accurately and in accordance with:
(a) generally accepted accounting principles,
(b) OMB Circular A-21, or
(c) the terms set forth in an industry-sponsored or government grant or contract, whichever is applicable, in addition to applicable statues and regulations. Financial conflicts of interest will be reported in accordance with University policy.

(3) Scientific Misconduct
The University will not tolerate scientific misconduct which includes, but is not limited to:
(a) plagiarism;
(b) falsification;
(c) fabrication; and
(d) other unethical scientific practices. Scientific misconduct is further defined in and governed by other University policies.
(J) EMPLOYEE RESPONSE TO INVESTIGATIONS/AUDITS
If a University employee is contacted by a government investigator or auditor, the employee should fully and appropriately cooperate. The Employee Investigative and Audit Response Guidelines are available from the Office of Compliance and provide guidance to employees on an appropriate response to such contacts.

3.30.5

ADMINISTRATION OF THE COMPLIANCE PROGRAM

(A) ADHERENCE TO THE COMPLIANCE PROGRAM
It is intended that all University employees subject to this Program carry out their duties for the University in a manner that is consistent with the Program. Conduct that does not comply with the Program

(1) is not authorized by the University and
(2) may subject the employee to corrective action pursuant to Section 7.3. Such corrective action also may apply to an employee’s supervisor or department chair, as applicable, who

(a) directs or approves the employee’s improper actions;
(b) is aware of the improper actions, but does not appropriately correct such actions; or
(c) otherwise fails to exercise appropriate supervision.

(B) QUESTIONS ABOUT THE COMPLIANCE PROGRAM
If any question arises as to (i) the existence of, interpretation of, or application of any law or regulation which applies to an area or matter that is covered by this Program or (ii) whether any action complies with the Program, a University employee should present that question to such employee’s immediate supervisor. If the question cannot be addressed in that manner because the supervisor is absent, does not know the answer, does not respond in a timely manner, or is suspected of being involved in or condoning the activity, the question should be addressed to the Director of Compliance. Legal issues should be referred to the Office of Legal Counsel. The University encourages employees not to guess, but to ask for clarification from the Director of Compliance if there is confusion or a question with regard to the Program, the law, or a policy or procedure.

(C) CORRECTIVE ACTION
The Program includes corrective action for University employees who have failed to comply with

(1) the Program;
(2) other University policies and procedures; or
(3) applicable federal and state laws and regulations. Corrective action also may be appropriate where an employee should have detected, but failed to detect a violation. Any violation of applicable federal or state laws or regulations or deviation from the appropriate standards of conduct as set forth in this program will subject an employee to corrective action, which may include, but is not limited to, any of the following:

(a) Mandatory training,
(b) Counseling session,
(c) Corrective action plan,
(d) Required leave,
(e) Reduction in salary,
(f) Demotion,
(g) Suspension,
(h) Abrogation of tenure,
(i) Suspension of billing privileges, if a healthcare provider, and/or
(j) Termination of employment or contractual relationship.

(D) EXIT INTERVIEWS
The University shall attempt to conduct an exit interview for all employees performing services for the University that are covered by this Program who terminate employment for any reason. The employee's supervisor should notify Human Resources when an employee notifies him/her of the employee's termination. Upon receipt of such notice, Human Resources should send the employee the Exit Interview Questionnaire which should be returned to Human Resources. Exit interview forms which raise compliance issues should be copied and routed to the Director of Compliance.

(E) SELF-REPORTING
To be effective, the Program depends to some extent upon self-reporting and acceptance of responsibility by University employees who may have made mistakes out of lack of knowledge or inattention. To the extent a University employee self-reports a potential wrongdoing, both the self-reporting and the acceptance of responsibility will be taken into account by the University as a mitigating factor in determining the form of corrective action to be taken. University employees can use the Hotline described in Section 10.2.4 of this Program to self-report or they may contact the Director of Compliance directly.

3.30.6

TRAINING AND EDUCATION
(A) GENERALLY
Education and training is a critical part of the Program. Education and training will involve not only new employees, but all existing employees as needed. The University will require participation by all employees in appropriate training programs. University officers, department chairs, and other management personnel will be involved in the educational process by assisting in
(1) identifying areas that require training and
(2) the training process. The Director of Compliance will be actively involved in the design and implementation of training and educational programs.

(B) MANDATORY TRAINING
An employee’s failure to attend a mandatory training session will subject that employee to corrective action as discussed in Section 7.3 above. The supervisor or management employee responsible for conducting the training will maintain attendance records and will make such records available to the Director of Compliance at the Director’s request.

(C) DISSEMINATION OF INFORMATION
Upon the adoption of this Program by the Board of Regents, the University will distribute to employees;
(1) a letter from the President discussing the University support of the Program; and
(2) the Standards of Conduct summarizing the Program. From that point forward, Human Resources and the affected departments will provide a copy of the President’s letter and the Standards of Conduct to persons at the same time an offer of employment is made and such individuals will be required to execute a Certification and Agreement of Compliance as a condition of employment. On at least an annual basis, employees will be reminded of their obligations under this Program and their duty to report suspected violations of the Program and applicable statues and regulations through a written or electronic communication from the Office of Compliance.

3.30.7

MONITORING AND COMPLIANCE REVIEWS
(A) GENERALLY
Regular monitoring and review of compliance activities is a feature of the Program. There will be regular reporting to University administration, the President and the General Counsel.
B) MONITORING TECHNIQUES

The University will utilize regular and periodic compliance reviews. The compliance reviews will focus on these areas within the University which have substantive exposure and which otherwise put the University at risk. If it is determined that any error or deviation is cause for improper procedures, misunderstanding of the rules, including fraud or other systemic problems, The Director of Compliance, in consultation with the General Counsel, should take immediate steps to correct the problem. To the extent that monitoring and auditing discloses that variations or deviations were not detected in a timely manner due to deficiencies in the Program, the Program will be modified.

1. Monitoring techniques can take a variety of forms, including, but not limited to:
   (a) onsite visits;
   (b) document reviews; and
   (c) personal interviews. The Director of Compliance will have access to
   (d) any pertinent records and
   (e) relevant personnel. Cooperation with the Director of Compliance is mandatory.

C) ADVICE FROM THE GOVERNMENT AND ITS AGENTS

To the extent the University requests advice, or receives advice, from the government or its agents, the University will document and retain a record of such request and response or unsolicited advice received. Each employee receiving such advice will be responsible for providing a copy of the advice, if written, or a memorandum describing the advice, if oral, to the Director of Compliance. Every effort should be made to obtain such advice in written form. The Director of Compliance will maintain a record of advice received.

3.30.8

RESPONSE AND PREVENTION

(A) REPORTS OF WRONGDOING

All University employees have a duty under this Program to report possible wrongdoing or suspected violations of applicable federal and state laws and regulations. The University has an open door policy available to all employees acting in good faith to encourage communication, dialogue and the reporting of incidents of potential wrongdoing or suspected violations. A “suspected violation” occurs when an employee has reasonable cause to believe that a violation of law or regulation applicable to an area covered by this Program or a violation of this Program has occurred or will occur. The University will not retaliate or discriminate against any employee who makes a good faith report of a suspected violation regarding the observed conduct or actions. While the University will strive to maintain the confidentiality of an employee’s identity, it may become necessary for such employee’s identity to become known or revealed during the investigation process. It will be a violation of this Program to make a report of a suspected violation which is knowingly false.

The reporting methods set forth below apply to reports of suspected violations of law or regulation which apply to areas and matters covered by this Program or to suspected violations of this Program. Other issues should be reported through the University’s normal reporting structure.

(B) METHODS OF REPORTING

(1) Immediate supervisor

The first option for reporting suspected violations of law or regulation is to make the report to the employee’s immediate supervisor who can in turn, work with the Director of Compliance to investigate and rectify any problems. If reporting to the supervisor is inappropriate because the supervisor is absent, does not know the answer, does not respond in a timely manner, or is suspected of condoning the activity, reports can be made pursuant to one of the other options set forth below.

(2) Director of Compliance

The University desires to establish an open line of communication between all employees and the Director of Compliance to provide for the successful implementation and operation of the
(3) Hotline

If an employee wishes to remain anonymous while reporting potential wrongdoing, an employee may call the Helpline, which will be available 24 hours a day, at (405) 271-2223 or toll free at (866) 836-3150. The call will not be traced and the person need not give his or her name.

(C) RESPONDING TO REPORTS

(1) When a report of a suspected violation is received on a matter that does not concern compliance issues, that report will be referred to the appropriate University department. Whenever the Director of Compliance receives a report of a suspected violation from any source that may reasonably constitute a criminal or civil offense, the Director of Compliance will promptly conduct a preliminary review of such allegation. Advice from the Office of Legal Counsel may be sought to determine the seriousness of the allegation. The preliminary review should be completed within a reasonable time of the receipt of the report. If the Director of Compliance reasonably determines that it is necessary to conduct an internal investigation of the alleged misconduct, the Director of Compliance will conduct such an internal investigation in coordination with the applicable department or University officer. The Director of Compliance will notify the appropriate department or University officer, in addition to the General Counsel, prior to initiating any investigation. The internal investigation should be completed within a reasonable time of the initial report. When circumstances so require, the Director of Compliance will proceed more quickly than the time standards set forth herein or authorize additional time to complete the investigations. All internal investigations and their results will be reported to the General Counsel.

(2) Employee under investigation may be removed from their current work activity and put on administration leave pending completion of an investigation or preliminary review upon action of the Director of Compliance or the General Counsel, to the extent permitted by applicable University policies and procedures.

(3) The Director of Compliance should take appropriate steps to secure or prevent the destruction of documents and other evidence relevant to the investigation. Advice from the Office of Legal Counsel regarding any such investigation may be obtained if necessary. Once an investigation is completed, if corrective action is warranted, it should be immediate and imposed in accordance with the University’s Staff and Faculty Handbooks.

(Regents, 1-01, 1-29-02, 12-2-02, 1-27-04)

3.31

ENGLISH LANGUAGE REQUIREMENTS FOR INDIVIDUALS FOR WHOM ENGLISH IS NOT THE NATIVE LANGUAGE AND WHO ARE ENGAGED IN INSTRUCTIONAL ACTIVITY

The ability to speak and write clearly in English is essential for successful communication with students. Additionally, state law (70 O.S. § 3224) requires that faculty and instructional staff appointed to positions involving teaching or other interaction with students must be proficient in English. For purposes of this policy, English proficiency is defined as the ability to effectively communicate orally, aurally, and in writing with students.

To ensure the oral, aural, and written English proficiency of faculty members, instructional staff, and graduate or undergraduate teaching assistants, the University has established the following requirements and procedures.

3.31.1
INSTRUCTIONAL ACTIVITY

(A) All individuals for whom English is not the native language must be proficient in English before being appointed to positions that involve any instructional activity and/or interactions with students except as exempted in 3.29.1(b) and 3.29.2(c). Interaction with students includes, but is not limited to:

(1) Any involvement in a classroom, laboratory course, or tutorial situation;

(2) Any office hours, help or review sessions, or other meetings scheduled in conjunction with a course; and

(3) Any participation in non-credit preparatory or skills improvement classes or laboratories.

(B) Instruction of courses to be taught predominantly in a foreign language are exempt from these requirements.

3.31.2

NON-TENURE TRACK INSTRUCTIONAL STAFF

(A) Individuals other than tenure-track, tenured or renewable term faculty members must be certified as proficient in English through the English Assessment Program. Non-tenure track instructional staff with appointments that include, but are not limited to, the following must be certified through the English Assessment Program as proficient in English:

(1) Instructors
(2) Lecturers
(3) Adjunct Faculty Members [except as exempted in 3.29.2(e)]
(4) Visiting Faculty Members [except as exempted in 3.29.2(e)]
(5) Teaching Assistants whose duties involve any interaction with students.

(B) To receive such certification, these individuals must pass Oral, Aural, and Written Proficiency Examinations. These certification requirements are not related to TOEFL scores or other admission requirements. (Standards for admission are published in the General Catalog and Graduate College Bulletin.)

(C) CERTIFICATION TO INSTRUCT

Certification to Instruct will be required of all appointees who:

(1) Serve as the instructor of record for any course,
(2) Conduct laboratory sections,
(3) Conduct discussion sections,
(4) Conduct any course with a designated course number,
(5) Conduct any instructional activity which results in a grade (or portion of the final grade) given by the appointee,
(6) Conduct any instructional activity in which new material is presented, or
(7) Conduct any instructional activity in which attendance by students is required.

For Certification to Instruct, the following evidence of proficiency will be required:

(a) ORAL/AURAL REQUIREMENT

A score of 45 or higher on the SPEAK Test administered by the English Assessment Program,
OR
An Internet-Based TOEFL score of 23 or higher on the Speaking section that includes a score of Good on at least one of the Speaking Skills subsections.
AND
A grade of Pass to Instruct on the TEACH test.
(b) WRITTEN REQUIREMENT
A grade of Pass to Instruct on the English Assessment Program Written English Proficiency Examination,
OR
A grade of 6.0 on the Educational Testing Service TWE,
OR
A score of 30 on the Writing Skills section of the Internet-Based TOEFL (iBT)
OR
An official transcript of the student’s college record showing an undergraduate degree from an accredited four-year American college or university. The transcript must show the standard (not ESL) undergraduate two-semester sequence of English composition courses with grades of “B” or better taken at a four-year accredited American college or university.

(D) CERTIFICATION TO SUPPORT
Certification to support will be required of all appointees who conduct any instructional activity which allows direct contact between the appointee and any student, other than those activities described for appointees with Certification to Instruct. Appointees with Certification to Instruct may also conduct Support activities. Examples of Support activities are:
(1) Help sessions,
(2) Office hours,
(3) Individual discussions of homework assignments or examinations, or
(4) Individual help in computer laboratories.

For Certification to Support, the following evidence of proficiency will be required:

(a) ORAL/AURAL REQUIREMENT
A score of 45 or higher on the SPEAK Test administered by the English Assessment Program
OR
An Internet-Based TOEFL score of 23 or higher on the Speaking section that includes a score of Good on at least one of the Speaking Skills subsections
AND
A grade of Pass to Support on the TEACH test.

(b) WRITTEN REQUIREMENT
A computer-based TOEFL score of 213,
OR
A paper-based TOEFL score of 550,
OR
An Internet-Based TOEFL (iBT) score of 79,
OR
A grade of Pass to Instruct or Pass to Support on the English Assessment Program Written English Proficiency Examination,
OR
A grade of 4.5 or higher on the Educational Testing Service TWE,
OR
A master’s degree from an accredited four-year U.S. college or university
OR
An official transcript of the student’s college record showing an undergraduate degree from an accredited four-year U.S. college or university. The transcript must show the standard (not ESL) undergraduate two-semester sequence of English composition courses with grades of “B” or better taken at a four-year accredited American college or university.

(E) Adjunct and visiting faculty from industry, government, and other institutions may be exempted from the English Assessment Program, provided that the college dean certifies in writing to the Senior Vice President and Provost that the instructor is proficient in English.
3.31.3

TENURED, TENURE-TRACK, AND RENEWABLE TERM FACULTY
(A) The English proficiency of non-native speaker applicants for all faculty positions must be closely scrutinized and evaluated during the lecture-interview stage of the faculty recruitment process, taking into account the level and maturity of the students the faculty member will be expected to teach.

(B) For all newly appointed tenured, tenure-track, and renewable term faculty for whom English is not the native language, (1) a written statement from the chair or director of the academic unit verifying that the instructor is proficient in English and (2) a copy of the letter of evaluation based on classroom observation (see Section 3.29.4) shall be submitted to the Senior Vice President and Provost no later than the end of a new instructor's second semester of appointment.

3.31.4

CLASSROOM OBSERVATION
In addition to the procedures described in 3.29.2 and 3.29.3, colleges, schools, and departments are asked to use actual classroom observation to evaluate the English proficiency of faculty, instructional staff, and graduate/undergraduate teaching assistants for whom English is not the native language. Although each academic unit is allowed to devise its own individual approach to assessment, such evaluation should include in-class observation of the instructor's proficiency in English usage, a letter from the observer evaluating the instructor's proficiency and certifying competence if it is sufficient, and a plan for dealing with a lack of proficiency if it should appear.

(Senior Vice President and Provost, 3-24-87, 10-28-87, 6-1-95)

3.31.5

APPEALS
For the policy regarding student appeals concerning the English proficiency of instructors, see Section 4.17.

(Senior Vice President and Provost, 3-24-87, 10-28-87, 6-1-95, 2-25-05)

3.32

INSTRUCTIONAL EVALUATION -- NORMAN CAMPUS
As recommended by the Norman Campus Faculty Senate, there shall be a program of continuing instructional evaluation on the Norman Campus that includes course evaluation by students. Each college or other Provost-direct unit offering instruction shall maintain a process of evaluation suitable to the college's or academic unit's instructional activities.

3.32.1

PROCESS
This evaluation process shall 1) provide feedback to the instructor on his/her instruction and 2) provide information to chairs, directors, and Committee A in order to assess the quality of instruction within the academic unit and allow for appropriate recognition of excellent instruction.

(Faculty Senate, 2-14-72; Regents, 12-14-72, 1-27-04)

3.32.2

PUBLICATIONS OF COURSE EVALUATIONS

Norman Campus – Faculty Handbook
Upon written consent of individual faculty members, UOSA will assemble five questions selected by each college and make them available to students by publication. For specific information about this process, contact your college dean's office or UOSA.

(UOSA, 10-20-92; Faculty Senate, 3-14-93; President, 3-18-94)

3.33

FACULTY MENTOR PROGRAM
Retention of junior faculty through the tenure process is a major goal of the University. A faculty mentor program has been designed to assist all new junior faculty members to build research skills, gain access to a network of researchers, and improve their chances of attaining tenure. Senior faculty mentors are identified and matched with participating junior faculty within departments and across disciplines. The mentors help junior colleagues learn the institutional and system networks and maximize their use for personal development.

All new junior faculty members are invited in their letter of offer from the Senior Vice President and Provost to participate in the program on a voluntary basis. Additional information is available at the departmental and college levels.

(Affirmative Action Plan, 1997)

3.34

HUMAN SUBJECT RESEARCH POLICY
Each person who is or may be performing research involving human subjects should become familiar with the Standard Operating Policies and Procedures for the Protection of Human Participants in Research Activities that is available at http://www.ouhsc.edu/compliance. These documents pertain to investigations conducted at or sponsored by the University of Oklahoma Norman Campus including research (1) performed by faculty, staff, and/or students; (2) performed utilizing the University of Oklahoma Norman Campus facilities or (3) otherwise supported by University resources or facilities that are under the control of Norman Campus officials. All investigators conducting research involving human participants at OU are required to complete the designated training related to the ethical conduct research.

Applications for the use of human participants in research will be reviewed by the Institutional Review Board. The chair(s) of these board(s) shall be designated by the Director of Compliance in consultation with the Director of the Office of Human Research Participant Protection and appointed by the Provost.

(Vice President for Research, 7-1-81, 11-15-93, 10-23-00, Director of Compliance, 3-17-05)

3.35

INSTITUTIONAL ANIMAL CARE AND USE COMMITTEE
The Institutional Animal Care and Use Committee (IACUC) has responsibility for overseeing all use of animals whether for teaching or research, by faculty, students, and staff of the Norman Campus and by non-University persons using University facilities. Oversight responsibility extends to field as well as laboratory research and teaching and to facilities other than those belonging to the University of Oklahoma if University personnel are involved in the work. The function of the Committee is to insure that all care and use of animals follow the guidelines established by the United States Department of Agriculture, the Office of Protection from Research Risk of the National Institutes of Health, and other applicable regulations of national, state, and local agencies. All proposals for animal use in any capacity must be approved by IACUC before the project is initiated. Forms for submitting proposals to IACUC for review may be obtained by contacting Laboratory Animal Resources at 325-2609.

(IACUC Chair, 11-15-93)

3.36
The University is committed to providing a safe and healthy environment for the entire University community and to complying with all applicable federal and state laws and regulations pertaining to occupational and environmental safety. Academic and administrative personnel with supervisory and teaching roles shall ensure that procedures pertaining to injury prevention, protection of University assets, and protection of the environment are developed and followed. All University faculty, staff, and students are responsible for following safe working practices, obeying health and safety rules and regulations, and working in a way that protects their health, the health of others, and does no harm to the environment.

University policies and procedures have been established to provide compliance procedures for environmental and occupational health and safety regulations established by state and federal regulatory agencies; including the Oklahoma Department of Labor, the Oklahoma Department of Environmental Quality, and the Environmental Protection Agency. Each person who works with hazardous materials and/or chemicals, whether in a laboratory or other workplace, should be trained on these policies and procedures, and take appropriate actions to safeguard health and property. For example, persons who work with chemicals in a laboratory should be familiar with the University Chemical Hygiene Plan, persons who handle human blood or tissue should be familiar with the Bloodborne Pathogens Policy, and persons who work with radioactive materials or radiation emitting devices should also be familiar with the University Radiation Safety Manual.

Questions regarding the use, management, and disposal of chemicals within laboratories should be directed to the Environmental Health & Safety Officer at 325-5147 or the Environmental Health & Safety website at http://www.ou.edu/ehso. Additional questions involving the use of radioactive materials and x-ray producing devices should be directed to the Radiation Safety Officer at 325-0820.

(Vice President for Administration and Finance, 5-27-88, 10-1-93, 12-1-97, 10-31-00, 6-22-01, Director of Compliance, 3-31-05)
4.

STUDENT-FACULTY POLICIES AND INFORMATION

4.1

STUDENT CODE
The University of Oklahoma Student Code, which deals with the responsibilities and conduct of students on the Norman Campus, is approved by the University Regents. Copies may be obtained from the UOSA Office in the Conoco Wing, Room 181; the Office of Judicial Code, Goddard Health Center room 166; or the Dean’s offices; the Office of Student Affairs, Room 265, Student Union; and University Housing and Food Services in Walker Center. It can also be accessed online at www.ou.edu/judicial/code.htm

(Vice President for Student Affairs, 9-26-84, 5-2-88, 10-21-97, 11-02-00, 3-3-05)

4.1.1

PROCEDURES TO ADDRESS STUDENT DEATHS
All academic units are asked to immediately notify the office of the University Vice Present for Student Affairs at 325-3161 upon notification of a student death. The procedures are detailed here at http://sa.ou.edu/images/stories/StudentDeathPolicy.PDF

(President, 5-28-08)

4.2

ADVISEMENT OF ENTERING STUDENTS
Entering freshmen and transfer students who have not met the admission requirements of an undergraduate degree-recommending college are assigned to the University College for academic advisement and orientation.

To be admitted to a degree-recommending college, a student must successfully complete 24 hours of credit and have the required OU and cumulative retention grade point average required for entrance into the specific degree-recommending college.

(Dean, University College, 8-1-80; Senior Vice President and Provost, 1-21-93, Dean, University College, 3-1-05)

4.3

ADVISEMENT OF STUDENT ORGANIZATIONS
A student group may become a registered student organization (eligible to use University facilities and to apply to UOSA for funding) by making application for registration through the Center for Student Life. The organization must obtain an adviser who is a full-time member of the faculty or staff, except in the case of Campus Activities Council organizations, which are sponsored by the Student Life Office. Procedure for becoming a registered organization is outlined in the University of Oklahoma Student Code.

The adviser should attend the meetings of the organization; be active with the group in formulating and executing its policies and program of activities, including social functions, in keeping with the purposes of the organization and functions of the University; be aware of University regulations concerning student organizations; and supervise the funds of the organization in accordance with the following regulations established by the University Regents:

4.3.1

Regulations of the Board of Regents make it mandatory for branches of UOSA and organizations determined eligible to receive student activity funds to keep their accounts in the University Bursar’s Office. All money
received must be deposited in the University account, and all expenditures must be supported by written vouchers and made by University check after approval of the faculty or staff adviser.

(Vice President for Student Affairs, 9-26-84, 10-21-97)

4.3.2

Student organizations need not register outside bank accounts. Funds generated by student groups from dues, assessments, fund-raising events, or any other revenue-generating activity could be handled through outside bank accounts or through a University account at the option of the sponsor of the student group; student groups holding fund-raising events in University facilities will be required to pay a facility fee. Student activity fee funds must be handled through University accounts.

(Regents, 3-8-73; Vice President for Student Affairs, 10-28-88)

4.4

SCHOLARSHIP AND FINANCIAL AID INFORMATION

To facilitate the responsibilities charged to the University’s Scholarship Committee in Financial Aid Services, all scholarship and financial aid information and resources awarded from any college, department, office, or other University-related entity are to be reported to the Office of Financial Aid Services in a complete and timely fashion.

(Regents 3-22-88, 1-27-04)

(A) SCHOLARSHIP REPORTING REQUIREMENTS

Financial Aid Services (FAS) is responsible for the administration of Federal, State and Institutional funds. A basic premise of need-based aid is that the total award package must not exceed the student’s financial need. Therefore, when awarding aid from Federal programs, FAS must take into account aid from other sources, which can include departmental and/or outside scholarships.

To facilitate this responsibility, Financial Aid Services has created a Notification of Awards form. University offices and departments, outside of FAS, utilize the form to report scholarships, grants, tuition waivers and fee waivers. The form includes award identification, aid ID, account number and fund name. The notification form is also used to identify international students for tax reporting purposes. This form is required of all departments/offices that make student awards.

This form once completed is submitted:

Financial Aid Services
Buchanan Hall, Room 210
Norman, Oklahoma  73019-4078
Attention: Scholarship Account Specialist
Phone Number 325-2598

(1) University Scholarship Committee

Unless otherwise defined by (a) the instrument establishing a scholarship fund or (b) by the Director of Financial Aid Services (FAS), scholarships administered by FAS and those designated to be awarded by the University Scholarship Committee, will be awarded by the Financial Aid Services Scholarship Committee. The Financial Aid Services Scholarship Committee shall consist of the Associate Director for Operations and any combination of the Associate and Assistant Directors, Sr. FA Specialists and FA Specialists authorized to evaluate applications and approve financial aid awards. Committee members will make selections according to regular meeting and processing schedules.

(2) Policy Publications and Contact Information

The Institution Scholarship Reporting Requirements and information about the University Scholarship Committee shall be printed in the Guide to Financial Aid and Scholarships. The
An instructional e-mail will be sent out annually to departments/offices explaining the reporting process.

*(Financial Aid Services, 5-18-88, 11-19-93, 10-15-97, 3-3-05)*

### 4.5 GRADING SYSTEM

The passing grades used are A, B, C, D and under certain conditions, P and S. Non-passing grades are F, U, and NP. Neutral grades are I, X, W, AW, AU, and N. An N means "No Report" and is a temporary mark.

*(Admissions & Records, 2-21-83; State Regents, 5-29-92)*

Each hour of A, B, C, and D carries a grade point value as follows: A=4, B=3, C=2, and D=1. Grades of I, F, NP, and U, as well as grades of P, S, and X, carry no grade point value and are not figured in the computation of a student's cumulative grade-point average, but credit hours to which the grade of F are assigned are included.

A, the highest grade, is given for work of exceptional quality. D is the lowest grade for which credit is given in any undergraduate college and means that, although in the judgment of the instructor credit should be allowed for the course, the degree will not be conferred upon a student whose work is all of that level. In the Graduate College, however, the grade of D is failing insofar as credit toward a degree is concerned; credit for the course will be recorded to be used only to satisfy prerequisite requirements and/or requirements for certificates.

The grades of S (meaning satisfactory) and U (meaning unsatisfactory) may be used in grading certain courses identified at the discretion of the degree-recommending college. A course selected for the S-U grading must be of a noncompetitive nature, and the entire course must be graded on this basis. In the Graduate College, grades of S and U may be used for seminar courses, and S must be used to indicate satisfactory completion of thesis or dissertation. S is the only passing grade accepted for special problems courses and individual research and directed reading courses.

*(Graduate Faculty, 4-16-57; Faculty Senate, 4-29-69; President, 8-18-69)*

The grade of X indicates that satisfactory progress is being made and is a neutral grade to be used only for thesis and dissertation research courses numbered 5980 and 6980 and for thesis and dissertation equivalent courses numbered 5880 and 6880.

*(Faculty Senate, 3-12-73; President, 3-17-73, 3-23-77)*

P (meaning pass) is used as a passing grade in a course in which a student has enrolled under the "pass-no pass" option and indicates at least C quality work. NP is used to indicate no credit in a "pass-no pass" option enrollment. (For the complete "Pass/No Pass Grading Regulations," see the current issue of the Class Schedule.)

*(Faculty Senate, 2-13-76; President, 1-4-77)*

I is a neutral mark and means incomplete. It is not an alternative to a grade of F, and no student may be failing a course at the time an I grade is awarded. To receive an I grade, the student should have satisfactorily completed a substantial portion of the required course work for the semester. The instructor will indicate to the student and to the Office of Academic Records what must be done to complete the course and set a time limit appropriate to the circumstances. However, the time limit allowed may not exceed one calendar year. (See also Graduate College "I" below.)

*(State Regents for Higher Education, 5-29-92)*

If by the end of the year no change in grade has been submitted, the grade of I will become permanent on the student's record. After a grade of I has become permanent, a student may re-enroll in the course. Credit for courses in which a student has received an I at the University of Oklahoma cannot be transferred from another institution. The foregoing time limitations concerning removal of an incomplete do not apply to graduate research and graduate problem courses.
Graduate College "I." With the approval of the instructor and Graduate College Dean, a graduate student may be granted up to a one-year extension for making up incomplete work. No petitions for extensions beyond one year will be considered. After the incomplete work is made up, the instructor shall promptly report the new grade to the Office of Academic Records so that it can be posted to the student's transcript. In any case, the new grade must be posted to the student's transcript within one year of the deadline for making up the incomplete work (including any extension, if granted). If the new grade has not been posted within this one-year time period, the student shall have one additional year in which to file an appeal with the Graduate Dean requesting that the proper grade be posted. If no such appeal is received by the Graduate Dean within this second year time period, the grade of "I" shall become permanent.

F (meaning failure) is given to a student who must repeat a course to receive credit for it. A student presenting credit from another institution for a course which was previously failed at the University of Oklahoma shall not receive credit for such course except through validation by the department in which the course was failed. (This text was abstracted from documentation on Grades and Grade Reporting compiled by the Office of Admissions and Records dated 3-68 and revised 11-73.)

"W" (meaning withdrawal) is a neutral grade given to a student who withdraws from a course with a passing grade.

A student who withdraws from a course during the first two weeks of classes (first week of a summer term) receives no grade; however, a student who withdraws from all classes in the first two weeks of classes (first week of a summer term) receives the grade of "W."

From the third week (the second week of a summer term) through the tenth week (fifth week of a summer term), any student who withdraws from a course will receive a grade of "W."

After the tenth week (fifth week of a summer term) through the remainder of the term, withdrawals are not permitted except by direct petition to the dean of the college in which the student is enrolled. The student who withdraws with permission of the dean will receive a final grade of "W" or "F" at the discretion of the instructor.

Complete withdrawal from the University. A student who withdraws from all classes during the first ten weeks of a regular semester (first five weeks of a summer session) will receive the grade of "W" for all courses. For complete withdrawals that occur after the tenth week of class (fifth week of summer session), a final grade of "W" or "F" will be assigned by the instructor of each course.

A student is allowed only five grades of W throughout the course of his/her undergraduate career at the University. Once a student reaches this maximum number of W grades, he/she will not be allowed to drop any courses after the two-week “free drop” period.

After the five-drop limit has been reached, students with extreme, extenuating circumstances may apply for an exception to the limit on W grades through the Office of the Provost. Because complete withdrawals often stem from extenuating circumstances, complete withdrawals will not be counted against the five-drop limit.

"AW" is a neutral grade and means Administrative Withdrawal. "AW" may be assigned as a final grade for students who have never attended or did not attend past the first two weeks of a regular semester (first week of a summer term). The "AW" grade also may be used to indicate that a student has been "involuntarily" withdrawn by the institution during the designated semester for disciplinary reasons.

(Arrows and Records, 4-21-88; Senior Vice President and Provost, 2-1-83)
4.6

REPORTING OF GRADES
Final grades must be reported to the Office of Admissions and Records within 96 hours after a final examination (or final class meeting when no final examination period is scheduled). All faculty members are strongly encouraged to meet the grade reporting deadlines approved by the Faculty Senate and which are disseminated by the University Registrar at each grade reporting period.

(Faculty Senate, 11-26-62; President, 12-3-62; Senior Vice President and Provost, 12-3-82)

4.6.1

POSTING OF GRADES
In accordance with the Family Educational Rights and Privacy Act, individual students' final grades and interim class evaluations may be posted by code number (not social security number or student ID number). However, the law provides that any student may upon written request restrict the posting of grades and other such information. Forms for withholding student "directory information" are available in the Office of Admissions and Records. Class rolls and final grade report forms are marked to indicate when an individual student has submitted such a request, and it is the obligation of every faculty member to honor such a request.

(Senior Vice President and Provost, 8-19-98)

4.7

FINAL EXAMINATION REGULATIONS
Oklahoma State Regents for Higher Education calendar regulations require that those institutions that reserve the final week of the semester as a testing period shall ensure that all classes meet during the testing period. Final examinations are given at the discretion of the instructor or, in the case of multiple sections, the department in which the class is offered. When a final examination is given, the student must take the examination.

If a final examination is given, no faculty member is authorized to depart from the published examination schedule for either a class or an individual without approval, as follows: An examination for the entire class may be rescheduled only with the approval of the Academic Regulations Committee. A request for such rescheduling should be addressed to the Chair of that committee and should carry the endorsement of the department and the dean concerned. Final examinations for a class outside the period set aside under University regulations for final examinations are prohibited. An examination may be rescheduled for an individual student only when required by law, as in the case of jury duty, or in emergencies such as illness of the student, a serious illness or death in the immediate family, or an unavoidable academic conflict of compelling importance. For such a conflict to be considered as grounds for rescheduling a final examination, the activity must be directly related to the student's academic work in the University. Such rescheduling must have the approval of the instructor or instructors concerned, the department chair or chairs concerned, and the dean of the college in which the student is enrolled and should be timed in such a way to avoid compromising the integrity of the examination (Note 1). Final Examination has been defined as follows: an examination that is comprehensive in nature or that accounts for a greater proportion of the final grade than an exam given during the semester.

Normally, every course will have a final examination unless otherwise announced by the instructor (Note 2).

A student absent from a scheduled final examination, whether by permission of the dean or through sickness or other unavoidable cause, shall be given a grade of Incomplete (I) if that student's work in that course has been satisfactory until the time of absence. The Incomplete may be removed in the manner provided for the removal of Incomplete grades. In all other cases of absence from the scheduled final examination, a student may be given a grade of Failure (F).

Make-ups, Incompletes, and conflicts may be completed whenever mutually agreeable to faculty and students concerned. They should be scheduled no later than the last day of final examination week. Working students are responsible for arranging their hours to enable them to attend the final examination.
Note 1: Presidential approval given upon the understanding that in cases of extreme hardship caused by conflicting activities that do not fall within the criteria of the policy, students may petition the faculty and administration for relief.  

(President, 2-10-86)

Note 2: Exceptions:
(a) The College of Arts and Sciences requires that an examination (either a last or final examination) be given during the scheduled final examination period for each regularly scheduled undergraduate course. Independent study and pure laboratory courses are excluded.
(b) The College of Engineering and the College of Geosciences require comprehensive examinations to be given during the regularly scheduled examination periods in all undergraduate courses excluding directed readings, pure laboratory courses, and project-type design courses and seminars.

(Admissions and Records Office, 8-19-80, 4-21-88)

Uniform final examinations are listed by department and course number at the times they are scheduled to be given.

Two-hour classes that have one of their meetings on MWF will have the examination at the time scheduled for MWF classes. Those meeting both days of TR will have the examination at the time scheduled for TR classes.

Three-hour classes must follow the examination schedule. Classes meeting both Tuesday and Thursday are considered to be TR classes.

Classes meeting four or five days a week will have the final examination at the time scheduled for MWF classes with the same meeting time.

Classes meeting one day a week for more than one hour with a start before 5:00 p.m. will have the final examination during the last lecture period. Classes scheduled in this format have been scheduled with sufficient meeting time during the semester to compensate for lost time in the final examination week.

Evening Classes. Classes that begin at 5:00 p.m. or later will have the final examination during the last lecture period. Evening classes have been scheduled with sufficient meeting time during the semester to compensate for time lost in the final examination week.

(Faculty Senate, 10-10-94)

If laboratory examinations are given, they will be held during the last regularly scheduled meeting of the lab.

A student will not be expected to take more than two final examinations in one day. In cases where a student has three or more exams scheduled for the same day, instructors must offer make-up exams. The student's number of exams will be brought down to two by the following procedure.

(a) If a student has three or more exams on the same day, the instructor(s) giving the third and subsequent exams must provide make-up exams during the week designated for final exams for that semester;

(b) The student must notify the instructor or department of the third and subsequent final exams scheduled within a single day. Such notification must be given to the specific instructor or department before the end of the twelfth week of classes (sixth week of summer term).

In the event a conflict should arise from the scheduling of two or more uniform final examinations at the same time, the student will attend the examination for the class that met first during the week, according to the student's class schedule. The instructor(s) giving the second and subsequent exams must provide make-up exams during the week designated for final exams for that semester.

(University Registrar, 8-21-84, 4-21-88, 5-5-95)
UNIFORM FINAL OR DEPARTMENTAL EXAMINATIONS

Request for uniform examinations either during the semester or finals week MUST be submitted to the Academic Regulations Committee through the University Registrar for any particular semester with the request for class schedule for that same semester. Uniform departmental examinations given during the semester must be in lieu of a regularly scheduled class.

(Faculty Senate, 11-30-70; Presidential Approval, 10-19-71; Typographical error in original report of Senate action corrected by Faculty Senate, 11-8-71)

Uniform final examinations are listed by department and course number at the times they are scheduled. Uniform examinations are assigned in order to minimize the possibility of taking more than one uniform examination per day.

(University Registrar, 8-21-84, 4-21-88)

Should conflicts arise (a) from the scheduling of departmental exams during the semester in the evening at the same time that some evening classes meet or (b) between uniform final exams during finals week, the following guidelines apply:

(a) In the event of an evening departmental exam creating a conflict for a student between that exam and a regularly scheduled evening course, the evening course would have priority, and the department giving the exam would be responsible for allowing the student to make up the exam within one week.

(b) In the event of a conflict arising from the scheduling of two evening departmental exams simultaneously, the student will attend the examination for the course that met first during the week, according to the student's class schedule.

(c) In the event a student is required to take a make-up exam for an evening departmental exam, that make-up exam shall be given to the student within a period not to exceed one week after the time of the examination.

(d) In the event of a conflict arising from the scheduling of two uniform final examinations at the same time, the student will attend the examination for the course that met first during the week, according to the student's class schedule. (See also Section 4.7)

(Senior Vice President and Provost, 3-13-86)

MAKE-UP EXAMINATIONS (OTHER THAN FINAL) DUE TO UNIVERSITY-SPONSORED ACTIVITIES OR LEGALLY REQUIRED ACTIVITIES

The following guidelines have been approved by the Faculty Senate and the UOSA to aid the faculty in determining a policy for make-up exams (other than final examinations) in cases of absences due to participation in University-sponsored or legally required activities. (For the policy on final examinations, see Section 4.7.)

Only Provost-approved university-sponsored activities such as scholarly competitions, fine arts performances, and academic field trips, and legally required activities, such as emergency military service and jury duty, are covered by these guidelines.

Faculty, if given notice two class periods before an exam or quiz (excluding pop quizzes), should make every effort to find a reasonable accommodation by (a) giving a makeup exam, an early exam, or quiz; (b) changing the exam schedule; or (c) dropping the exam or quiz and increasing the weight of another exam or quiz or other agreed upon approaches acceptable to the instructor and the student. Students missing an exam on account of jury duty must be allowed an accommodation.

(Senior Vice President and Provost, 3-13-86)
NOTICE: If the student and the faculty member cannot agree, normal appeal procedures (faculty to director/chair to college dean to Senior Vice President and Provost) are available to the student and can be followed.

For information about what activities are Provost-approved or how to have activities approved, contact the Office of the Senior Vice President and Provost.

(Faculty Senate, 3-7-83, 5-2-94, 3-20-95 5-6-97; Presidential Approval, 3-24-83, 5-9-94, 7-7-95, 2-5-98)

4.10

FINAL EXAM PREPARATION PERIOD
Pre-finals week will be defined as the seven calendar days before the first day of finals. Faculty may cover new course material throughout this week.

4.10.1

STUDENT-FACULTY POLICIES AND INFORMATION
(A) Assignments, examinations, or projects worth less than 10 percent of a student's grade may be assigned at any time prior to pre-finals week and may be due during pre-finals week. However, no assignments, examinations, or projects may be due on the last two days of pre-finals week.

(B) Assignments, take-home examinations, in-class examinations, or projects worth more than 10 percent of a student's grade must be scheduled at least 30 days prior to the first day of finals and must be due or given prior to pre-finals week. Any assignment that is to take the entire semester to complete may be accepted or presented during pre-finals week provided the syllabus explicitly states that the assignment can be turned in prior to pre-finals week. In-class presentation of semester assignments due before pre-finals week may be scheduled for any day other than the last two days of pre-finals week.

(C) Special case deviations from this policy must be clearly stated in the course syllabus and approved by the chair of the department through which the course is offered.

(D) Special requests made by a student for an extension of assignment deadlines into pre-finals week may be granted subject to the discretion of the instructor.

This policy applies only to 16-week courses during the spring and fall semesters.

This policy excludes make-up assignments, make-up tests, and laboratory examinations. It also does not apply to classes meeting one day a week for more than one hour with a start time before 5:00 p.m. and evening classes.

All University laboratory classes are exempt from this policy.

No University of Oklahoma Student Association (UOSA) organization may hold meetings, banquets, or receptions or sponsor or participate in any activity, program, or related function that requires student participation during pre-finals week.

Violations to this policy should be reported to the chair of the department in which the course is taught or, in special circumstances, to the dean of the college and may be grounds for grade appeal.

This policy shall remain in force until reviewed no sooner than 2006.

(President, 7-16-93, 1-2-97, Faculty Senate, 1-22-01, President, 2-1-01)

4.11
RETURNING EXAMINATIONS, PAPERS, AND PROJECTS TO STUDENTS
It is recommended that students be allowed to see their graded papers, projects, or examinations within a reasonable time. A two-week time limit on the reporting of examination and quiz results is, in general, considered acceptable.

(Faculty Senate, 5-30-60; Presidential Approval, 6-15-60)

4.12

RESCHEDULING COURSES
Courses may not be rescheduled from the published time/day(s) without the prior approval of the chair/director, the dean of the college offering the course, and the Senior Vice President and Provost.

(Senior Vice President and Provost, 11-25-92)

4.13

ADVANCED STANDING CREDIT
Students may broaden and accelerate their education by earning credit through the advanced standing process. There are various methods by which students may earn advanced standing credit. These include institutional advanced standing examinations, the Advanced Placement Program, College Level Examination Program (CLEP), and the International Baccalaureate (IB). Credit for military experience and non-collegiate learning experiences is awarded on the basis of recommendations made by the American Council on Education.

Advanced standing credit awarded to a student will be placed on the permanent academic record only after it is validated by the successful completion of 12 or more hours of academic work at the University of Oklahoma. The neutral grade of "S" (satisfactory) will be assigned to all advanced standing credit. Should a student fail an advanced standing examination, no grade will be recorded. In addition, a student may not receive credit for a repeat of an exam previously failed. Students should consult the Office of Admissions or the Office of Independent Study to discuss other test options.

Students interested in receiving credit by any of the methods listed above should contact the Office of Admissions or the Office of Independent Study for further information.

(Office of Admissions and Records, 9-18-86, 4-21-88, 11-17-93, 9-19-04)

4.14

AUDITING COURSES
Enrollment as an auditor is permitted in all courses subject to the approval of the instructor in the course. Initial enrollment in a course as an auditor may be completed only between the first day of classes and the last day permitted for late enrollment for credit in any semester or term.

A change of enrollment from audit to credit may be made provided the change is made not later than the end of the second week of classes of a regular semester or the first week of classes of a summer term, with the approval of the instructor and dean.

A change of enrollment from credit to audit may be made during the first 2 weeks of classes of a regular semester or first week of classes of a summer term. A change of enrollment to audit supersedes the original enrollment for credit, and no withdrawal from the credit enrollment is posted on the student's academic record.

Fee and tuition policies for audit enrollments are the same as fee and tuition policies for credit enrollments. A student enrolled exclusively as an auditor may withdraw only during the refund period. Such withdrawal will result in the student's registration being canceled, and no entry will be made on the permanent record. A grade
of W may be assigned to a student who has not performed according to the instructor's requirements for an auditor. Such W's will be applied to the total of 5 drops allowed in a student's academic career.

(Faculty Senate, 1-10-72; Presidential Approval, 1 11-72; Senior Vice President and Provost, 3 12-83; University Registrar, 8-19-80, 4-21-88; Senior Vice President and Provost, 11-28-94, President 4-15-11)

4.15

ACADEMIC FORGIVENESS
Circumstances may justify a student being able to recover from academic problems in ways that do not forever jeopardize his/her academic standing. The student's academic transcript, however, should be a full and accurate reflection of the facts of the student's academic life. Specifically, for those students receiving academic forgiveness either by repeating courses, through academic reprieve, the transcript will reflect the retention and graduation GPAs excluding forgiven courses/semesters. The transcript also will note the cumulative GPA that includes all attempted regularly graded coursework.

For specific information about academic forgiveness, contact the Office of Academic Records.

(State Regents for Higher Education, 5-29-92, Registrar, 9-19-04)

4.16

STUDENT ACADEMIC INTEGRITY
Academic integrity means honesty and responsibility in scholarship. The basic assumptions regarding student academic work at the University are:

(A) Students attend the University in order to learn and grow intellectually.

(B) Academic assignments exist for the sake of this goal and grades exist to show how fully the goal is attained.

(C) A student’s academic work and grades should result from the student’s own effort to learn and grow. Academic work completed any other way is pointless, and grades obtained any other way are fraudulent.

Academic integrity means understanding and respecting these basic truths, without which no university can exist. Academic misconduct violates the assumptions at the heart of all learning. It destroys the mutual trust and respect that should exist between student and professor. Academic misconduct is unfair to students who earn their grades honestly.

4.16.1

ACADEMIC APPEALS BOARDS
In each college of the University, there shall be established an Academic Appeals Board consisting of an equal number of students and faculty. Faculty members of the board will be chosen by the faculty of the college for a term determined by the faculty. Student members of the board will be appointed for a term of one year by the dean of the college upon recommendations from the UOSA Student President.

The responsibility for academic evaluations of students rests with the faculty. If a student feels wrongfully and unfairly treated by an instructor and if he or she is unable to resolve the matter in conference with the instructor or the departmental chair/director of the academic unit, an appeal may be made with the Academic Appeals Board of the college offering the course. Any thesis and dissertation appeals shall be heard by the Graduate College appeals board.

*The text below is approved Regents Policy for the Norman Campus but is printed in its entirety only in the Norman Campus Faculty Handbook.*
Each Academic Appeals Board will hear cases in which the issue to be resolved is that of prejudiced or capricious evaluation or alleged inability to speak the English language to the extent necessary to adequately instruct students.

(A) PROCEDURES

Except for those cases that arise in the College of Law, the following procedures shall apply. For the procedures in the College of Law, contact the Office of the Dean.

(1) A Board will hear a case only after a student has notified the instructor/evaluator(s) of a dispute over an academic evaluation and after the student has made an unsuccessful attempt to resolve differences with the instructor/evaluator(s), in consultation with the departmental chair. In cases of end-of-term evaluations, a student must notify an instructor/evaluator(s) of a dispute over an academic evaluation and must attempt to resolve differences no later than February 15 for the previous fall semester or winter intersession; and no later than September 15 in cases of end-of-term evaluations for the previous spring semester, spring intersession, or summer session. In cases of an evaluation made known to a student during the semester, the student must notify an instructor/evaluator(s) of a dispute over an academic evaluation and must attempt to resolve differences no later than 15 calendar days (excluding Saturdays, Sundays, and University holidays from classes) after the results of the evaluation are made known to the student. If a student fails to notify an instructor/evaluator(s) or fails to attempt resolution within the appropriate time limit, the Board shall deny any request for a hearing on the claim unless, in the view of the Board, the student has been prevented from complying with the appropriate time limit for reasons beyond his/her control (as, for example, in the case of a student being called into military service).

(2) The filing of a written request for a hearing on a claim before the appropriate Academic Appeals Board shall be within ten calendar days (excluding Saturdays, Sundays, and University holidays from classes) following the day when the attempts at resolution in Paragraph 1) above are completed. The Board shall deny any request for a hearing on a claim that does not meet this deadline unless, in the view of the Board, exceptional circumstances exist whereby the student is prevented from filing the claim for reasons beyond his/her control. Furthermore, if in the judgment of the Board, the case is deemed to be without merit or already has been satisfactorily resolved in the department, the Board may refuse to hear the matter.

(3) To avoid a jurisdictional impasse, the appeal shall be heard by the Board in the undergraduate college in which both the course/evaluation and the instructor/evaluator(s) are located. Any thesis and dissertation appeals and appeals of the results of the graduate qualifying, comprehensive, and general exams shall be heard by the Graduate College Appeals Board.

(4) It shall be the primary function of the Board to adjudicate disputes that have not been satisfactorily resolved on the department level.

(5) Each Board shall be given the responsibility of establishing its own rules of procedure. Such rules as it establishes must be consistent with the full protection of the rights of all parties involved.

(6) Meetings of the Board shall be confidential and closed to the public except as otherwise permitted by law and agreed to by all parties.

(7) Decisions of the Board shall be communicated in writing to the Board’s dean, the student’s dean, the student, and the instructor/evaluator(s). The Board’s decisions shall be final and shall be implemented unless either the student or the instructor/evaluator(s) makes written appeal to the Executive Committee (or comparable body) of the college within ten calendar days (excluding Saturdays, Sundays, or University holidays from classes) after being notified of the Board’s decision. The decision of the Executive Committee (or comparable body) shall be final.
and shall be implemented unless either the student or the instructor makes written appeal to the faculty of the college within ten calendar days (excluding Saturdays, Sundays, and University holidays from classes) after being notified of the Committee’s decision. In the case of an appeal to the faculty of the college, the faculty’s decision shall be final and shall be implemented. The faculty of a college, however, may delegate their authority to consider appeals under this policy to the Executive Committee (or equivalent body) of the college, in which case the decision of the said body shall be implemented without appeal to the faculty.

(8) Revisions to this policy shall be reviewed by the Faculty Senate and the Student Code Revision Committee

(Regents, 7-23-87, 1-27-04)

4.17

STUDENT APPEALS CONCERNING ENGLISH PROFICIENCY OF INSTRUCTORS
(The following policy in no way abridges the right of a student under Title 14 of the Student Code to appeal unresolved disputes to the appropriate academic appeals board.)

(1) It is the policy of the University of Oklahoma that all who provide instruction at the University shall be proficient in written, aural, and spoken English so that they may adequately instruct students. The University has established procedures to insure that faculty members have proficiency in written, aural, and spoken English. (See Section 3.29.)

(2) A student who believes that an instructor is not sufficiently proficient in written, aural, or spoken English may file a written complaint with the Senior Vice President and Provost. The identity of the complainant(s) shall remain confidential. Anonymous complaints will not be accepted.

(3) The Senior Vice President and Provost shall notify the instructor, the chair or director of the academic unit in which the instructor is employed, and the dean of the college that a complaint has been received, although the identity of the complainant(s) shall remain confidential. If, after consulting with the college and department, the Senior Vice President and Provost determines that a formal inquiry is necessary, he/she shall appoint an independent evaluator to evaluate the English proficiency of the instructor. The evaluator may visit the class of the instructor named in the complaint, interview the instructor, interview students, or engage in such other activities as necessary to evaluate the instructor in a fair manner. The evaluator shall provide the Senior Vice President and Provost with a written report of his/her findings as to the English proficiency of the instructor and make recommendations of actions that should be taken.

(4) The Senior Vice President and Provost shall notify the complainant(s), the instructor, the chair or director of the academic unit, and the dean of his/her findings as to the validity of the complaint. In the event that the instructor is found not to be sufficiently proficient in English, the Senior Vice President and Provost shall specify actions to be taken by the instructor and/or the academic unit. Such actions may include but are not limited to: (1) reassignment of the instructor to other duties; (2) re-evaluation of the instructor for purposes of hiring, tenure, promotion, salary, or other personnel decisions; (3) appropriate remedial measures to assist the instructor in improving his/her English proficiency; and (4) appropriate remedies for the affected students.

(President, 7-18-86, 6-8-95)

4.18

COMMERCIAL TERM PAPERS
Any staff or faculty member who writes, compiles, or otherwise completes academic assignments for sale to students of the University shall be discharged from employment. Any student who commits such an offense shall be expelled from the University.

(Faculty Senate, 12-18-72)
4.19

CLASS ATTENDANCE

STUDENTS
Students are responsible for the content of courses in which they are enrolled. Specific policy concerning attendance requirements and announced and unannounced examinations is the responsibility of the individual instructor. Students have a responsibility to inform faculty prior to absences whenever possible. Faculty should make every effort to find a reasonable accommodation for students who miss class as a result of participation in Provost-approved University-sponsored activities or legally required activities such as emergency military service. Students missing class on account of jury duty must receive such an accommodation.

(Faculty Senate, 2-26-68, 3-20-95, 5-6-97; Presidential Approval, 3-5-68, 7-7-95, 2-5-98, Senior Vice President and Provost, 8-27-04)

FACULTY
A faculty member's assignment to teach a course is an important element of the faculty member's professional responsibilities, including the obligation of the instructor to attend all classes and to teach. Academic units shall have a policy regarding faculty absences from teaching responsibilities and a procedure for instructors to arrange with their units plans for modifying scheduled class periods. Chairs and directors also are responsible for ensuring that faculty obligations for courses are fulfilled.

For medical and family emergencies and other unforeseeable contingencies, a scheduled class meeting may be canceled. For legitimate, foreseeable obligations, the faculty member is responsible for finding a reasonable alternative way to perform teaching duties in the form of a substitute or a make-up session.

(Faculty Senate, 1-23-95; President, 2-21-95)

Classes are not to be dismissed or rescheduled for any extracurricular function.

(1962 Faculty Handbook)

4.20

IRREGULAR CLASS MEETINGS
All class meetings should be held during the regular hours scheduled for the course. Unscheduled meetings at other hours should be held only for very unusual and clearly defensible reasons and never for the mere personal convenience of the instructor or the students or both.

If it is desirable for sound educational reasons to schedule a departmental or joint quiz at an evening hour so that all sections of a course may write the quiz simultaneously (uniform exams), the date and hour of each such irregularly scheduled quiz should be made known to all the students concerned during the first week of classes. If a student then incurs a serious conflict at one of these hours, the responsibility is the students.

If no such notice of irregularly scheduled hours for departmental or joint quizzes can be given, such a plan for giving tests is presumably not important enough to merit systematic planning and should not be used.

The University discourages all unscheduled class meetings; individual faculty members and departments regulate their teaching schedules in accordance with this principle. The department that announces the hours at which a course will meet, the faculty member who agrees to teach it at those hours and the student who has agreed to take it at those hours have all assumed an unwritten contractual obligation from which no one of them should deviate without very substantial reasons for doing so.

(Deans Council, 12-14-66; Senior Vice President and Provost, 9-20-68, 3-3-05)
4.21

CLASSES DURING FINALS WEEK
The State Regents have indicated the importance of holding class during finals week. Since finals week always has been considered a week of instruction and is a necessary part of the minimum hours of instruction for accreditation, the holding of a final meeting of the class during that week may not be considered optional. (For the policy regarding final examinations, see Section 4.7.)

(Senior Vice President and Provost, 3-31-80)

4.22

WAIVER OF FEES
Institutions may establish procedures for waiving of tuition and fees for students who are enrolled in courses offered on a non-standard schedule.

(State Regents for Higher Education, 1-30-61, 5-31-97)

4.23

WAIVER OF TUITION
POLICY RELATING TO RESIDENT TUITION WAIVER OF SCHOLARSHIPS
Pursuant to 70 O.S. Supp. 1995, Section 3218.12, authorizing the State Regents to establish a system of student scholarships, the following policy of resident tuition waiver scholarships is hereby authorized for each institution in the State System. Except as provided below, it is the intent of this policy to provide assistance to Oklahoma students with demonstrated financial needs, and to promote excellence of scholarship throughout all of the academic and professional fields of study. It is further intended that this program provide equitably for students at all academic levels from the freshman year through the graduate study. Also, insofar as practicable, awards should be distributed so as to be supportive of the state’s needs and demands for trained manpower in the various career and occupational areas. Finally, assistance under this program should be utilized to promote equity of treatment for those students in fields without access to funds from other student assistance programs.

(State Regents for Higher Education, 5-31-96)

4.23.1

ENROLLMENT OF FACULTY AND STAFF IN UNIVERSITY COURSES
The University places no limitation on the number of hours of coursework in which faculty and staff may enroll outside of the individual’s normal working hours, provided that such coursework does not interfere with the individual’s duties as determined by the individual’s supervisor and budget unit head.

(A) COURSES SCHEDULED DURING WORKING HOURS
Full-time, University benefits-eligible faculty and staff may enroll in a maximum course load not to exceed five (5) contact hours per week each semester and summer session during their regular working hours. Permission to enroll in a course during the employee’s normal working hours must be obtained from the chair of the faculty member’s department or the staff member’s supervisor and the budget unit head. Under very rare circumstances, exceptions to the course load limitation may be made by the appropriate Provost/Vice President through proper administrative channels. Staff personnel will be required to make up time spent in class through arrangements approved by their supervisor unless course enrollment does not increase staff requirements or does not place extra demands on other employees. A decision should be reached by the budget unit head, the supervisor, and the employee at the time of enrollment as to whether the time spent in class must be made up. Any time spent in class, even though occurring during the employee’s regular schedule of working hours, shall not be considered as time worked for the purpose of calculating overtime pay. Time spent in class during working hours must be indicated as such on an hourly employee’s time card and noted on a monthly employee’s payroll certification.
(B) ELIGIBILITY

(1) As authorized by the Oklahoma State Regents for Higher Education, a full-time University benefits-eligible faculty or staff member enrolling in regular coursework will be eligible for a waiver of one-half the resident tuition for up to six hours per semester or three hours per summer session except as noted below.

(2) Faculty and staff enrolling under the reduced tuition charges will not be required to pay the student facilities fee, cultural and recreational fee, transit fee, special event fee, activity fee and health fee, nor will they be eligible for the services covered by these fees. Student ID cards of persons not paying the fees will be coded to show they are not entitled to the services for which the fees are charged.

(3) The tuition waiver does not apply to special fees or to special academic programs, such as those in Continuing Education (i.e., Advanced Programs and other self-supporting programs) which have special regulations regarding fee waivers. Non-resident tuition charges will not be waived.

(4) Employees must have a 100% FTE appointment for ¾ of the enrolled semester to be eligible for the waiver. persons who are employed less than full-time are ineligible for the waiver, and all tuition and fees will be charged for their enrollments. A faculty member who is on a full-time nine-month appointment is considered to be full-time for purposes of any enrollment made during a following summer session. In such cases those not on summer appointment may receive a one-half tuition waiver on six semester hours of credit. Those on a full- or part-time summer appointment may receive the tuition waiver only on three credit hours as stated above. Under no circumstances will the reduced tuition apply to more than six semester hours of coursework in a single semester or three hours of coursework in a summer session. Hours that exceed this maximum must be paid at the full rate.

(C) TAX IMPLICATIONS

The tuition waiver for graduate coursework may be subject to taxation.

Application forms for the tuition waiver are available online at www.ou.edu/admrec/FacultyStaffTuitionWaiver.doc. The form must be signed by the supervisor, budget unit head, and if necessary the Provost or appropriate Vice President, and presented to the Bursar prior to or at the time of payment during each semester.

(President, 1-21-85, Senior Vice President and Provost, 3-1-05)

4.23.2

WAIVER FOR GRADUATE ASSISTANTS

Graduate students with at least a one-quarter time graduate assistantship are eligible for these scholarships irrespective of Oklahoma residency status. Graduate assistants involved in teaching must be proficient in both oral and written English. The ability to communicate course material effectively in understandable English is required of all graduate teaching assistants awarded these waivers.

(State Regents for Higher Education 5-31-96)

Employment and enrollment information and other policies for graduate assistants are contained in the current Graduate Assistants’ Handbook.

4.23.3

WAIVER FOR EXCHANGE STUDENTS ON A RECIPROCAL BASIS
Institutions are hereby authorized to grant waiver of resident tuition for students from institutions outside the continental limits of the United States that have entered into an exchange agreement with the State System institution to provide reciprocal waivers for students from the Oklahoma institution. The number of credit hours of nonresident students received by the Oklahoma institution is expected to equal the number of credit hours sent by the Oklahoma institution to the exchange institution. Such authorization will be effective for as long as a contract exists with the reciprocal institution.

(State Regents for Higher Education 5-31-96)

4.23.4

WAIVER FOR OKLAHOMA STATE REGENTS ACADEMIC SCHOLARS PROGRAM
Institutions shall waive resident tuition for Oklahoma residents who are recipients of the Oklahoma State Regents’ Academic Scholars Program scholarship in an amount that when added to the State Regents’ cash award and any other state or federal financial aid for which the student qualifies, is sufficient to comply with the provisions of 70 O.S. Supp. 1995, Section 2403(C) Category I. The total award shall include the full costs of all enrollment fees, tuition, and other fees, room and board and all required textbooks or materials for up to five (5) years of undergraduate and graduate study.

(State Regents for Higher Education 5-31-96)

4.23.5

NONRESIDENT TUITION WAIVER
Any institution in The Oklahoma State System of Higher Education may award a scholarship that includes a waiver of nonresident tuition.

(State Regents for Higher Education, 5-31-96)

4.24

STUDENT INSTRUCTIONAL TRAVEL POLICY

4.24.1

DEFINITIONS
Instructional travel is any student travel for an instructional activity that is sponsored by an academic unit and that occurs off-campus or away from an officially-designated classroom. Examples include field trips to off-campus sites and department-sponsored group travel to a site where instruction will take place. Instructional travel does not include the student's individual travel to or from the official instructional site or travel not sponsored by the academic unit.

4.24.2

GUIDELINES FOR INSTRUCTIONAL TRAVEL THAT IS PART OF A COURSE
The following guidelines are intended to provide reasonable notice to students of any significant instructional travel that a course may involve, and to ensure appropriate handling of any funds collected from students.

(A) APPROVAL
All instructional travel for a course must be approved in advance by the chair/director of the academic unit offering the course.

(B) SCHEDULING AND NOTIFICATION
In order to be able to plan their class schedules and financial obligations, students must receive adequate advance notification any time that they will be required to travel to an off-campus location.
location as part of a course. At a minimum all required instructional travel must be described in
the course syllabus that is given to students no later than the first day of class. If the travel is to
occur outside of the scheduled meeting times listed in the class schedule, a description of the
travel should be included in all information describing the course. Instructional travel outside the
regular class time cannot be made mandatory if not included in the class schedule.

(C) TRAVEL COSTS
Costs covered by course fees. Mandatory fees associated with a class must be approved by the
Oklahoma State Regents for Higher Education. They should also be listed in the class schedule and
included in any advertising regarding the course. If instructional travel is funded by course fees, then
responsibility for the management of those fees and their use for travel-related expenses is the
responsibility of the sponsor of the fee account and the chair/director of the academic unit offering the
course.

(D) COSTS NOT COVERED BY COURSE FEES
Travel-related expenses not covered by approved course fees must be managed in a manner
approved by the University. It is preferable that arrangements for the collection and use of
funds for travel-related expenses be managed through either the College of Continuing
Education or the University of Oklahoma Foundation. Such use must be approved in advance
by the chair/director of the academic unit sponsoring the course and by appropriate officials at
CCE or the Foundation. All other arrangements for paying travel-related expenses must be
approved in advance by the head of the budget unit, the Dean, and the Senior Vice President
and Provost.

4.24.3

GUIDELINES FOR ALL INSTRUCTIONAL TRAVEL

(A) ITINERARIES
An itinerary should be filed with the department or college office and with the OU Department of
Public Safety for any University-sponsored activity that is conducted off-campus for a period
exceeding 24 hours. The itinerary should include a list of the names of all participants, student
numbers of student participants, telephone numbers where the group may be reached or
emergency telephone numbers, destinations and, if possible, trip routes.

(B) COMMERCIAL TRAVEL AND UNUSUAL ACTIVITIES
Academic units sponsoring field trips by commercial carrier or trips involving unusual activity
(hiking, climbing, athletic activities, etc.) are responsible for obtaining releases, i.e., written
acknowledgment from students that they have received reasonable notice of the nature of the
activity and understand the possibility of risk. For information about releases, contact the Office
of Risk Management and Safety Services or the Office of Legal Counsel.

(C) LIABILITY
The Oklahoma Governmental Tort Claims Act adopts and delimits the doctrine of sovereign
immunity for the State of Oklahoma, all of its political subdivisions, and its employees. Since
the University of Oklahoma is a duly authorized agency of the State of Oklahoma, all
instructional travel that has been approved, scheduled, and sponsored by the University and is
in the complete control of an authorized University employee is afforded the liability protections
of the Act. For purposes of instructional travel, the authorized university employee is the
instructor(s), including graduate assistants, assigned to the course.
University employees are protected by the Act from liability as long as they are acting in good faith and
within the scope of their University employment. Volunteers may at times be authorized to perform
services for the University, and duly authorized volunteers are also protected under the act within the
scope of their employment.
The University's liability for student accidents and injury in instructional travel is limited by the Act. Low-cost accident and illness insurance policies are available for field trip participants from the Center for Student Life.

4.24.4

OTHER POLICIES PERTAINING TO INSTRUCTIONAL TRAVEL
Other provisions affecting instructional travel include Faculty Handbook policies entitled Travel, Insurance, University Vehicles, and Use of State Vehicles for Private Purposes. Further information is available from the OU Employee’s Guide for Business Travel, available from the Department of Risk Management and Safety Services.

(Senior Vice President and Provost, January 2002)

4.25

COURSE SYLLABI AND OTHER COURSE MATERIALS
Faculty members have responsibilities to their students. They shall encourage in students the free pursuit of learning and independence of mind, while holding before them the highest scholarly and professional standards. Faculty members shall show respect for the student as an individual and adhere to their proper role as intellectual guides and counselors.

Effective Fall 2010, Instructional Faculty shall post the required course syllabus on the University’s course management system by the first day of the semester; providing a paper copy of the syllabus to students is optional. The syllabus should define the goals of the courses, and faculty members should devote their teaching to the realization of those goals. Where appropriate, course syllabi should state, in addition to the major goals of the course, instructor’s office hours; university policies regarding reasonable accommodation and codes of behavior; list of required reading materials; list of all major reading, laboratory, and/or performance assignments for the semester; approximate dates for all graded assignments and approximate percentage each contributes to the final grade. Internships/practicum, directed readings/research, dissertation and thesis hours are exempt from this requirement.

Additionally, instructional faculty are encouraged to use the online course management system to distribute other course materials or to post links to websites with other course materials. Instructional faculty are also encouraged to use other good practices to keep instructional costs minimized including having electronic reserves in the library when feasible and possible, being careful to require only those instructional materials that will actually be extensively used during the course of the semester or term, and learning about and utilizing other emerging technology tools or resources in delivering their courses.

(Faculty Senate, February 2010; Senior Vice President and Provost, February 2010)

4.25.1

SALE OF REQUIRED COURSE MATERIAL TO STUDENTS
In order to comply with Oklahoma State Statute (70 O.S., Section 3218.8); the following policies are in effect:

(A) INSTRUCTIONAL MATERIALS BUDGET – UNIVERSITY LIBRARIES
An annual textbook acquisition account of $ 200,000 has been established in the library effective with the 2007-2008 academic year to provide access to required, instructional materials for undergraduate classes with many sections that enroll large numbers of students and access to usually expensive textbooks. These materials will be on two hour reserve at Bizzell Memorial Library; courses whose materials are included will be posted on the library website at http://libraries.ou.edu/textbooks.

(B) INSTRUCTIONAL MATERIALS POLICY – ONLINE ENROLLMENT
The OU Online Enrollment System shall maintain a webpage that includes:
a statement that students are entering the website of the University Bookstore operated by “Follett”;

a) a statement articulating University Bookstore pricing:

and

b) a statement describing how to conduct content comparisons of new & previous editions of published instructional materials at publishers’ websites. A free public website for locating these publishers’ websites is located here: http://www.acqweb.org/pubr.html#alph.

INSTRUCTIONAL MATERIALS POLICY – UNIVERSITY BOOKSTORE, PUBLISHERS
1) The University Bookstore shall:

a) provide students with the option of purchasing instructional materials that are unbundled when possible, and disclose to faculty and staff the costs to students of purchasing instructional materials (Follett website);

and

b) actively promote and publicize book buy-back programs. Information on buy-back programs at available at: http://www.bkstr.com/webapp/wcs/stores/servlet/AboutBuybackView?langId=-1&catalogId=10001&storeId=10065&demoKey=s

INSTRUCTIONAL MATERIALS – INSTRUCTIONAL FACULTY
Faculty on the Norman Campus should seek to collaborate with students to ensure access to the most economical and efficient process for obtaining the very best instructional materials.

a) Faculty must place their instructional material orders with their departmental representative. This person will 1) will ensure that faculty place their orders in a timely way, and 2) will place orders with the University Bookstore and other local bookstores.

b) The order form used within each academic unit (available at http://www.ou.edu/provost/textbookadoptionform.xls shall require that the suggested manufacturers’ retail price be listed for each required textbook. (This can be found by looking at Books in Print, available at (http://libraries.ou.edu/eresources/bip). If the cost per individual student, for all required materials in a course, exceeds a fixed amount (to be determined by each academic unit and approved by the Dean and Provost), the Chair/Director of the academic unit must review and approve the order.

c) Faculty shall allow students to use the most recent prior edition of a required textbook unless the faculty member specifically states in the course syllabus that the newest edition of the required textbook is necessary.

d) No faculty, staff or academic unit shall demand or receive any payment, loan, subscription, advance, deposit of money, services or anything, present or promised, as an inducement for requiring OU students to purchase specific textbooks or instructional material required in a course. However, an employee may receive:

1. Sample copies of textbooks/instructional materials, instructor copies of textbooks/instructional materials, as long as these are not to be sold by the employee or academic unit.
2. Royalties or other compensation from sales of textbooks/instructional materials that include the writing or work of the employee.

3. Honoraria for academic peer review of instructional materials.

4. Training in the use of instructional materials and technologies.

Faculty are referred https://www.sos.ok.gov/documents/Legislation/51st/2007/1R/HB/2103.pdf

(Regents, 9-12-07)
5.

GENERAL POLICIES

5.1

EQUAL OPPORTUNITY POLICY STATEMENT

This University in compliance with all applicable Federal and State laws and regulations does not discriminate on the basis of race, color, national origin, sex, sexual orientation, genetic information, age, religion, disability, political beliefs, or status as a veteran in any of its policies, practices, or procedures. This includes but is not limited to admissions, employment, financial aid, and educational services.

(Regents, 3-24-70, 4-8-76, 7-12-77, 12-10-81, 1-27-93, 1-27-04, 6-23-11, 1-24-12)

Individuals are assured protection from harassment, retaliation, and discrimination for filing a complaint or assisting in an investigation under all relevant Institutional Equity policies and procedures. Complaints of discrimination may be filed with the Institutional Equity Office.

All lawfully required documents, including the University's Affirmative Action Plans, are available for inspection in the Office of Equal Opportunity between the hours of 8:00 a.m. and 5:00 p.m. on any working day. The contact person in that office will be the University Equal Opportunity Officer or a designated staff member. The Office of Equal Opportunity on the Norman Campus is located at 660 Parrington Oval, Suite 102, Norman, Oklahoma. The office may be reached by telephone at (405) 325-3546 or FAX (405) 325-3540.

(Equal Opportunity Officer, 2-28-04)
(Regents: 6-23-11, 1-24-12)

It is also the policy of the University not to discriminate on the basis of sexual orientation.

(President, 1-7-93, 9-29-94)

5.1.1

AFFIRMATIVE ACTION PLAN

The Affirmative Action Plan serves to supplement the Board of Regents’ policy on equal opportunity as it pertains to employment and is an integral part of the employment policies of the University. The Plan is revised once each year to address the current requirements for affirmative action in employment. The principal objectives are:

(1) To assure all persons equal opportunity for employment and advancement in employment regardless of race, color, national origin, sex, religion, age, disability, political beliefs, or status as a veteran.

(2) To meet institutional responsibilities under the Civil Rights Act of 1964 and commitments as a federal contractor under Executive Order 11246 and Executive Order 11375.

(3) To take positive actions in the recruitment, placement, development, and advancement of women and racial minority members in University employment.

Each person having administrative or supervisory responsibilities is expected to provide leadership in applying the Affirmative Action Plan.

Coordination of the application of the Affirmative Action Plan is the responsibility of the Senior Vice President and Provosts for academic employment and the Vice Presidents for Administration and Finance for nonacademic employment. These officials are designated Equal Employment Opportunity Officers for their respective areas of responsibility.

(Regents, 3-18-75, 3-29-00)
STAFFING PLAN PROCEDURE AND AFFIRMATIVE ACTION PLAN

The University’s staffing procedure and Affirmative Action Plan are designed jointly to (1) assure maximum utilization of available human resources, and (2) reaffirm the University’s policy that all appointments, promotions, and transfers will be conducted on the basis of individual qualifications and merit without regard to race, color, national origin, sex, age religion, disability, political beliefs, or status as a veteran.

The plan includes four broad categories, and the criteria for membership in categories II through IV are outlined in the Staff Handbook.

I. Executive
   Executive Officers
   Executive Officers of the University shall include the President, Vice President for Executive Affairs, Senior Vice Presidents and Provosts, Vice Presidents, Executive Secretary of the Board of Regents and Secretary of the University, and such other positions as the President may designate from time to time.

II. Administrative
   Administrative Officers
   Administrative Staff
   Managerial Staff

III. Professional
   Professional Staff

IV. Non Exempt & Supervisory

(Regents, 6-13-74, 3-29-00, 1-27-04)

INDIVIDUALS WITH DISABILITIES

The University has an Affirmative Action Plan for individuals with disabilities. For details concerning the plan, consult the Equal Opportunity Office.

The University will reasonably accommodate otherwise qualified individuals with a disability unless such accommodation would pose an undue hardship, would result in a fundamental alteration in the nature of the service, program or activity or would result in undue financial or administrative burdens. The term “reasonable accommodations” is used in its general sense in the Reasonable Accommodations Policy and applies to employees, students, and visitors.

(Equal Opportunity Office, 10-21-97, 3-3-05)

OFFICE OF DISABILITY SERVICES

The University of Oklahoma, in compliance with Section 504 of the Rehabilitation Act of 1973 as amended and the Americans with Disabilities Act, has established the following procedures for the purpose of implementing its responsibilities.

ESTABLISHMENT OF THE OFFICE OF DISABILITY SERVICES
Effective delivery of services to students with disabilities and proper and efficient utilization of institutional resources requires the establishment of a central office to which individuals with disabilities may self-identify, have documentation reviewed to determine eligibility for services, and make arrangements for effective utilization of institutional resources to meet recognized needs.

5.3.2

IDENTIFICATION OF INDIVIDUALS WITH DISABILITIES

The institution has established a procedure for students and others with disabilities to self-identify and to register with the Office of Disability Services.

The Disability Resource Center, a department under University Compliance, will survey identified students with disabilities and general needs associated with the same.

(Regents: 6-23-11, 1-24-12)

5.3.3

CONFIRMATION OF DISABILITY

Students with disabilities will be directed by the Office of Disability Services to have the status of their disability certified. Students will be confirmed by the Office of Disability Services to receive certain University services in accordance with their needs.

The University may request that the students provide appropriate documentation of disability.

In general, documentation of disability should be reasonable, current, and include: a diagnostic statement identifying the disability, date of current diagnostic evaluation, and date of original diagnosis; a description of the diagnostic criteria used; a description of the current functional impact of the disability; treatments, medications, and assistive devices currently prescribed or in use; a description of the expected progression or stability of the impact of the disability over time; and the credentials of the diagnosing professional. This documentation can only be prepared by a person who is not a family member of the student and who is qualified by professional training and practice to diagnose and treat the impairment leading to the disability. Handwritten notes on prescription pads or handwritten treatment records will not be accepted. A high school IEP or 504 plan is not sufficient documentation of a disability. Specific guidelines are on line at http://judicial.ou.edu/content/view/13/24/.

5.3.4

COORDINATION OF SERVICES

The Office of Disability Services shall coordinate services with the appropriate offices, including communication with the Senior Vice President and Provost or the Office of Administration and Finance when necessary, for the purpose of assuring that each student with a disability is provided with the necessary services and/or materials to accommodate his or her disability needs.

Further, the Office of Disability Services shall contact the appropriate academic departments or areas to make specific arrangements and coordinate the provision of services and/or materials.

5.3.5

ROLE OF THE ACADEMIC AREAS

The Office of Disability Services is responsible for the implementation of the above outlined procedures. No arrangements, promises, or other manifestations of individual accommodation should be made by any University employee (faculty, administrative, or other) prior to consultation with the Office of Disability Services. Only those arrangements authorized by the Office of Disability Services should be implemented.
Institutional compliance with the regulations and requirements of Section 504 and the ADA is mandatory; however, the full implications and requirements of these laws are not fully detailed. Thus, certain offices within the institution will have more complete and reliable information regarding the requirements. Persons making unauthorized commitments may involve both the institution and themselves in unnecessary and unwarranted legal action or other enforcement problems.

5.3.6

GRIEVANCES
A student who believes that he or she has not been provided institutional services consistent with the needs of the confirmed disability and the requirements of Section 504 and the ADA should first discuss the problem with the Coordinator of the Office of Disability Services. If an equitable and acceptable resolution of the matter cannot be obtained through these discussions, the aggrieved party may request the assistance of the Equal Opportunity Officer in effecting resolution of the problem. If the matter remains unresolved, the aggrieved party may, through the Equal Opportunity Officer, initiate a complaint in accordance with the provisions of the University's Student Discrimination Grievance Procedure.

(Presidential Approval, 8-21-78; Vice President for Student Affairs, 8-4-86, 12-93, 12-1-97, 3-3-05)

5.4

REASONABLE ACCOMMODATION POLICY
The University of Oklahoma will reasonably accommodate otherwise qualified individuals with a disability unless such accommodation would pose an undue hardship or would result in a fundamental alteration in the nature of the service, program, or activity or would result in undue financial or administrative burdens. The term “reasonable accommodation” is used in its general sense in this policy to apply to employees, students, and visitors.

Reasonable accommodation may include, but is not limited to:
(1) Making existing facilities readily accessible and usable by individuals with disabilities;
(2) Job restructuring;
(3) Part-time or modified work schedules;
(4) Reassignment to a vacant position if qualified;
(5) Acquisition or modification of equipment or devices;
(6) Adjustment or modification of examinations, training materials, or policies;
(7) Providing qualified readers or interpreters; or
(8) Modifying policies, practices, and procedures.

The Disability Resource Center, http://www.ou.edu/drc/home.html unless otherwise provided, is the central point of contact to receive all requests for reasonable accommodation and all documentation required to determine disability status under law. This center will then make a recommendation concerning accommodation to the appropriate administrative unit. Reasonable accommodation with respect to employment matters should be coordinated with Human Resources. Reasonable accommodation with respect to academic matters, including but not limited to faculty employment, should be coordinated with the Office of Senior Vice President and Provost's Office, while all other issues of reasonable accommodation should be coordinated with the Office of the Vice President for Administration and Finance.

Individuals who have complaints alleging discrimination based upon a disability may file them with the University’s Equal Employment Opportunity Officer in accordance with prevailing University discrimination grievance procedures.

(President, 2-16-93, 3-3-05)
(Regents: 6-23-11, 1-24-21)

5.5

LOYALTY OATH
Neopotism

Except as prohibited by the laws of the State of Oklahoma, relationship by consanguinity (blood) or affinity (marriage) shall not, in itself, be a bar to appointment, employment, or advancement by the University or, in the case of faculty members, to eligibility for tenure. The University recognizes, however, that there is an inherent conflict of interest when an employee makes hiring, promotion, or salary decisions about a family member, although there may be extremely rare circumstances when the potential benefit to the University in having an employee supervise a family member outweighs the potential harm.

Therefore, no two persons who are related by affinity or consanguinity within the third degree shall be given positions in which either one is directly responsible for making recommendations regarding employment, promotion, salary, or tenure for the other; nor shall either of two persons so related who hold positions in the same budgetary unit be appointed to an executive or administrative position in that unit or to a position involving administrative responsibility over it, as long as the other person remains in the unit, without first receiving a waiver that has been recommended by the Senior Vice President and Provost or the appropriate vice president and approved by the Board of Regents. In recommending the waiver, the Senior Vice President and Provost or the appropriate vice president must make a written statement of the facts that have led him/her to conclude that the benefit to the University in granting the waiver outweighs the potential harm. In addition, the Senior Vice President and Provost or the appropriate vice president must propose in writing a means by which a qualified, objective person, unrelated to the employee at issue, shall make performance evaluations and recommendations for compensation, promotion, and awards for that employee and state in writing how that means will avoid the conflict of interest. The statement and proposal for supervision shall be made part of the Board of Regents agenda item. Further, a salary increase above the average increase granted to all University employees in similar positions will not be granted to an employee who has been granted a waiver under this policy unless it has been approved by the applicable Senior Vice President and Provost or appropriate vice president and the President. In the case where this policy is made applicable by a related party being selected to Committee A of an academic unit, approval of the Board of Regents is not required; however, all other provisions of this policy will continue to apply.

It is the responsibility of the head of the budget unit to seek a waiver before offering employment to any person whose employment without a waiver would violate this policy, and the willful failure to follow this policy may result in disciplinary action against the head of the budget unit. Notwithstanding any other provision of this policy, a conditional hire, prior to approval of the Board of Regents, may be made pursuant to this policy if deemed necessary for legitimate academic or business reasons and if justified in writing by the appropriate vice president. At the next regular meeting of the Board of Regents, the written justification and the conditional hire will be considered by the Board of Regents.

Relatives that are within the third degree of relationship to an employee by consanguinity or affinity include the following: spouse, parent, parent of spouse, grandparent, grandparent of spouse, great-grandparent, great grandparent of spouse, uncle or aunt, uncle or aunt of spouse, brother or sister, brother or sister of spouse, son or daughter, son-in-law or daughter-in-law, grandson or granddaughter, grandson or granddaughters spouse, great grandson or great grandchild, and great grands or great granddauers spouse. For purposes of this policy, step- and half relatives are considered to be related by affinity.

(Regents, 4-8-71, 10-17-90, 2-20-92, 12-2-02, 1-27-04)

5.6.1

(Oklahoma State Statue 51 O.S. Section 36.1, 36.4 requires that each new employee must have a signed and notarized Loyalty Oath as part of their personnel file. The requirement extends to all employees and officials of the State of Oklahoma and must be satisfied before an individual may be paid on the state payroll. Temporary employees hired for (90) days or less need not sign a Loyalty Oath. The Loyalty Oath remains valid as long as the employee is working for the state agency and if terminated, does not have more than a 30 day break in service.

(President, 7-1-86, Human Resources, 2-7-04)
DUAL CAREER COUPLES
It is the policy of the Senior Vice President and Provost to consider recommending exceptions to the Nepotism Policy to allow members of faculty couples to serve in administrative positions or on Committee A in departments/units in which their spouse is appointed if arrangements are made to provide performance evaluations and recommendations for compensation and promotion by persons not related to the individual being evaluated.

(Senior Vice President and Provost, 4-8-93)

5.7
OUTSIDE EMPLOYMENT AND EXTRA COMPENSATION POLICY, NORMAN CAMPUS

5.7.1
FACULTY
The missions of the University are teaching, research, and creative/scholarly activity, and professional and University service and public outreach. As professionals, Norman Campus faculty are individually and primarily responsible for arranging their time among such academic functions as teaching assignments, research, service, continuing education, and consultation. Such arrangements will be subject to evaluation and approval by appropriate authorities as a part of a faculty member's total professional activity during the year with reference to department, college, and University criteria for merit salary increases, tenure, and promotion.

(A) The professional expertise of the Norman Campus University faculty is normally available to the state and its citizens for incidental and minor services without remuneration. When, however, the services desired from outside the University exceed a reasonable limit agreed to by the appropriate vice president and the faculty member, direct extra remuneration may be accepted, provided the extent of the involvement does not infringe on the faculty members regular University duties.

(B) A person who accepts full-time faculty employment on the Norman Campus in the University assumes a primary professional obligation to the University. Any other employment or enterprise in which he or she engages for income shall be secondary to his or her University work, and, after consultation with those reviewing requests for outside employment and extra compensation, shall accept the judgment of the President and Board of Regents as to whether he/she may engage in such employment and retain full-time employment on the Norman Campus faculty. In addition, the department chair should be informed and approve of arrangements that are made to dismiss classes or provide substitute teachers for them when the faculty members are to be absent from these duties. Absence for more than one week at a time for outside employment when classes are in session will require prior written approval of the Senior Vice President and Provost. (See also Faculty Attendance policy.)

(C) All professional activities, whether within the University or without, whether for extra remuneration or for no remuneration of any kind, should contribute to the faculty member's professional growth or efficiency and to his or her teaching or scholarly competence.

5.7.2
POLICY: SUBJECT TO THE ABOVE PRINCIPLES
After prior written arrangement, faculty members may engage in professional activities for extra remuneration (from within the University or from outside sources or in any combination of the two) to a maximum of 25% of their full-time professional effort.

(A) Faculty on twelve month contracts may not receive extra compensation for teaching summer terms or for performing sponsored research.

(B) For faculty members on nine-month or ten-month contracts, summer activities involving funds administered by or through the University may be formed by negotiation into an amended contract for a period up to twelve months and for assignments up to 1.0 full-time professional effort, and they may
engage in professional activities for extra remuneration (from within the University or from outside sources or in any combination of the two) up to a maximum of 25% of their full-time professional effort.

(C) During any portion of the summer in which faculty members are not on contract with the University, they may engage in outside employment without restriction.

(D) Within the University, the time required for all extra compensation assignments during the entire year and for all professional assignments during the summer will be determined by those responsible for the various programs as an appropriate fraction of the faculty member's full-time professional effort and the University will pay the faculty member the corresponding fraction of his or her base salary rate. The time required for all professional activities for extra remuneration outside the University will be determined by the faculty member as an appropriate fraction of his or her full-time professional effort when approval for such activity is requested.

(E) Approval of outside employment shall be requested on a form, "Application for Permission to Engage in Outside Employment" available from the Senior Vice President and Provost's Office or from the Office of Human Resources. Such applications and arrangements must be submitted at the beginning of each contract year. Submission is the responsibility of the faculty member. All activities performed inside the University for extra compensation must be arranged, as all in-load assignments are, with the agreement of the department chairperson, dean, and Senior Vice President and Provost.

(F) Faculty should avoid possible conflicts of interest with the University in all outside employment. Questions regarding potential conflicts of interest should be addressed to the dean, who may wish to consult the University's Legal Counsel.

(G) No faculty member may hold a split (joint) appointment which reflects more than a total of 1.0 full-time equivalent.

5.7.3

STAFF
The policy for Norman Campus faculty with twelve month contracts shall apply to the Norman Campus staff who are on the monthly payroll. Each vice president may stipulate a more restrictive policy pertaining to staff within their administrative areas. With prior written approval, such individuals may engage in professional activities for extra remuneration (within the University or from outside sources or in any combination of the two) to a maximum of 25% of their twelve month full-time professional effort, but they may not receive extra compensation for teaching in summer terms or for performing sponsored research.

Norman campus staff who are on the fixed payroll shall request approval of outside employment on a form, Request for Permission to Engage in Outside Employment, available from the Office of Human Resources. All activities performed inside the University for extra compensation must be arranged, as regular assignments are, with the agreement of the appropriate department head, dean where applicable, and Senior Vice President and Provost.

5.7.4

GENERAL
If this policy creates a demonstrable hardship for a University program or employee, exceptions can be granted by the President in response to a written request.

The base period for the policy is June 1 through June 30.

(Regents, 6-12-75, 7-12-77, 1-27-04)

5.7.5
ADMINISTRATIVE/STAFF TEACHING POLICY

OU administrators and staff members are encouraged to become involved in the instructional mission of the University by teaching courses. The expertise of OU staff can be of great benefit, and regular contact with students and ideas can help them do their jobs better. Staff members and administrators should seek adjunct or other special faculty appointments when their qualifications and availability serve to meet the instructional needs of the University.

Teaching should complement and not interfere with or substitute for the primary duties of administrators and staff. Normally, teaching should be on an in-load basis. Extra compensation from the University clearly is inappropriate for administrators and staff members with full-time appointments. An adjustment in FTE appointment may be made to account for time spent teaching. On a case-by-case basis, exceptions may be approved if the course is taught in the evenings or on weekends. Requests for exceptions should be forwarded through the departmental chair and college dean to the Office of the Senior Vice President and Provost.

(President, 9-10-91)

5.8

ADVANCED PROGRAMS

Advanced Programs, an important delivery system for the continuing education mission of the University, has enabled significant numbers of adult learners who do not have access to campus programs to secure graduate degrees from the University of Oklahoma. As a department establishes an Advanced Program, it should appoint or elect an Academic Program liaison (faculty member) to facilitate the delivery of this instruction. This liaison shall report directly to the chair of the department and, through the chair, to the dean of the college on all academic policy matters. On all matters regarding contract compliance and operational issues—such as student advising and record keeping, assignment of the faculty, etc.—the Academic Program liaison shall coordinate with the Director of Advanced Programs. The dean of the college and the Vice Provost of Continuing Education (in consultation with the Dean of the Graduate College) shall have joint supervisory responsibility for these programs.

5.8.1

ADVANCED PROGRAMS TEACHING

An individual wishing to accept an overload teaching assignment with advanced programs shall comply with the following guidelines:

(A) The request to teach in Advanced Programs must come from the department chair or his/her designee and must be submitted in a written memorandum or appropriate form to the Director of Advanced Programs, College of Continuing Education.

(B) Individual instructors of graduate-level courses must have approval for graduate faculty status from the Graduate College.

(C) Teaching assignments for Advanced Programs must not interfere with the ongoing teaching or administrative responsibilities of instructors.

(D) In addition to approval from the departmental chair, the teaching assignment must be approved by the cognizant dean or administrator of the department or administrative unit where the individual has the majority of her/his faculty or staff assignment; and, must have the approval of the Vice Provost for Continuing Education or his/her designee.

(E) The Professor Statement of Agreement must be approved by the departmental chair and a copy filed in the affected departmental office or administrative unit and will indicate that the existing work assignments of the instructor will be met during his/her absence. This can include activities such as: obtaining commitments for guest lecturers during the classes that are missed; extra research and/or field studies in lieu of class sessions; personal payments to qualified substitute lecturers; special
weekend and administrative assignments in lieu of regular administrative work; etc. This Statement of Agreement (original) must be submitted to the College of Continuing Education at least four weeks before the Advanced Programs teaching will occur.

(F) Even if all of the above procedures are followed, it must be recognized that teaching in Advanced Programs and using accrued paid leave, as per the Faculty and Staff Handbooks for the University of Oklahoma, are at the discretion of the individual’s immediate supervisor and must be approved by him or her.

(Vice Provost for Continuing Education, 6-30-88, 12-1-93, 8-8-94, 1-23-98)

5.9

POLITICAL MEETINGS ON CAMPUS

5.9.1 Campaign activity for individuals or organizations in conjunction with campus, local, state, or national elections shall be permitted on the campus in public places. However, this action shall not authorize variances with other provisions outlined in the University of Oklahoma Student Code.

5.9.2 The Office of Student Affairs must be notified of all UOSA campaign activity prior to any campaigning. All other local, state, or national political campaigning or election activity must be registered with the Office of the Vice President for Administration and Finance.

5.9.3 Registered student organizations may schedule rooms in University facilities for organized campaign meetings.

5.9.4 Campaigning in University operated or approved housing:

(A) Distribution of printed literature under doors without knocking is permitted from 12:00 noon to 9:00 p.m.

(B) Between the hours of 12:00 noon and 9:00 p.m., door-to-door campaigning is allowed and may be regulated or prescribed by the Office of Student Affairs and/or house vote.

(C) The right of privacy of those individuals who indicate a desire not to be disturbed by door-to-door campaigning shall be respected. These individuals must indicate such a desire by placing a sign or sticker in prominent display on their doors.

(D) Lounges may be regulated in a manner prescribed by house or floor vote. If no such procedures are established, campaigners will have free use of the lounge within visitation hours unless a majority of the residents express their objections.

(E) The above policy applies except where visitation restrictions prohibit access.

(F) Any student participating in a UOSA-conducted election is subject to all Student Congress legislation concerning elections, campaign rules, and decisions of the UOSA election commissions.

(Student Code)

5.10

POLICY REGARDING CONFLICTS OF INTEREST (Norman campus only)

5.10.1

STATEMENT OF GENERAL POLICY

(A) The University of Oklahoma is a public institution committed to the mission of teaching; research and creative/scholarly activity; professional and University service; and public
outreach. To these ends, the University strives to maintain an atmosphere that promotes free, open, and objective scholarly inquiry and compatible professional interactions while recognizing its obligations and limitations as a public institution.

(B) Conflicts of interest are not uncommon in a modern university. The University actively recruits and recognizes individuals with creative abilities who can contribute to interactions not only in the classroom and laboratory but also in the business community. There exist many opportunities to develop relationships with external organizations, public and private, that enhance one's professional competency, render valuable service to the community, and benefit the University. Such interactions and relationships can create conflicts of commitment or interest that must be governed in a manner consistent with institutional and public values. The existence of a conflict is often not clear-cut; however, an undisclosed or unmanaged conflict can irreparably damage reputations that may have taken a lifetime to establish, and thus impair the University’s standing. Accordingly, University Employees must be watchful that their relationships and activities do not create, or appear to create, unmanageable conflicts.

(C) A Conflict of Interest refers to situations in which financial or other personal considerations may compromise an Employee's professional judgment in carrying out his/her University responsibilities that include but are not limited to teaching, research, service, contract administration, and purchasing. When used in this policy, the term Conflict of Interest (“Conflict”) means (1) an actual conflict of interest exists, or (2) the potential exists for a conflict of interest to occur, or (3) there appears to be a conflict of interest; i.e., if made public, it could discredit the Employee or the University. The term also includes a Conflict of Commitment. Employees are expected to know and comply with the applicable laws and policies related to their appointment as University/State Employees.

(D) The purpose of this policy is to provide procedures and guidance for identifying, disclosing, and managing Conflicts of Interest to assure that such Conflicts do not improperly affect the activities or professional conduct of the University or its Employees. Appropriate disclosure, review, and management provide protection from legal liability and ethical criticism for Employees and the University.

5.10.2

GOVERNING AUTHORITY
Governing authority for this policy is derived from State and federal laws, rules, and regulations as well as the policies of the University of Oklahoma Board of Regents. This policy overlaps with, but does not replace, University Employee responsibilities, under such governing authority which, in some instances, will include additional prohibitions, penalties, and reporting duties. Compliance with State and federal laws, rules, and regulations does not necessarily eliminate or provide suitable management of a Conflict, which still must be addressed in accordance with this policy.

5.10.3

DEFINITIONS
(A) APPROPRIATE VICE PRESIDENT
The vice president with authority over the unit or activity in which the Conflict of Interest has been identified or his/her designee. For example, if the disclosure regards a research activity, the Vice President for Research will provide oversight, regardless of where the individual is employed within the University. If the activity is not research-related, the vice president with authority over the unit or activity will provide oversight.

(B) BOARD
Board of Directors or Advisory Board.

(C) COMPANY OR ORGANIZATION
Any entity (for-profit or non-profit), including a Spin-Off Company, other than the Board of Regents of the University of Oklahoma.

(D) **COMPENSATION**
All remuneration or other things of value received in payment for services rendered, such as salary, gifts, stocks, favors, or other items of value.

(E) **CONFLICT OF COMMITMENT**
Time or effort devoted to professional activities that may adversely affect or interfere with an Employee’s primary University responsibilities and obligations.

(F) **CONFLICT(S) OF INTEREST (CONFLICT)**
Refers to situations in which financial or other personal considerations may compromise an Employee's professional judgment in carrying out his/her University responsibilities such as teaching, research, contract administration, or purchasing. When used in this policy, the term Conflict of Interest means (1) an actual conflict of interest exists, or (2) the potential exists for a conflict of interest to occur, or (3) there appears to be a conflict of interest; i.e., if made public, it could discredit the Employee or the University. The term also includes a Conflict of Commitment.

(G) **EMPLOYEE**
Any person possessing a full- or part-time faculty or staff appointment at the University. For the purposes of this policy, Employee also includes adjunct faculty, postdoctoral fellows, residents, and volunteers. In addition, graduate and undergraduate students, whether or not paid, who work on grants or contracts are considered Employees for the purposes of this policy.

(H) **EQUITY**
Ownership interest in a Company, such as stock and stock options.

(I) **FAMILY**
Includes any individual who is a spouse/domestic partner, parent, child, stepparent, stepchild, mother-in-law, father-in-law, son-in-law, daughter-in-law, grandparent, or grandchild of an Employee or a member of the Employee's household.

(J) **FINANCIAL INTEREST**
Anything of monetary value including, but not limited to, Equity.

(K) **GIFT**
Anything of value to the extent that consideration of equal or greater value is not received in exchange, as set forth in the State Ethics Commission Rules Governing the Ethical Conduct of State Officers and Employees.

(L) **INSTITUTIONAL BASE SALARY**
The annual guaranteed compensation paid by the University for an Employee’s appointment, whether that individual's time is spent on research, teaching, patient care, and/or other University activities.

(M) **MANAGEMENT PLAN**
Written plan to manage, mitigate, or eliminate a disclosed Conflict of Interest.

(N) **OPERATING OFFICER**
An executive of a Company (with or without salary); e.g., Chief Executive Officer, Chief Operating Officer, Chief Financial Officer, President, Vice-President.

(O) **PRINCIPAL INVESTIGATOR**
Any person who is responsible for the design, conduct, or reporting of Research.

(P) **PUBLIC HEALTH SERVICE (PHS)**
An operating division of the U.S. Department of Health and Human Services, and any components of the PHS to which the authority involved may be delegated.

(Q) **RESEARCH**
A systematic, intensive study intended to increase knowledge or understanding of the subject studied, a systematic study specifically directed toward applying new knowledge to meet a recognized need, or a systematic application of knowledge to the production of useful materials, devices, and systems or methods, including design, development, and improvement of prototypes and new processes to meet specific requirements. Also termed “research and development.”

(R) **SCIENTIFIC OFFICER**
The person responsible for conceiving, evaluating, and/or executing Research for a Company (with or without salary).

(S) **SENIOR VICE PRESIDENT AND PROVOST**
The chief executive academic and administrative officer of the University or his/her designee.

(T) **SIGNIFICANT FINANCIAL INTEREST**
Financial interests above a certain threshold:

1. Interests that when aggregated over the next twelve months for the Employee and the Employee’s spouse/domestic partner and children, meet either of the following tests:
   
   a. Exceeds $5,000 in value as determined through reference to public prices or other reasonable measures of fair market value, unless the sponsoring agency has more stringent/restrictive financial requirements or thresholds, in which case those will prevail, or
   
   b. Represents more than a five percent ownership interest in any single entity.

2. Interests that exceed $1,000 in dividends derived during the preceding calendar year.

3. Interests that involve the ownership or promise of stock or stock options of any amount in a Spin-Off Company.

4. Annual income for professional or consulting service from a Company in excess of 25% of the Employee’s Institutional Base Salary.

(U) **SPIN-OFF COMPANY**
A Company that is organized to develop and/or commercialize specific University intellectual property. Spin-Off Companies are typically privately held, for-profit Companies with licenses to develop and/or commercialize University intellectual property created by University Employees and in which those Employees often own some or all of the Company.

(V) **UNIT HEAD(S)**
An Employee’s supervisor, such as his/her Department Chair, Center Director, or Dean. Faculty with split appointments may have more than one Unit Head.

(W) **UNIVERSITY**
The University of Oklahoma, Norman Campus.

(X) **UNIVERSITY RESOURCES**
All University facilities, equipment, real and personal property, intellectual property, and human resources.

5.10.4
WHEN IS THERE A CONFLICT OF INTEREST?
Unless disclosed and approved, or otherwise permitted by law or University policy, University Employees may not:

(A) Disclose confidential and/or proprietary information acquired through their University employment to anyone not entitled to receive it, nor use such information for personal gain or benefit; e.g., providing a Company with early or exclusive access to Research results, except in compliance with a sponsored research agreement or grant;

(B) Use their University position to obtain special privileges or compensation;

(C) Knowingly seek or accept anything of value intended to or that may be perceived to affect their judgment in the performance of their University responsibilities;

(D) Have any interests, engage in any business or professional activities, or incur any obligations that conflict, or appear to conflict, with the performance of their University duties in the absence of guidelines or a management plan that mitigates any real or perceived conflict;

(E) Influence or appear to influence University financial, Research, or other decisions for procuring materials or services from Companies in ways that lead or may lead to personal gain for themselves or their Families;

(F) Use their University position to market or endorse the goods or services of a Company; or

(G) Participate in Research or technology transfer activities that compromise or appear to compromise objectivity and judgment in the design, conduct, or reporting of the Research.

Nothing in this policy prohibits any academic or administrative unit from establishing supplementary Conflicts of Interest policies and/or procedures that are more restrictive than those included in this policy.

5.10.5
IDENTIFYING CONFLICTS OF INTEREST

Identification and disclosure of Conflicts of Interest can protect the Employee and the University from damage to reputations and professional activities. Employees may contact their supervisor, Appropriate Vice President, or the Office of Legal Counsel with questions regarding Conflicts. The conditions, circumstances, and relationships described in this section could result in Conflicts. Each Employee is required to identify and disclose all Conflicts relating to, but not limited to, each of the categories below:

(A) FINANCIAL CONFLICTS OF INTEREST
Although most disclosures of Financial Interests will probably be deemed de minimis Conflicts, Financial Interests above certain thresholds will automatically be deemed by law or regulation to be Significant Financial Interests and will require closer scrutiny, and possible elimination, mitigation, and/or management.

Some outside financial activities, such as ownership of shares in a mutual fund or an ownership interest in a family or other business that (1) has no business relationship to the University and (2) is engaged in activities that are unrelated to the Employee’s academic or professional duties, do not fall within these thresholds, and so should not be reported for these purposes.

The thresholds are as follows:

(1) Interests that when aggregated over the next twelve months for the Employee and the Employee’s spouse/domestic partner and children, meet either of the following tests:
(a) Exceeds $5,000 in value as determined through reference to public prices or other reasonable measures of fair market value, unless the sponsoring agency has more stringent/restrictive financial requirements or thresholds, in which case those will prevail, or

(b) Represents more than a five percent ownership interest in any single entity.

(2) Interests that exceed $1,000 in dividends or similar interests derived during the preceding calendar year.

(3) Interests that involve the ownership or promise of stock or stock options or similar interests of any amount in a Company in which the University owns equity or was created by virtue of University-developed technology.

(4) Annual income for professional or consulting activity from a Company in excess of 25% of the Employee's Institutional Base Salary.

(B) USE OF UNIVERSITY RESOURCES

University Resources are acquired and maintained to carry out the education, research, and public service missions of the University. Except for insignificant and incidental use, an Employee may not use University Resources for personal, non-public or non-University purposes, with the exception of specific non-university purposes that have been determined through a documented process to be within the University’s mission and to the institution’s benefit by the appropriate Vice President. If a question arises regarding what constitutes other than insignificant and incidental use, the Employee should consult a supervisor for clarification. Many conflicts of interest in using University Resources, particularly those relating to private companies in which a faculty member is involved, can be resolved.

(1) Facilities, Equipment, Real and Personal Property. Employees using University facilities are required to comply with the University’s Facility Use policy (http://www.ou.edu/content/realestate/use/jcr%3acontent/rt_par/download/file.res/ou-facility-use-policy-2002.pdf and Faculty Handbook 3.29.2(H)). In keeping with State of Oklahoma constitutional provisions and subject to applicable law and all pertinent University policies, rules, and regulations, a private business may access University R&D facilities if the University, acting through its appropriate officers and employees (e.g., Department Head, Dean having oversight responsibility for programs taking place in the facility, Executive Director of Research Services, etc.), determines, in its sole and absolute discretion, that: (i) pursuant to written agreement, the private business is involved in a collaborative project with the University involving University faculty or student collaborators or University technology; (ii) the private business provides sufficient legal and financial consideration for such use (material and substantial economic benefit to the state and/or University, can be a factor); (iii) the results of the collaboration have potential economic value for the parties; (iv) the facilities and their use by the private business participating in the collaborative project are suitable to the origination, nature, and purposes of the facility, in the University’s sole and absolute discretion; and, (v) such access would materially benefit the University and/or further one or more of the University’s missions. In the case of research facilities, the Office of Research Services (ORS) is responsible for the negotiation and authorization of such use through Facilities Use Agreements (FUA). Such agreements are annually renewable. See also Section III. F.7 of this policy. The Office of Sponsored Programs (OSP) is responsible for Oklahoma Center for Continuing Education (OCCE) facilities use. Use of University facilities for non-research purposes will be negotiated and authorized by the Appropriate Vice President.

(2) Intellectual Property issues are managed under the University's Intellectual Property Policy found in the Faculty Handbook (3.29), the Staff Handbook (3.14), and the OU Regents Policy Manual (3.1.8).
(3) Human Resources. Human resources must not be exploited in the course of an Employee's activities. Human resources include students, postdoctoral fellows, residents, faculty, and staff. It is especially important to be alert for the misuse of human resources since it often results from innocent or unconscious action.

(C) USE OF OFFICIAL POSITION
State law prohibits any state officers or state Employees from using their official positions to obtain private benefits or to solicit or secure special privileges, exemptions, or compensation for themselves or others, except as allowed by law.

For example, University Employees:

(1) Must ensure that time and effort spent on outside speaking, consulting, and other activities do not conflict with or affect the performance of their University responsibilities and are reported as appropriate under the Senior Vice President and Provost's Disclosure of Outside Employment and Extra Compensation policy.

(2) May not use their official University position or the University's name for personal gain or private purposes for themselves or their Families.

(3) May not use their official position to market, promote, or endorse the goods or services of any Company.

(4) May not market, promote, or endorse goods or services in a manner that could be perceived by the public as the University's marketing, promoting, or endorsing those goods or services.

(5) May not contract for services or purchases with their Families or with companies owned in whole or in part by themselves or their Families. Provided, however, exceptions may be granted in unusual circumstances if approved in advance by the Appropriate Vice President and are subject to University Purchasing rules. Requests for an exception must contain a detailed description of the proposed activity and a compelling justification for the provision of services or products by the Employee's Family or related Company. The relationship between the Employee and Family or Company must clearly be disclosed.

(D) CONFLICT OF COMMITMENT

(1) Full-time faculty and staff owe their primary commitment of time and intellectual energies to the University.

(2) Subject to the principles described in 5.7.1 of the Norman Campus Faculty handbook and section 5.3 of the Norman Campus Staff handbook, faculty and staff members may engage in professional activities for extra remuneration (from within the University or from outside sources or in any combination of the two) to a maximum of 25% of their full-time professional effort.

(3) Employees must not allow professional activities to detract from their primary allegiance to the University. Employees must maintain a significant presence on campus unless inconsistent with the scope of their appointment (such as assignment to an off-campus task or office, instructional or research activities that take place off-campus, travel related to academic meetings or faculty sabbaticals, and the performance of other job-related duties that require Employees to spend significant amounts of time away from campus).

(4) Employees with less than full-time appointments may engage in individual consulting relationships and other employment, to the degree that those activities do not interfere or conflict with their obligations to the University and occur outside their University appointment.
INSTITUTIONAL CONFLICTS OF INTEREST

Institutional Conflicts of Interest are managed under the University’s Institutional Conflicts of Interest Policy. See http://digital.libraries.ou.edu/regents/minutes/2010_03_25.pdf (pages 56-57).

RELATIONSHIPS WITH COMPANIES AND ORGANIZATIONS

Generally, although employees may accept positions and hold Financial Interests in privately held, for-profit Companies, relationships with (a) for-profit Companies that are doing business with the University or (b) Companies in which Employees have a direct financial stake may create Conflicts that require disclosure, assessment, and management. Employees may also be prohibited from involvement in particular business arrangements by governing law.

Employees with an ownership interest in Companies should be aware of the following state ethics rule: No Employee shall sell, offer to sell, or cause to be sold; rent; or lease (either as an individual or through any Company in which the Employee holds a Financial Interest) goods, services, buildings or property to the University. Exceptions to this rule are: 1) contracts for goods or services valued at less than five thousand dollars ($5,000), and 2) contracts entered into after public notice and in response to a University bid or request for proposal (RFP).

EQUITY AND OTHER FINANCIAL INTERESTS

Employees who propose to become involved with a Company in which they have a Financial Interest, including but not limited to Equity, must promptly disclose the interest to the University if (1) the Company proposes to or does business with the University or (2) the Company operates in an area that overlaps with the Employee’s academic or professional University position. Employees having income from or Equity in such Companies should recognize that their ability to conduct Research sponsored by that Company may be restricted, or their objectivity compromised, because of Conflicts created by their income from or Equity in the Company. When intellectual property is produced by an Employee in the performance of his/her official University duties or through the use of University Resources, the Employee may receive income or Equity under contract through the University from a Company commercializing the intellectual property.

Financial interest in a Company that does not do business with the university or that does not operate in an area that overlaps with the Employee’s academic or professional University position should not be disclosed under this policy.

MEMBERSHIP ON BOARDS

Service on a for-profit Company’s or non-profit Organization’s Board of Directors or Advisory Board is normally acceptable; however, when the Company or Organization proposes to do or is doing business with the University, Conflicts may arise because fiduciary obligations to the Company or Organization may conflict with primary obligations to the University to act in its best interests. When such a Conflict arises or is anticipated, Notice to and approval of Board membership by the Appropriate Vice President and recusal from Board matters involving University interests are required. This Notice and approval protects both the employee and the University and should not be an onerous process. In some cases, an employee’s involvement with a particular Company’s or Organization’s Board may rise to a level that recusal is not sufficient to mitigate real or perceived Conflicts. In those cases, the Appropriate Vice President should be notified to determine whether continued service on the Board in question is in the best interests of the University and, if so, to develop a Conflict Management Plan.

Employees may be permitted to serve on the Board of a Company that has licensed University technology if the service is disclosed in advance to and with approval of the Appropriate Vice President. An employee who is allowed to assume a Board position should recognize that his or her ability to conduct Research that is sponsored by the Company may be restricted because of the Conflict created by the Board position. Employees who assume Board positions must recuse themselves from all Board decisions that involve the University.
(3) SERVICE AS AN OPERATING OFFICER
An Employee must disclose service or plans to serve as an Operating Officer of any Company or Organization in which the University owns a Financial Interest or with which there is a Conflict with the Employee's University position (including financial conflicts, conflicts of effort, use of university facilities, potential or real overlap between university research and company research, and ownership of intellectual property). If an Employee wishes to serve as an Operating Officer, under such circumstances, he/she must work with the Appropriate Vice President to put in place a management plan to mitigate conflicts or, failing that, may request a leave of absence from the University for a specified period of time, in accordance with policies in the Faculty and Staff Handbooks.

(4) SERVICE AS A SCIENTIFIC OFFICER
An Employee may serve as a Scientific Officer for a Company with the prior written permission of the Unit Head, Dean, and Appropriate Vice President. Such service must be through a written agreement between the University and the Company. The term of service as a Scientific Officer should ordinarily be for one year, renewable with written approval of the Employee's Unit Head, Dean, and the Appropriate Vice President.

(5) CONSULTING RELATIONSHIPS AND MULTIPLE ACTIVITIES
Where consulting and other activities are performed for individual remuneration for a Company or Organization in which the Employee holds Equity; receives compensation; serves as a Scientific Officer; has a Board seat; has multiple professional relationships with the Company or Organization (e.g., consulting and research agreements); or, as permitted under this policy, serves as an Operating Officer; any consulting relationship with the Company or Organization must be disclosed and receive prior review and written approval from the Employee's Unit Head, Dean, and the Appropriate Vice President.

This policy does not apply to consulting and other activities in which the Employee has no other relationship with the Company or Organization apart from employment to undertake a specific task or activity. Those latter activities fall under the Outside Employment policies as outlined in 5.7.1 of the Norman Campus Faculty Handbook and section 5.3 of the Norman Campus Staff Handbook.

Employees who enter into confidentiality or nondisclosure agreements with multiple companies or other outside entities may face challenges in maintaining specific confidentiality requirements across those different interactions, particularly when the intellectual content is similar or overlapping. Therefore, it is essential to limit the amount of confidential information received from the Company and to have the Company agree to clearly identify such proprietary information by marking it as "confidential." On occasion, it may be necessary to report Company proprietary information to the University in order for an Employee to report an invention. In this case, the proprietary information may be protected by executing a non-disclosure agreement between the company and the University.

When the disclosure of proprietary information occurs, either from the University to the Company or from the Company to the University, as a result of a sponsored agreement between the Company and the University, a nondisclosure agreement must be negotiated and signed on the Employee’s behalf by the University. The University will assist Employees engaged in sponsored research involving confidentiality clauses and/or agreements in evaluating their risks of conflicts of interest flowing from those confidentiality agreements and in developing management plans to mitigate such risks. The extent to which Employees are exposed to risks due to confidentiality agreements or clauses in sponsored projects should be reviewed periodically and whenever a new sponsored project is initiated.

It is important to note that any information disclosed by a Company to the University may be subject to Oklahoma Open Records Act requests or Federal Freedom of Information Act requests.
It is the University’s practice to limit, to the extent possible, the sharing to a Company of information that is confidential or proprietary, including research results and technologies developed by the University. Doing so has implications for export control restrictions and other considerations and thus no such sharing should occur without first consulting the Appropriate Vice President.

It is not uncommon for a company to disclose proprietary information to an Employee acting as an outside consultant. In doing so, the company often wants written assurance that this information will be kept confidential. Confidentiality can be challenging for an Employee involved in open, free exchanges of information in a public university setting, and the company’s documentation in this regard should be scrupulously examined.

(6) SUPPORT OF STUDENTS AND TRAINEES BY COMPANIES
The progress and academic standing of students and trainees must never be compromised. Employees supervising students and trainees working on a funded activity in which there is the potential for the creation of Intellectual Property must inform them in writing of the source(s) of their funding support, disposition of intellectual property, management of proprietary information, and handling of publication rights prior to assigning the students or trainees to a Research or training project supported by a Company or Organization. (See also “Patent Policy” in the Graduate College Bulletin http://www.ou.edu/content/dam/gradweb/documents/Publications/GCBulletin.pdf).

A student's academic program cannot be supported by a Company or Organization in which the Employee supervising the student’s academic program has Equity, serves on a Board, or serves as an Operating Officer or Scientific Officer, unless specifically approved in writing by the Dean of the Graduate College and the Senior Vice President and Provost. If approved, support (e.g., stipends, tuition, salary, scholarships) for students and trainees provided by Companies or Organizations must comply with all of the following provisions:

(a) The College department, program, or unit approves the recipient;
(b) The funds are provided to the University;
(c) The recipient is not subject to any implicit or explicit expectation of providing or foregoing something in return for the support; i.e., a "quid pro quo";
(d) The Company does not withhold or unreasonably limit publication of the student's research. University trainees and students may not be employed by any Company to conduct Research that overlaps with their University training or academic program. In addition, a faculty member with supervisory responsibility for an Employee may have a potential Conflict in also serving as mentor for the same individual as a student; therefore, any proposed employment of a trainee or student by a Company to work on Company Research that does not overlap with their training or academic program in which the mentor has Equity, serves on a Board, or serves as an Operating Officer or Scientific Officer of the Company must be approved in advance by the Dean of the Graduate College and the Senior Vice President and Provost;
(e) Evaluations of student performance, salary, and other matters are handled by an individual who holds a position above that of the Employee supervising the student’s academic program.

This policy applies solely to sponsored projects in which the sponsor is a Company or Organization in which a faculty member has a financial interest. The policy is intended to manage any conflicts that may arise from the faculty member’s simultaneous roles as someone with a financial interest or other interest in the company and as a mentor to graduate students employed on a project sponsored by that
Company or Organization. This policy does not apply to sponsored projects in which a faculty member does not have a financial or other interest as defined in sections III.A or III.F.1-5 of this document.

(7) COMPANY OR ORGANIZATION USE OF UNIVERSITY EQUIPMENT AND SPACE
An Employee may not use or allocate University equipment or space for personal, non-public, or non-University purposes, except as provided by University policy. Limited use of University space and designated equipment by a Company or Organization may be permitted in accordance with governing law following review and approval by the Appropriate Vice President. The terms and conditions of such use shall be reduced to writing and signed by the Appropriate Vice President and the Company or Organization in accordance with University policy.

(8) FUNDING FOR SPONSORED RESEARCH AND SERVICE ACTIVITIES
Employees may not act as a Principal Investigator on sponsored projects administered outside the University, except as allowed by Board of Regents' policy. There is a presumption against accepting funding from a Company or Organization for a project in which an Employee, acting on behalf of the University as the Principal Investigator, meets one or more of the following criteria: (i) the University or the Employee has a significant Financial Interest, (ii) the Employee serves on the Board of the Company, or (iii) the Employee serves as an Operating Officer or Scientific Officer.

The presumption is applied as follows: When a Company or Organization proposes to contract for Research or services to be conducted by such an Employee or anyone under the direction of that Employee and the Research or services involve neither human research participants nor validation testing, the presumption against accepting funding may be rebutted if, in the judgment of the Appropriate Vice President, one of the following is met:

(a) The Employee's influence over the Company's or Organization's decisions and the possible commercial or private benefit from the Research or services are negligible.
(b) The Research or service is essential to maintain the continuity of an effort related to University licensed intellectual property during a short interval of time, normally not greater than one year.
(c) The Employee's relationship with the Company or Organization does not involve additional relationships with the Company or Organization such as consulting or service agreements or Board membership, so that the likelihood of any distortion of the Research or service outcome is minimal.

Employees who meet one or more of these criteria and also supervise the academic programs of students and trainees employed by a project or service sponsored by the Company or Organization in question shall inform them in writing of the source(s) of funds, disposition of intellectual property, management of proprietary information, and handling of publication rights prior to assigning the students or trainees to a Research or training project.

The University may not conduct testing to validate to the public an invention created at or by the University, intended to be patented. Such validation must be undertaken by a third party to insure the integrity of the patent application.

(9) SBIR / STTR PROGRAMS
Under Small Business Innovation Research (SBIR) and Small Business Technology Transfer (STTR) programs, small businesses are encouraged to partner with a research university to perform innovative research and/or to assist in technology transfer from the university. A University Employee may participate in the SBIR/STTR project only through a contract between the University and the Company that outlines the Employee's responsibilities and/or University benefits or with written authorization by the Dean and Vice President for Research.
SBIR/STTR programs can produce a variety of complex situations with regard to conflicts issues. Therefore, Employees are required to comply with the following:

(a) A University Employee with any role on an SBIR/STTR project must submit the entire grant application (University's portion and small business's portion) to the Office of Research Services (ORS) or to Outreach Sponsored Programs (OSP) to enable the appropriate reviews to take place before submission of the application to the funding agency.

(b) The Principal Investigator for the small business SBIR/STTR application and the principal investigator for the subcontract to the University must be different individuals.

(c) If a University Employee or his/her Family has a Financial Interest in a Company, that individual may not bring Research into his/her University laboratory through an SBIR or STTR contract involving that Company, except through a contract between the Company and the University.

(d) The Company must provide evidence of availability of functioning space in which Research activities can and will take place prior to submission of the grant application.

(e) The Employee must notify the Vice President for Research and/or ORS or The Vice President for University Outreach and/or OSP (as appropriate) in writing upon receipt of an SBIR/STTR award. If the Employee is serving as the Principal Investigator of the small business concern on an SBIR grant, he/she must also provide documentation of approval from the appropriate Dean to reduce his/her University appointment to commit the required minimum 51% effort as the SBIR Principal Investigator of the small business concern.

(f) Prior to the start of the project, a contract between the University and the Company must be executed outlining the Employee's responsibilities and/or University benefits or the Employee must obtain written authorization by the Dean and the Vice President for Research or the Vice President for University Outreach (as appropriate) to proceed. There must be a clear distinction between the work done by or on behalf of the Company and the work performed by or on behalf of the University.

(g) The Employee must work through his/her college/department to reduce his/her appointment if serving as the Principal Investigator on an SBIR award for the company.

5.10.6

FINANCIAL INTERESTS INVOLVING HUMAN RESEARCH PARTICIPANTS

All Financial Interests of an Employee serving as an investigator in Research involving human research participants must be disclosed and managed under the University's Human Research Participant Protection (HRPP) policy, SOP 104A, "Conflict of Interest - Investigators". (See link: http://www.ouhsc.edu/irb-norman//default.asp).

An investigator with a Conflict in Research involving human research participants may conduct that Research only with an HRPP-approved Management Plan. However, the Norman Campus Vice President for Research has final authority to disallow Research determined to be contrary to the best interests of the University.

5.10.7

DISCLOSING CONFLICTS OF INTEREST

Employees must disclose a Conflict whenever a new activity or relationship arises and also on an annual basis in accordance with this policy. To ensure all required disclosures are made under this policy Employees should
Contact the Unit Head, Dean, or Appropriate Vice President if there is any question whether an activity or relationship requires disclosure. All disclosures will be forwarded to the Senior Vice President and Provost. Failure to disclose Conflicts can result in administrative sanctions, severe sanctions, and/or civil and criminal penalties.

(A) WHAT TO DISCLOSE

When used in this policy, the term Conflict of Interest ("Conflict") means (1) an actual conflict of interest exists, or (2) the potential exists for a conflict of interest to occur, or (3) there appears to be a conflict of interest; i.e., if made public, it could discredit the Employee or the University. Disclosure of Conflicts is required for the following in accordance with this policy:

1. FINANCIAL CONFLICTS OF INTEREST ABOVE THE SPECIFIED THRESHOLDS
2. CONFLICTS OF COMMITMENT
3. RELATIONSHIPS WITH COMPANIES AND ORGANIZATIONS
   a. Equity and other Financial Interests
   b. Board membership
   c. Service as an Operating Officer
   d. Service as a Scientific Officer
   e. Consulting relationships with Companies and Organizations
   f. Multiple professional relationships with Companies and Organizations
   g. Company support of students and trainees
   h. Company and Organization use of University equipment and/or space
   i. Sponsored research support from Companies or Organizations in which the Employee or University has a Significant Financial Interest
   j. Compensation for professional services to a Company or Organization
   k. Financial Interests involving human subjects research
4. EXAMPLES: Although all possible required scenarios cannot be itemized here, the following are examples of circumstances that DO require disclosure under this policy:
   a. Participating in University Research on a technology owned, licensed, or contractually obligated to a Company with which the Employee or his/her Family has a Financial Interest.
   b. Receipt of University Research support (whether in dollars or in kind) from a Company with which the Employee or his/her Family has a Financial Interest.
   c. Receipt of royalties on products undergoing Research or testing under the supervision or control of the Employee.
(d) Service on a board of directors or scientific advisory board of, or executive position with, a Company from which the Employee, Employee's Family, or a Company or Organization associated with the Employee or his/her Family receives sponsored project support.

(e) Receiving funds, gifts, or any compensation from a Company or Organization that is sponsoring an Employee's Research or other sponsored activity, for activities or purposes unrelated to the actual costs of performing that Research or other sponsored activity.

(f) Assigning to students tasks related to an Employee's involvement with a Company or Organization.

(g) Purchasing equipment, services, or supplies for Research or other University activity from a Company with which the Employee, the Employee's Family, or a Company associated with the Employee or his/her Family has a Financial Interest.

(h) Receipt of any non-royalty payments or entitlements to payments in connection with the Research or other University activities that are not directly related to the reasonable costs of the Research or other University activities (as specified in an agreement between the sponsor and the University). In addition, in all publications and presentations. Employees must always disclose Financial Interests in any Company that supports Research or other sponsored activity being reported.

(B) WHEN TO DISCLOSE
If a conflict exists or is suspected, disclosure is required with:

(1) Each new and renewal proposal, grant application, and contract submitted to the Office of Research Services (ORS) or Outreach Sponsored Programs (OSP) whichever is applicable.

(2) Each new or modified activity or relationship with a Company (i.e., license agreement with Spin-Off Company).

(3) Each new circumstance, situation, or activity that is not associated with an ORS or OSP submission and is a Conflict of Interest.

The Employee's Unit Head and Dean or associate vice president/dean, whichever is appropriate, shall review and discuss the disclosure with the Employee as necessary. If it appears that a conflict exists, the appropriate administrator will forward written recommendations regarding the elimination, mitigation, and/or management of any identified Conflict(s) to the Appropriate Vice President for review and final decision on how to proceed. The Appropriate Vice President may consult with others, such as a committee appointed for that purpose. The Employee shall be notified in writing of the decision, including any requirements for immediate action and plans for continued monitoring of the Conflict.

(C) HOW TO DISCLOSE
All disclosures are to be made on the "Conflicts of Interest Disclosure Form." As appropriate, the Conflicts of Interest Disclosure Form is incorporated into the Office of Research Services Routing Forms for submissions that may be affected by a conflict. Other, non-ORS related disclosures (including those arising from OSP-related projects) are made on forms maintained by the Senior Vice President and Provost's Office and the IRB and submitted to the Appropriate Vice President. See Appendix G and the Office of Research Services, Senior Vice President and Provost, and IRB websites (http://www.ou.edu) for disclosure forms with contain specific instructions.

5.10.8

ELIMINATING, MITIGATING, OR MANAGING CONFLICTS OF INTEREST
After a Conflict has been identified and disclosed, the Employee involved shall develop a written Management Plan for submission to the Appropriate Vice President in order to eliminate, mitigate or manage the Conflict. The plan may include, but is not limited to:

(A) Full internal disclosure and annual updates on University disclosure forms;

(B) Public disclosure;

(C) Disclosure to individuals or entities with relevant interests such as institutional committees, research participants, journals, and data safety monitoring boards;

(D) Modification of the activity;

(E) Divestiture of financial interests of the Employee and/or his/her Family;

(F) Reduction of involvement or severance of relationships that create the Conflict;

(G) Alteration of participation in all or a portion of the activity;

(H) Transferring securities to an independent financial manager or blind trust or limiting the timing of sales or distributions;

(I) Oversight of activity by an appropriate supervisor or independent reviewer;

(J) Termination of student or post-doctoral fellow involvement in the activity;

(K) Independent clinical review of the appropriateness of clinical care given to research participants, if applicable;

(L) Monitoring the informed consent process.

After implementation of a Management Plan and commencement of the activity or relationship, the Appropriate Vice President will review the effectiveness of the Plan as often as deemed necessary, but not less frequently than every twelve months. If, during the conduct of the activity, the Appropriate Vice President determines that the Conflict has not been properly managed or has become unmanageable under the Plan, he/she will then, among other options, review the activity and, as necessary, refine the Plan accordingly and/or require a new disclosure. If an outside funding agency requires notification of the Conflict, the Appropriate Vice President will notify the agency in accordance with agency requirements. For activities with Companies in which the Employee has Equity or serves as an Officer or on the Board, the Management Plan must comply with Section III. F., Relationships with Companies and Organizations, of this policy.

Many federal agencies also have Conflict of Interest policies that have implications for University Employees who are responsible for and/or partially funded by federal agency grants and contracts. Employees should be aware of those policies and work with ORS and OSP in applying them as applicable.

5.10.9

SANCTIONS

University sanctions may include, without restriction, reprimand, restitution, loss of pay, suspension, or dismissal. Persons who violate this policy also may be subject to civil and criminal penalties for violations of state or federal law; e.g., civil penalties for willful violations of state laws may reach $50,000 or more per violation. Allegations against an Employee for breach of this policy should be reported to the Appropriate Vice President for review and action. In the event a violation of this policy also constitutes a breach of any other University policy, the Senior Vice President and Provost, in consultation with the Appropriate Vice President, shall determine which policy shall govern.
5.10.10

UPDATES TO THIS POLICY
Updates to this document will be made as necessary through the appropriate University approval processes. Faculty and staff will be notified of updates to this document. Those updates will include both University policy changes as well as federal and state policy changes that have implications for University Employees.

University Employees who are funded in whole or in part by grants and contracts from federal agencies may be subject to other and/or more stringent Conflict of Interest reporting requirements than those in this policy. In such cases, ORS and OSP will promulgate funding agency-specific policies that will be applied only to Employees who apply for and/or are awarded sponsored projects from those agencies (or subcontracts from other entities that flow down agency-specific policies). The University will enforce any additional reporting requirements as a function of administering projects that require them.

5.10.11

IMPLEMENTATION PLAN
Each Vice President will be responsible for developing implementation plans for the Norman Campus Conflict of Interest Policy. Those implementation plans will be reviewed and approved by the President of the University.

(Regents 9-20-12)

5.11

COMMUNICABLE DISEASE POLICY
The purpose of this policy is to inform faculty and staff members about how the University of Oklahoma will respond to faculty and staff with a communicable disease.

The University wishes to provide a workplace free of hazards and will take reasonable precaution to protect faculty and staff members from peers and others who are known to have communicable diseases.

Information on the communicable disease policy can be obtained from Personnel Services on the Norman Campus. Educational Services at the Oklahoma City campus provides the policy for the Health Sciences Center and College of Medicine Tulsa.

(President, 1-21-91)

5.12

PREVENTION OF ALCOHOL ABUSE AND DRUG USE ON CAMPUS AND IN THE WORKPLACE
The University recognizes its responsibility as an educational and public service institution to promote a healthy and productive work environment. This responsibility demands implementation of programs and services which facilitate that effort. The University is committed to a program to prevent the abuse of alcohol and the illegal use of drugs and alcohol by its students and employees. This policy is based on the Oklahoma Standards for Workplace Drug and Alcohol Testing Act, 40 O.S. §§551 et seq., the Drug Free Workplace Act of 1988 (P.L. 100-690, Title V, Subtitle D), the Drug Free Schools and Communities Act Amendments of 1989 (P.L. 101-226), Prevention of Alcohol Misuse and Prohibited Drug Use in Transit Operations, 49 CFR Part 655, the Federal Omnibus Transportation Employee Testing Act of 1991, and Department of Transportation Rules (49 CFR part 40). The University program includes this policy which prohibits illegal use of drugs and alcohol in the workplace, on University property, or as part of any University-sponsored activities. It shall be Board of Regents’ policy that:

5.12.1 All students and employees shall abide by the terms of this policy as a condition of initial and continued enrollment/employment.
5.12.2 The illegal use of drugs and alcohol is in direct violation of local, state, and federal laws as well as University policies governing faculty, staff, and student conduct. This policy strictly prohibits the illegal use, possession, manufacture, dispensing, or distribution of alcohol, drugs, or controlled substances in the workplace, on University premises, or as a part of any University-sponsored activities.

5.12.3 Violating this policy shall be a major offense which can result in a requirement for satisfactory participation in a drug or alcohol rehabilitation program, referral for criminal prosecution, and/or immediate disciplinary action up to and including termination from employment and suspension or expulsion from the University. A criminal conviction is not required for sanctions to be imposed upon an employee or student for violations of this policy.

5.12.4 Violating applicable local, state, and federal laws may subject a student or employee to a variety of legal sanctions including, but not limited to, fines, incarceration, imprisonment, and/or community service requirements. Convictions become a part of an individual's criminal record and may prohibit certain career and professional opportunities. A current listing of applicable local, state, and federal sanctions can be obtained through the Offices of Student Affairs and Human Resources.

5.12.5 An employee shall notify his or her supervisor in writing of a criminal conviction for drug or alcohol related offenses occurring in the workplace no later than five calendar days following the conviction.

5.12.6 The University shall establish and maintain Employee Assistance Programs and Student Counseling Services for counseling and training programs to inform students and employees about the dangers of drug and alcohol abuse. Voluntary participation in or referral to these services is strictly confidential. More information is available at: http://healthysooners.ouhsc.edu/.

5.12.7 An employee shall not perform safety sensitive functions while a prohibited drug is in his or her system.

5.12.8 The University may require drug testing of safety sensitive employees (as defined by federal and state law and available for review in the Office of Human Resources) prior to employment, when there is reasonable cause, after an accident, on a random basis, and before allowing an employee or student to return to duty after refusing to take a drug test or after not passing a drug test.

The University shall annually distribute this policy to all staff, faculty, and students.

Health risks generally associated with alcohol and drug abuse can result in but are not limited to a lowered immune system, damage to critical nerve cells, physical dependency, lung damage, heart problems, liver disease, physical and mental depression, increased infection, irreversible memory loss, personality changes, and thought disorders.

The appropriate Senior Vice President and Provost or Executive Officer is responsible for notifying federal funding agencies within ten calendar days whenever an employee is convicted of a drug-related crime which occurred in the workplace. Decisions under this policy are subject to the grievance procedure stated elsewhere in the Board of Regents policy.

(Regents, 4-6-89, 9-5-90, 1-27-04, 6-23-11, 1-24-12)

5.13 COUNSELING ASSISTANCE

5.13.1 EMPLOYEE ASSISTANCE PROGRAM

The University of Oklahoma recognizes that it is in the best interests of both the University and its employees to provide assistance for employees in dealing with personal problems including alcohol and drug abuse or dependency, mental or emotional disturbance, or other conditions that may adversely affect job performance.
For this reason, the University has established an Employee Assistance Program that is designed to assist in (1) identifying the problem at the earliest possible stage, (2) motivating the employees and their family members to seek help, and (3) directing them toward appropriate resources for assistance.

(A) **GUIDELINES**

(1) The purpose of the Employee Assistance Program is to provide immediate assistance to faculty and staff with personal problems, including alcohol and drug abuse, that affect their work or job performance.

(2) Job security and advancement opportunities for those who take advantage of this program will in no way be jeopardized due solely to their participation in the program.

(3) Complete confidentiality is assured. All records involving services provided by the Employee Assistance Program shall be treated as confidential medical records and shall be maintained separately from personnel records.

(4) Faculty and staff who exhibit job performance problems will be encouraged to seek assistance voluntarily through the Employee Assistance Program.

(5) When there is evidence of work deterioration that has been documented by the supervisor or if there are notable signs of alcohol or drug abuse, the supervisor may refer the employee to the Employee Assistance Program.

(6) Although the faculty or staff member has the right to decide whether or not to use the Employee Assistance Program or to follow any of its recommendations, if personal problems continue to adversely affect work performance, established University employment policies will be followed in handling the situation.

(7) The University will endeavor to arrange sick leave or other appropriate leaves of absences for treatment or rehabilitation.

(8) There will be no cost to the faculty or staff member for the evaluation and assessment services of the Employee Assistance Program for up to two sessions. Faculty and staff members will be responsible for cost incurred in undertaking recommended treatment.

(President, 1987; Vice President for Student Affairs, 12-1-97)

In most cases, additional counseling and treatment are partially covered by the employee's health insurance. More information is available through the Human Resources website.

The EAP counselors are available for personal or supervisory consultation by phone or in person. For more information or to make an appointment, call an EAP Counselor at 325-2911. EAP is located on the second floor of Goddard Health Center.

(EAP Coordinator, 7-13-94)
(Regents, 6-23-11, 1-24-12)

**5.13.2**

**COUNSELING PSYCHOLOGY CLINIC**

The OU Counseling Psychology Clinic assists individuals and families in solving various problems of living. Services are available to children, adolescents, adults, and families through individual, couple, family, and group counseling. Clinic counselors are masters or doctoral level graduate students in either Community Counseling or Counseling Psychology and all are under the supervision of licensed doctoral level mental health professionals.

To initiate counseling, call the clinic at 325-2914 to schedule an intake appointment. Information on testing fees, which vary, is available from the counselors.

The clinic is located at the corner of Constitution and Lawrence.

**5.14**
GIFTS, GRANTS AND CONTRACTS

5.14.1

GIFTS TO THE UNIVERSITY
The University of Oklahoma actively encourages and appreciates gifts to the University that benefit students and the mission of the University. The purpose and conditions for gifts are expected to conform with University of Oklahoma Regents' policy, Oklahoma State Regents' policy, and all applicable laws. (Refer to Regents' Policy Manual for complete policy on gifts to the University.)

(Regents, 6-16-93)

To better facilitate the processing of private contributions to the University, all gifts from individuals, foundations, and corporations should be deposited through the Office of Development.

(President, 7-5-89)

Gifts in kind, such as equipment, property, and services, also must be reported so that proper acknowledgment may be made and accurate records maintained. Contact the Office of Development for reporting procedures.

(Vice President for Development, 5-23-94)

5.14.2

GRANTS AND CONTRACTS
Sponsored agreements, including grants, contracts, and cooperative agreements, to support research and instruction activities should be processed through the Office of Research Services. Sponsored agreements to support continuing education and public service activities, including those received by the College of Continuing Education, should be processed through the Sponsored Programs Office at the College of Continuing Education. All other sponsored agreements, including awards to support construction, should be processed through the Office of the Vice President of Administration and Finance.

(Vice President for Research, 8-25-94, 3-31-05)

5.15

NEWS RELEASES
The University Regents have requested that news releases for print media, radio, and television that affect the welfare or reputation of the University be released only through the President's Office. This policy is not intended to restrict or censor any release of factual information, but to ensure that news releases are issued from a fully informed source.

The Vice President for Public Affairs is responsible to the President for all University news releases that interpret the policies of the University. Questions concerning this news release policy may be answered by the Communication Services Office, and requests for approval of releases may be initiated with that office.

(Vice President for Public Affairs, 8-1-80, 10-1-93)

5.16

CONTACTS WITH REPORTERS
On occasion, reporters for print and electronic media will contact University faculty or staff members directly instead of working through the University's Public Affairs Office. There is no objection to this procedure. However, any faculty or staff member who is contacted and either gives a statement to the press or arranges for a subsequent interview is requested to inform the Vice President for Public Affairs. This is an informational procedure only, and the cooperation of the faculty and staff is requested.

(Vice President for Public Affairs, 8-1-80, 10-1-93)
5.17

OFFICIAL COMMUNICATIONS
5.17.1 The proper channel through which recommendations concerning the policies and/or administration of its
governed entities, as a whole or in any of its parts, should be communicated to the Legislature or other
State officials are the Presidents of the Universities and the Board of Regents. Further, any official
statement made on behalf of the Board of Regents to the public through the press or otherwise, shall be
made only by the Chair of the Board of Regents; provided, the Presidents of the Universities or their
designees may publicly explain prior Board of Regents’ action as deemed necessary and proper.

5.17.2 Nothing in the preceding subsection is intended to or should be construed to abridge the rights and
 privileges of individual Regents to publicly express their personal opinions on any matter or to abridge
constitutional rights of employees to comment on matters of public concern or to prohibit any other
rights of communication established by law.

(Regents, 12-7-36, 12-17-45, 3-9-49, 10-13-88, 3-21-95, 3-29-00, 121-3-03)

5.18

PUBLICATIONS AND PROMOTIONAL MATERIALS POLICY
In order for all publications and promotional materials representing the University to convey a consistent and
accurate message and image, externally disseminated publications must be reviewed by the Division of Public
Affairs or the designated publications office. Guidelines for the policy are maintained by the Division of Public
Affairs.

(Regents, 4-4-91, 3-29-00, 1-27-04)

5.18.1

ADVERTISING AND PROMOTION
The University will never knowingly accept or allow advertising that does not conform to industry standards and
University guidelines. The University also adheres to specific guidelines in regard to alcoholic beverage
advertising. This policy applies to all advertising and promotion in whatever format. Examples are books,
brochures, posters, programs, directories, newspapers, signs, radio and television, videotape and audiotape,
and electronically-generated programming. Signs include those at the athletic facilities, on CART vehicles, and
in other locations. This policy also applies to all events and activities organized by or sponsored by University
departments or registered student organizations.

(Regents, 1-13-83, 11-8-84, 12-8-88, 4-6-89, 3-29-00, 1-27-04)

The text below is approved Regents Policy for the Norman Campus but is printed in its entirety only in
the Norman Campus Faculty Handbook.

(A) THE UNIVERSITY MAY REJECT ANY ADVERTISING WHICH, IN ITS SOLE DISCRETION, DOES
NOT, OR APPEARS NOT TO:

(1) Serve the public with honest values.

(2) Tell the truth about what is offered.

(3) Make good as promised on any guarantee offered.

(4) Promote and sells merchandise on its merits and refrains from reflecting unfairly upon
competitors, their products, services or methods of doing business.
(5) Support claims made for the product or service within the advertisement.

(6) Be made available to all members of a class of advertisers.

(7) Be sincere and honest in what is said about the product or service.

(8) Avoid tricky devices and schemes such as deceit, fictitious list prices, bait advertising, misleading free offers, and fake sales.

(B) THE UNIVERSITY WILL NOT ACCEPT ANY ADVERTISING WHICH, IN ITS SOLE DISCRETION:

(1) Discriminates on the basis of race, color, religion, national origin, sex (unless sex is a bona fide occupational qualification), sexual orientation, genetic information, age, disability, political beliefs, , or status as a veteran.

(2) Encourages students at the University to purchase reports and/or research material done by others.

(3) Requires the reader to send money to obtain further information on the product.

(4) Is deemed offensive or in poor taste including, but not limited to, advertisements derogatory to individuals or a group of people.

(5) Is of a political nature which does not carry the words ‘paid advertisement’ somewhere in the message.

(6) Is for products which encourage violation of city, state, or federal laws and regulations.

(7) Is for products or service of a “questionable” nature without local references. This includes, but is not limited to, masseurs and masseuses, dating services, escort services, models, pregnancy referral, adoption services, and “get rich quick” promotions.

(8) Reproduces U.S. currency unless in black and white only; currency must be reduced to no more than 75% of its original size or enlarged to at least 150%.

Use of the University Seal is prohibited except in the promotion of the University’s academic programs. However, the University logo and other trademarked symbols may be used to promote non-University sponsored activities and products for which a license agreement exists. With the exception of University programs, promotional copy and layout may not make it appear that the University endorses the product or use of the product.

(Regents, 1-13-83, 11-8-84, 12-8-88, 4-6-89, 3-29-00, 6-23-11, 1-24-12)

(C) ALCOHOLIC BEVERAGE ADVERTISING:
Recognizing the dangers of alcohol abuse in connection with malicious destruction of property, motor vehicle accidents, and personal welfare, the University has adopted the following guidelines regarding the promotion of alcoholic beverages. Advertisements:

(1) Will not use the University logo and other trademarked symbols except when used to inform and educate individuals about the dangers of alcohol abuse.

(2) Will not portray drinking as a solution to personal or academic problems.

(3) Will not encourage any form of alcohol abuse. This includes but is not limited to drown nights, all-you-can-drink, drinking contests, and happy hours for beer or alcoholic beverages.

(4) Will not associate the consumption of beer or alcohol with the performance of tasks that require skilled reactions.

(5) Will state the legal purchase age in promotions for the retail purchase of beer or alcoholic beverages.

(D) IN ADDITION,
(1) University personnel involved with promoters/advertisers will encourage them to include responsible use of alcohol statements in their promotions.

(2) University departments shall not use beer, liquor, or tobacco products in their advertisements or promotions.

(E) SIGNAGE ADVERTISEMENTS:
In addition, the following specific policy applies to all signs including, but not limited to, athletic facilities, CART vehicles, and other campus locations:

Advertising within confined areas of the University including, but not limited to, the Oklahoma Memorial Stadium, the Lloyd Noble Center, the L. Dale Mitchell Baseball Park, and CART vehicles is permitted within the following guidelines:

(1) The University reserves the right to approve through the Office of the President all advertisers and advertising copy and categorically excludes beer, liquor, and tobacco products.

(2) Any granted advertising rights are not to prohibit the University from using the sign or scoreboard to promote University-related activities.

(3) Advertising time on any message center may be limited as deemed appropriate by the University.

(4) Advertising on University bulletin boards is permitted within the following guidelines:

All advertising, promotional, or informational material for University-related programs and activities or private companies on University campuses is restricted to outside permanent bulletin boards unless there is prior written approval of the Office of Student Affairs, Office of the Vice President for Administration and Finance, or Office of the Senior Vice President and Provost.

(Regents, 1-13-83, 11-8-84, 12-8-88, 4-6-89, 3-29-00)

(F) ENDORSEMENT PROHIBITED
The University does not endorse any commercial product, program, enterprise, or idea.

(Regents, 1-27-04)

(G) PURCHASING ADVERTISING
The University from time to time may wish to reach a certain public by purchasing advertising in the media. The material contained in this advertising may include, among other things, matters related to increasing enrollments in regular or extension courses; promotional advertising, or informational material related to specific policies, projects, events, institutes, departments, and curricula. With the exception of employment advertising, no contracts for advertising should be entered into and no verbal or written commitments may be made by any University employee, without the prior written approval of the Vice President for Public Affairs or his/her authorized designee. Advance written approval of all layouts or copy must be obtained.

(Regents, 1-27-04)

5.18.2

UNIVERSITY NAME, LOGOS, OTHER IDENTIFYING MARKS, AND SEAL

(A) Trademark Administrative Committee
Responsibility for management of the University’s name, logos, other identifying marks, and seal (collectively “marks”) shall rest with a Trademark Administrative Committee (TAC). The Vice President for Public Affairs, the General Counsel, and the Athletic Director shall each appoint a representative to the three-member TAC.

(B) Trademark Policies and Procedures
The TAC shall adopt, publish, and implement policies and procedures to ensure that the marks are utilized in a manner that best serves the interests of the University of Oklahoma. In no event should
such use be disparaging, misleading as to sponsorship/affiliation, contradict public morals or decency, or reflect unfavorably upon the University. Such policies and procedures should address mechanisms for noncommercial and commercial uses of the marks, both internal and external to the University. Additionally, the TAC should implement a style guide or other instrument for implementation University-wide that establishes uniform and consistent usage of the University’s marks.

(C) **Trademark Office**
The TAC shall establish and oversee a University Trademark Office, which shall be responsible for implementation of policies and procedures regarding the University’s marks, including but not limited to the protection, licensing, management, and enforcement of the University’s marks. If desired and consistent with other applicable policies, the Trademark Office may contract with an official licensing agent to assist in one or more of these responsibilities.

(Regents: 6-23-11, 1-24-12)

5.18.3

**EDUCATIONAL INFORMATION POLICY**
Information of an educational nature concerning programs and facilities at the University is not considered institutional advertising if the information will benefit a specific group and is contained in a brochure or poster printed for and distributed by a University department or college.

A brochure or poster that describes a course, curriculum, program, or facility will be considered educational in nature and may be funded by state appropriations.

If graphic design or editorial assistance is desired, the University Publications Office will provide it. This office then will be responsible for working with the printer until the job is completed.

Should the publication contain forms, the Director of Printing will provide form design assistance, coordination of production, and assignment of an OU form number.

If assistance in preparation of material is not needed and forms are not involved, the department, auxiliary enterprise, or individual account sponsor having need for printing or offset reproduction work should determine whether the University Printing Services can do the job. If it cannot, the Director of Printing will arrange to have the work done by an off-campus vendor in accordance with established purchasing procedures.

(Vice President for Administration and Finance, 2-1-71; Revised, 8-22-76 and 9-24-84; Regents, 4-6-89; Vice President for Public Affairs, 1-7-94)

5.19

**PARKING/TRANSIT**
A parking permit is required to park a motorized vehicle on the Norman Campus from 7:00 a.m. to 9:00 p.m. Bicycles may be parked at bicycle racks without a permit.

Parking permits may be purchased in person or through the mail at the Parking Office, Robertson Hall, Room 311 or online at http:\www.ou.edu/parking. Permits may be paid for by cash or check or may be payroll deducted. An application for a parking permit may be obtained by calling 325-3311.

Free parking is available at the Lloyd Noble Center, and faculty and staff may ride CART/Metro Transit shuttle buses from Lloyd Noble Center to the center of campus at no charge by showing their OU ID card. Faculty and staff may also ride off-campus bus routes free with their OU ID card.

Additional information may be found in University of Oklahoma Parking and Traffic Regulations, available at the Parking and Transit Services Office.

5.19.1
CLEVELAND AREA RAPID TRANSIT SERVICE (CART)
During the academic year, CART operates from 7:00 a.m. to 9:00 p.m., Monday through Friday. During break periods and the summer term, some routes do not run as frequently as during the fall and spring semesters. Six CART routes provide service to areas in central Norman with all routes terminating on the University's South Oval. Buses are staggered to ensure quick transfers.

CART services Parkview Apartments, Lloyd Noble Center, Yorkshire Apartments, and the South Campus area. CART also serves Campus Corner, downtown Norman, three west-side shopping malls, and many city parks and businesses on East and West Lindsey. For route information, call 325-CART.

CART offers special transportation to individuals who are unable to ride the fixed route service. Door-to-door service within the Norman city limits is provided to any individual who is disabled on a first-come, first-served basis. There is a fare for this service. For information, call 325-5438.

For complete bus schedules see [http://cart.ou.edu/](http://cart.ou.edu/).

(Vice President for Administration and Finance, 7-1-86, 5-1-88, 12-1-93, 12-1-97, 3-3-05)

5.20

PURCHASING PROCEDURES
The purchase of goods and services is the responsibility of the Purchasing Department, and with certain specific exceptions, only this office is authorized to place or issue an order that creates an obligation against a department, agency, or auxiliary enterprise of the University. When a department intends to procure a major item or service, the Purchasing Department should be contacted so that it may assist in developing a responsive purchasing plan for the item or service. The Purchasing Department has the final responsibility for conducting all negotiations concerning prices, conditions of purchase, and sources of supply.

As an operating policy, purchases of less than $5,000 or less may be made by departments. It is the responsibility of the unit making such a purchase to comply with the procedures outlined in the Administration and Finance Guide to Services. Multiple purchases (splitting the purchase) should not be used to avoid the regular requisition procedures. New faculty members are encouraged to contact Purchasing (325-2811) for an explanation of purchasing procedures and services.

As a general rule, the Purchasing Department will not issue purchase orders to University employees or companies owned by University employees and will not issue after-the-fact orders. Contractual agreements may not be signed by individuals who do not have delegated authority from the President.

Detailed information on purchasing procedures may be obtained from the Purchasing Department (325-2811), the Purchasing website [www.ou.edu/purchasing/home/index.htm](http://www.ou.edu/purchasing/home/index.htm), and the Administration and Finance Guide to Services.

(Vice President for Administration and Finance, 7-1-86, 5-1-88, 12-1-97, 3-4-05)

5.21

PROPERTY CONTROL PROCEDURES
An act of the 1947 Oklahoma Legislature requires each state institution to maintain a current inventory of its physical property. Each tangible asset with a cost greater than $5,000 must be marked as University property and be carried on the central records maintained in the Asset Management financial module. Disposal of University property, regardless of value must be made through Property Control. Contact Property Control (325-2641) or refer to their website at [www.ou.edu/property_control/index.htm](http://www.ou.edu/property_control/index.htm) for further information.

(Vice President for Administration and Finance, 7-1-86, 7-1-92, 3-4-05)
5.21.1

MEDIA SANITIZATION POLICY
When declaring electronic media (hard drives, floppy diskettes, CDs, DVDs, flash drives, tapes, cell phones, mobile devices, etc.) as excess, departments must ensure that all Category II and Category III data\(^1\) contained on these items is not vulnerable to theft or electronic compromise. This is called media sanitization. According to the Data Identification Guide, sensitive data include but are not limited to social security numbers, drivers license numbers, any security code, access code, or password, any health-related data, and any critical infrastructure details. Media sanitization comprises all actions necessary to protect data on surplus or end-of-life University-owned media from unauthorized access.\(^2\)

Prior to media sanitization, a department should ensure compliance with any known Legal Hold Notices and records retention requirements\(^3\) for data contained on the media by consulting with designated OU officials, (e.g., Open Records Act Officer, Legal Counsel, records retention officers, or departmental or university privacy officers).

Following sanitization, departments must maintain a sanitization record for each item. The record should detail the type of media, date, sanitization method, and the final disposition of the media (sold, recycled, returned, etc.).

Resource Documents:
\(^1\) Data classification categories – [https://webapps.ou.edu/security/policies/Data_Classification_Policy.pdf](https://webapps.ou.edu/security/policies/Data_Classification_Policy.pdf)

\(^2\) Sanitization methods and definitions – [https://www.ou.edu/content/dam/IT/security/Media_Sanitization_Policy.pdf](https://www.ou.edu/content/dam/IT/security/Media_Sanitization_Policy.pdf)

\(^3\) Records retention policy – [https://www.ou.edu/content/dam/AdminFinance/documents/Records_Retention_Policy_Norman_Campus.pdf](https://www.ou.edu/content/dam/AdminFinance/documents/Records_Retention_Policy_Norman_Campus.pdf)

(Chief Information Officer, Senior Vice President and Provost, Vice President for Administration and Finance, 1-23-09)

(Regents, 6-23-11, 1-24-12)

5.22

USE OF STATE VEHICLES FOR PRIVATE PURPOSES
According to Oklahoma Statute, the use of state-owned vehicles to ride to and from an employee’s place of residence, except in the performance of official duty, is expressly prohibited. Employees of the University cannot be assigned a University-owned vehicle for use on a permanent, 24-hour basis unless an exception under the statute has been granted.

Requests for an exception must be submitted in writing to the President of the University.

(President, 5-1-88)

5.23

POLICY ON OFF-CAMPUS USAGE OF PROPERTY, NORMAN CAMPUS
Responsibility for University property rests with the department chairs, directors, and budget sponsors of the various organizations. Property is charged to the budget sponsor’s account upon acquisition and accounted for by a University-wide physical inventory every two years. As a general policy, University property will not be removed from authorized locations. However, there are instances in which it would be advantageous to allow faculty, staff, or students to remove the property for off-campus usage.
All property that is owned by the University or for which the University is responsible is to be used only for University purposes.

Should it be necessary in the performance of University duties for a faculty member, staff member, or student to remove such property from authorized University locations, the following requirements must be met (except in the case of State vehicles, which are subject to a separate policy concerning their use [see 5.22]).

5.23.1 Such property must be used for University purposes.

5.23.2 Any person removing such property from authorized University locations assumes the responsibility for seeing that appropriate care is taken in its transportation and security and that such property is returned in satisfactory working condition. The person may be liable for the replacement or repair costs of any property not so returned.

5.23.3 Approval to remove such property from authorized locations must be secured as noted below. A written record of the property and the authorization shall be maintained in the office of the approving authority. The Temporary Equipment Use Agreement form was developed to facilitate this process and is available on-line at www.ou.edu/purchasing/home/forms/New_Forms_Index.htm (under General Forms).

(A) Level I C Equipment Under $5,000 -- for less than 30 days: Department/Account Sponsor approval only.

(B) Level II C Equipment Under $5,000 -- more than 30 days and Equipment $5,000 - $25,000 -- for less than 30 day: Department/Account Sponsor and Dean approval.

(C) III C Equipment Over $5,000 -- for more than 30 days: Department/Account Sponsor, Dean, Vice President/Associate Provost, and Procurement Services Department approval.

5.23.4 Such property shall be returned to its normal University location as soon as possible, ordinarily within one week, unless an extended period is specifically approved. Approvals shall be limited to the current fiscal year and must be renewed at the beginning of each fiscal year. In addition, at the time of the University-wide inventory, all property will be returned to its authorized location so that it can be accounted for by physical inventory.

5.23.5 In the event of the extended absence of an individual who has property off campus, the property will be returned to the authorized location prior to departure.

5.23.6 All such property removed from authorized University locations shall be subject to the immediate recall by the University at any time.

(Senior Vice President and Provost, 10-1-79, 3-17-95, 3-31-05)

5.24

CONDUCTING PRIVATE BUSINESS FROM A STATE-OWNED FACILITY

The Attorney General issued Opinion No. 81-114 on November 2, 1981, which holds that the Oklahoma Constitution "prohibits State employees from conducting private business from a state-owned facility."

Over the years, it has been the traditional policy of the University of Oklahoma that faculty and staff should not use University facilities, equipment, or any state property for private business. The Attorney General's interpretation of state law affirms this policy.

(Senior Vice President and Provost, 9-16-82, 3-18-86)
TRAVEL
Policy and Procedures for Travel can be found in the Administration and Finance Guide to Services at www.ou.edu/aa/travel.htm.

(Vice President for Administration and Finance, 7-1-86; President, 1-3-94, 3-31-05)

TRAVEL TO NON-APPROVED COUNTRIES OR COUNTRIES NOT COVERED BY THE UNIVERSITY'S LIABILITY POLICY

(A) University employees and students shall not be required to attend conferences, workshops, or similar events or to participate in assignments that require travel to countries designated by the U.S. State Department as non-approved countries or to countries not covered by the University's liability policy. Persons considering a travel assignment should consult with the State Department (202-647-5225) at the time the assignment is being considered to determine which countries are classified as non-approved prior to accepting overseas assignments. The University's Office of International Programs (325-1607) can be of assistance in contacting the State Department. For information about which countries are not covered by the University's liability policy, contact the Office of Legal Counsel (325-4124).

(B) Employees or students who voluntarily decide to travel to non-approved countries or countries not covered by the University's liability policy in furtherance of their teaching, research, or scholarship do so at their own risk and must contact the Office of Legal Counsel prior to their travels.

(C) Unit heads wishing to assist in funding voluntary trips must first contact the Office of Legal Counsel to determine the liability implications, if any, of such support.

(D) It is the policy of the University of Oklahoma that all international educational programs that require students to travel outside of the United States follow the International Educational Travel Guidelines approved by President Boren. A copy of President Boren's directive, a copy of the guidelines, a model emergency response protocol required by the guidelines and copies of form required by the guidelines may be found at the following site: http://casweb.ou.edu/home/int_travel_policies/ou_international_travel_policies.htm

(Senior Vice President and Provost, 7-19-95, 2-1-98)

5.26

DEGREES AND CERTIFICATES

5.26.1

DEGREES GRANTED BY STATE REGENTS
The Oklahoma State Regents for Higher Education shall grant degrees and other forms of academic recognition for completion of the prescribed courses in all state educational institutions.

(70 O.S. 1971 ' 3206)

5.26.2

(A) AWARDED HONORARY DEGREES
The University is authorized to confer honorary degrees (Oklahoma State Regents for Higher Education Policy II-2-39(I-4).) The University will award honorary degrees only in recognition of extraordinary achievement or in recognition of outstanding contributions to the welfare and/or enrichment of the University, State, nation, or world. A recipient may be any individual who has made outstanding contributions to a field or profession represented at the University.

Though the University may award one honorary degree per each 1,000 conferred degrees, it is not obligated to award any or all allowed each year.
Nominations are open to any individual, although no individual may nominate himself. It is incumbent upon the nominator to provide sufficient information to document the nominee’s achievements and/or contributions. Such information may include a vitae, letters of endorsement, bibliographies, and other forms of documentation.

Honorary degrees shall not be conferred upon any faculty member, administrator, or other official associated with the University before such individual has been separated from the University for at least two years; nor awarded to any individual currently in State government.

(B) SELECTION
Nominations are encouraged by March 1 each year for the awards to be presented the following spring.

Nominations will be reviewed, evaluated, and acted upon by the Honorary Degrees Screening Committee, which reports to the President. It shall consist of:

1. Senior Vice President and Provost of the Norman Campus
2. Senior Vice President and Provost of the Health Sciences Center Campus
3. Vice President for University Development
4. Vice President for Public Affairs
5. Two members of the Faculty Awards and Honors Committee, one appointed by the Faculty Awards and Honors Committee, and one appointed by the President
6. One Norman Campus faculty member appointed by the Norman Campus Faculty Senate
7. One Health Sciences Center Campus faculty member appointed by the Health Sciences Center Campus Faculty Senate
8. Three deans of degree recommending colleges (two from the Norman Campus and one from the Health Sciences Center Campus) appointed by the President
9. One member of the Board of Regents appointed by the Chairman of the Board of Regents

Members other than the Senior Vice President and Provosts, Vice President for University Development, Vice President for Public Affairs, and the Regent member will serve one three-year term and may not be reappointed to a consecutive term.

The committee shall conduct its deliberations in secret and the nominations shall be kept secret. The Committee will forward its recommendation(s) to the President by May 1 so that the President may make a recommendation to the Board of Regents at its June or July meeting. The President may choose not to forward one or more of the recommended recipients to the Board of Regents. Upon approval by the Board of Regents the President will seek the approval of the Oklahoma State Regents for Higher Education at its earliest scheduled meeting. Invitations to the recipients should be issued in early fall.

Honorary degrees will not be awarded in absentia unless extraordinary circumstances (as determined by the President) exist. Honorary degrees generally will be awarded at commencement, although they may be awarded at special convocations for extraordinary occasions.

(Regents, 3-8-90, 6-13-91, 1-28-98, 3-29-00, 1-27-04)

5.26.3

(A) CERTIFICATES AND DIPLOMAS
All certificates may bear the Seal or Coat of Arms of the University, and all diplomas awarded on the achievement of a degree shall bear the Seals of the University and the Oklahoma State Regents for Higher Education. In issuing diplomas or certificates for whatever purpose, the University and all of its divisions shall conform to the specifications stipulated by the Oklahoma State Regents of Higher Education and endorsed by the Board of Regents.

(B) DIPLOMAS
The diplomas of the University, for any and all degrees, may be changed only on recommendation of the President and with the approval of the Board of Regents and the Oklahoma State Regents for Higher Education.

Degrees achieved with honors, pursuant to University and/or State legislation, shall be recognized by diplomas attesting the character of such honors and their relative degree.

1. Multiple Degrees
   Two degrees are not to be conferred on a student at the same commencement, unless the requirements for both degrees have been completed since the last commencement. In that case, two degrees may be conferred on a student by special permission of the faculty or faculties concerned.

2. Duplicate Diplomas
   (a) The University will issue a duplicate diploma when an original has been mutilated, provided the original diploma is returned to the Office of Admissions and Records.

   (b) The University will issue a duplicate diploma when the original diploma has been lost or destroyed, provided the recipient presents evidence in affidavit form that the original diploma has been lost or destroyed.

   (c) The University will issue a duplicate diploma under a change of name, provided the recipient presents a court order attesting the legal name change and the original diploma is returned to the Office of Admissions and Records or an affidavit is filed to the effect that the original diploma has been lost or destroyed, and the student's official educational record is changed accordingly.

   (d) Duplicate diplomas will be printed in the format and typography of the University’s current diplomas, carrying current signatures, but bearing the original date of conferral and carrying the following notation printed in a single line directly below the seals and signatures: “Reissued by the University on _______ ___(year) ___, in lieu of the diploma originally given under the above date.” Duplicate diplomas will conform in size to those currently being issued by the University. Duplicate diplomas will be ordered at a time other than when the University is ordering diplomas for current graduates. An approved charge will be made for a duplicate diploma. The request for the duplicate diploma must be submitted in writing, with the approved fee charged for the duplicate diploma, to the Office of Admissions and Records prior to the University’s ordering the diploma.

   (e) Because of the importance diplomas play professionally in the disciplines associated with the Health Sciences Center, it will be understood that the Health Sciences Center will, when it is able to do so, supply diplomas as identical as possible to the original diploma, and, when that is not possible, will use the regulations above.

5.26.4

(A) POSTHUMOUS DEGREES
   The Oklahoma State Regents for Higher Education Policy Manual authorized the granting of posthumous degrees. Such degrees shall generally be unearned, nonacademic degrees recognizing the meritorious but incomplete earned work of a deceased student. In general, the student to whom a posthumous degree is to be awarded should have been a senior with ninety or more earned credit hours. Requests to confer a posthumous degree must be approved by the faculty, dean, Senior Vice President and Provost, and Board of Regents before being forwarded for consideration by the Oklahoma State Regents for Higher Education. Such requests are considered on a case-by-case basis.

(B) CERTIFICATES
Certificates bearing the name and the Seal or Coat of Arms of the University may be issued only by the University, pursuant to the applicable legislation in each instance, as created by the President and Board of Regents and/or the State as represented by the Oklahoma State Regents for Higher Education or the Governor or Legislature of the State of Oklahoma. Academic colleges, schools, departments, and other subdivisions of the University do not have such authority. (Oklahoma State Regents for Higher Education policy, II-2-41, 6)

(C) CREDIT CERTIFICATES

(1) The Office of Admissions and Records is charged with the responsibility of administering the regulations governing the issuance of certificates that are based on a program of transcripted course credits. Except for those prepared by the Health Sciences Center and by the College of Continuing Education as provided elsewhere in this policy, all certificates are to be printed under the supervision of the Norman Campus Office of Admissions and Records with their design and typography being prescribed by the Norman Campus Office of Admissions and Records.

(2) Graduate and Professional Credit Certificates

Transcripted graduate or professional certificates may be issued for programs of study, including portions of programs of study for a graduate degree, governed by graduate faculty within an academic unit or a committee of regular graduate faculty, governed by the appropriate Campus Graduate College, including those required by the University in the fulfillment of the prescriptions for a graduate degree. Transcripted professional certificates may be issued for programs of study governed by the appropriate colleges at the OU HSC.

For each certificate, each program of study must meet the following:

- at least fifty (50) percent of the inclusive courses are graduate level courses appropriately coded at the 5000 level or higher
- the program required at least twelve (12) hours of credited coursework representing a coherent body of study; and the program is approved for the issuance of certificates by the appropriate campus Graduate Council, the Academic Programs Council, the Senior Vice President and Provost, the University President, University of Oklahoma Board of Regents, and the Oklahoma State Regents for Higher Education.

Graduate credit certificates will be issued following completion of the certificate requirements. Degree seeking graduate students may declare a certificate which includes coursework in their graduate degree.

Certificates for forms of professional proficiency other than those described above may be issued only if programs for the achievement of such proficiency have been approved by the Board of Regents and/or the Oklahoma State Regents for Higher Education and are incorporated in the official publications of the University describing its curricular requirements.

(3) Undergraduate Credit Certificates

Transcripted undergraduate certificates may be issued for programs of study, including portions of programs of study for undergraduate degrees, governed by the faculty within an academic unit or a committee of regular faculty at the University of Oklahoma, if each proposed program of study meets the following:

- at least fifty (50) percent of the inclusive hours are upper division, appropriately coded at the 3000 level or above
- the majority of the hours are competed as resident credit
• for OU-NC, an undergraduate certificate must be 15 or more credit hours representing a coherent body of study

• for OUHSC, an undergraduate certificate must be 12 or more credit hours representing a coherent body of study

• the program is approved for the issuance of certificates by the appropriate campus Academic Programs Council, the campus Senior Vice President and Provost, the University President, the University of Oklahoma Board of Regents and the Oklahoma State Regents for Higher Education.

Undergraduate credit certificates will be issued following completion of the certificate requirements. Degree seeking students may declare a certificate which includes coursework in their undergraduate degree.

(Regents, 3-27-13)

(4) Certificates for forms of professional proficiency other than those described above may be issued only if programs for the achievement of such proficiency have been approved by the Board of Regents and/or the Oklahoma State Regents for Higher Education and are incorporated in the official publications of the University describing its curricular requirements.

(D) NONCREDIT CERTIFICATES

(1) Noncredit certificates (e.g. certificates of participation, certificates of completion, certificates of achievement) may be issued through the College of Continuing Education recognizing achievement of proficiency in some designated area through successful completion of either single or multiple course, credit-free, University-sponsored continuing education activities (e.g. short courses, conferences, workshops, professional development, and training). Such activities may be conducted in association with recognized professional associations, business groups, government agencies, and/or other academic units of the University and the certificate may so state, although certificates may be issued only in the name of The University of Oklahoma. Certificates shall designate their issuing authority as “The University of Oklahoma, Continuing Education and Public Services,” or if applicable, “The University of Oklahoma, College of Continuing Education, in association with (name of appropriate professional association or academic unit).”

(2) Courses or sequences of courses upon which such certificates will be based must be submitted for prior review to, and must conform to requirements for course content and quality established by, a review committee composed of representatives of the College of Continuing Education and of the University faculty.

(3) Certificates recognizing achievement in credit-free College of Continuing Education activities will be administered through the Office of the Vice President for University Outreach. That office is responsible for the design, printing, issuance, and recording of all such certificates.

(4) Certificates issued in conformity with University and/or state legislation may be printed only in the name and under the authority of the University. Hence, no certificate of any character may be issued under authority of any other agency naming the University as a cooperating institution in the program of training sponsored cooperatively with the University by such agency, except as provided above.

(5) Certificates may be issued by the University, pursuant to appropriate University and/or state legislation, as incorporated in the official publications of the University from time to time, for attendance at University-sponsored programs of formal instruction and/or research at the pre- and post-doctoral levels, and such levels shall be recognized in such certificates. Such certificates shall conform to the provisions hereof.

Norman Campus – Faculty Handbook
Certificates may be issued by the University, under appropriate legislation, to winners and participants in scholarly competitions sponsored by the University and conducted in its name, whether such contestants are of non-resident, high school, undergraduate, or graduate status, in a form to be prescribed from time to time.


5.27

CATALOGS AND BULLETINS
Faculty members and department offices should request catalogs for their own use from their college offices; the college offices should ask for a supply of bulletins as needed from the Office of Academic Bulletins.

All requests for the mailing of undergraduate catalogs should be sent directly to the Office of Admissions and Records; requests for the Graduate College Bulletin should be sent to the Graduate College.

(Admissions and Records Office, 8-19-80, 11-19-93)

5.28

FORMS
Requests for forms such as the Application for Admission, add/drop forms, grade change forms, etc. are available from the Office of Admissions and Records. Because of periodic required changes to the Application for Admission, it is necessary to receive approval from the Office of Admissions and Records before including a printed application form in any publication.

(Admissions and Records, 11-19-93)

All other requests for forms (including labels, memo pads, decals, letterheads, envelopes, and business cards) will be processed through the University Printing Services Office. The University Printing Office will provide necessary form design assistance, assign University of Oklahoma form numbers, and approve the source of supply. Internal reproduction of forms should be handled through University Printing Services.

(Vice President for Administration and Finance, 8-24-78)

There may be reason for individual units to prepare forms for use in obtaining information from prospective students, students enrolled, or prospective employees. Because of the various legal requirements, it is important that anyone preparing such a form check it with the University's Office of Legal Counsel to determine if the items requested are consistent with the law.

(Senior Vice President and Provost, 3-19-80)

5.29

DEFICIT POLICY
Deficits in University accounts are not permitted. Accounts should be reviewed monthly by sponsors, dean/directors, and vice presidents to ensure that deficits do not occur. If a deficit is projected or indicated, immediate action should be taken to prevent or correct the problem. In all cases, vice presidents are ultimately responsible for the financial management of accounts within their area(s) of responsibility.

If circumstances occur which require a temporary deficit for a special purpose an Explanation and plan for repayment must be fully documented by the appropriate vice president and submitted to the President or President’s designee and appropriate Vice President for Administration and Finance for review and approval. All deficits are to be thoroughly investigated and resolved in a timely manner; however, corrective action plans are to be submitted only for deficits of $50,000 or more that have an anticipated duration of 180 days or more.
If a deficit is reflected in an educational and general account on the June 30 financial reports, the departmental appropriation for the succeeding fiscal year will be reduced by the amount of the deficit.

No Auxiliary Enterprise or Service Unit is permitted to operate using unauthorized borrowing from other units, including, without limitation, operating in an unauthorized cash deficit position. If a deficit occurs or is anticipated, a short-term working capital loan must be authorized by the Controller’s Office.

For purpose of this policy an account is a distinct budgetary or cash grouping of specific funds. Alpha and/or numeric references are assigned to identify accounts within the University’s accounting systems. All University fund groups are subject to this policy. Although salaries, wages, and other account or object categories should be closely monitored, this policy applies only to the total budgetary or cash balance for each account. Accounts that have been established by the Controller’s Office for the purpose of University clearing or suspense functions are not subject to this policy.

(Regents, 9-10-03, 1-27-04, 6-23-04)

5.30

FINANCIAL EMERGENCY POLICY

While it is assumed that the administration of the University has a continuing responsibility for maintaining a sound budget and that through responsible financial management and appropriate retrenchment policies, all approaches for averting a financial crisis will be utilized, it is possible that a financial emergency might become inevitable. The following statement outlines the administrative policies and the procedures for such an eventuality.

The Board of Regents has ultimate responsibility for the financial integrity of the University. Decisions resulting from these policies and procedures are subject to the approval of the Board of Regents, which may take into consideration such factors as it deems appropriate.

5.30.1

DEFINITION

The University includes four budgetary agencies: Norman Campus; Law Center; the OU Health Sciences Center; and the OU Tulsa Schusterman Center. A financial emergency is an imminent fiscal crisis that threatens any one of these agencies. A state of financial emergency will be declared whenever the Educational and General Part I budget allocation to the agency necessitates reductions in faculty or staff or reductions in operational budgets that would seriously erode program quality.

The President will decide and declare when any agency of the University is in a state of financial emergency. Based upon information received, the President will submit a plan of action to the Board of Regents for approval.

Specific procedures pertaining to the Norman Campus and Norman Campus programs delivered in Tulsa are maintained as a document in the Norman Campus Senior Vice President and Provost’s office.

(Regents, 11-10-77, 3-29-00, 1-27-04)

5.31

FISCAL POLICY

According to University of Oklahoma Regents’ policy, no one shall have the authority to bind the University or to sign any document on behalf of the University that incurs an obligation, whether direct or indirect, on the part of the institution without the appropriate written authorization from the President. This policy is comprehensive as regards all business transactions in all colleges, divisions, departments, extensions, auxiliaries, service units, and other segments of the University in all of its parts, wherever located. For additional details, contact the Vice
President for Administration and Finance or see the “Buying and Selling Goods and Services policy” in the OU Regents’ Policy Manual.

(Vice President for Administrative and Executive Affairs, 3-3-05)

5.32

OPEN RECORDS POLICY
The University of Oklahoma follows the Oklahoma Open Records Act. The University of Oklahoma Regents have approved a policy concerning the implementation of that act at the University. That policy stipulates that all requests for records under the terms of that Act be directed to the Office of Legal Counsel. For information concerning that policy or copies of it, please contact the Office of Legal Counsel. (See also Section 5.34.)

(Legal Counsel, 9-90)

5.33

LIBRARY CIRCULATION RECORDS
Records related to the circulation of library materials that contain names or other personally identifying details regarding the users of the University of Oklahoma Libraries are confidential and may not be disclosed except to persons acting within the scope of their duties in the administration of the Library, to persons authorized by the user, pursuant to court order, or where otherwise required by law. (Pursuant to 65 O.S. 1991 section 1-105, this prohibition against disclosure extends to identified groups as well as individuals, and any authorization must be in writing.)

(Legal Counsel, 3-18-86, 2-94)(Regents, 6-13-85)

5.34

ACCESS TO PERSONNEL FILE POLICY

5.34.1

INTRODUCTION
For the purpose of making faculty and staff employment decisions, the University maintains individually identifiable personnel files on persons who have been or are its employees. This policy is intended to provide guidelines for access to those records in order to promote an informed public while maintaining the security of personnel records necessary to protect the privacy of its employees and the interests of the institution in fulfilling its constitutional functions.

Access to appropriate records shall be in accordance with the provisions of this policy and the University's Open Records Policy (Section 5.32).

5.34.2

CONTENTS
Those responsible for the custody of personnel files shall determine information to be placed in the files. Only such information as is germane to the person's employment with the institution shall be retained in these files. Examples of this type of information are:
(A) Information pertaining to bona fide occupational qualifications.
(B) Service on University committees, councils, and task forces.
(C) Summaries of pre-employment recommendations and merit, tenure, and promotion recommendations.
(D) Performance and discipline matters.
(E) Personnel actions, such as appointments, change of status, tenure, and promotion.
(F) Awards, elected offices, service to outside organizations, and professional associations.
Individuals may ask that materials relevant to their employment be included in their personnel file by written request to the Director of Personnel Services, to the Executive Secretary of the Board of Regents, or to the Senior Vice President and Provost, as appropriate.

5.34.3

CONFIDENTIALITY
The following personnel records shall be deemed confidential and may be withheld from public access:

(A) Those that relate to internal personnel investigations including, without limitation, examination and selection material for employment, hiring, appointment, promotion, demotion, discipline, or resignation; or,

(B) Those where disclosure would constitute a clearly unwarranted invasion of personal privacy such as, but not limited to, employee evaluations, medical documentation, payroll deductions, and employment applications submitted by persons not hired by the University; or

(C) Those that are specifically required by law or University policy to be kept confidential.

5.34.4

ACCESS
Personnel files shall be made available to individuals to review in accordance with the following provisions; provided, that the files may be inspected by persons so entitled only under the supervision of the custodian or his/her designee in the administrative office where they are maintained.

(A) With the exception of information/records excepted or excluded elsewhere in this policy, personnel files shall be made available for public inspection, copying, and/or mechanical reproduction in accordance with procedures established under this policy, the University's Open Records Policy, or as otherwise provided by law such as by court order or subpoena. Examples of available information include, without limitation:

(1) An employment application of a person who becomes a public official;
(2) The gross receipts of public funds;
(3) The dates of employment, title, or position; and
(4) Any final disciplinary action resulting in loss of pay, suspension, demotion of position, or termination.

(B) Supervisors or administrators shall have access to the personnel files of persons employed or being considered for employment in their areas of responsibility on a need-to-know basis and shall have authority to share the information with others responsible for personnel recommendations and/or decisions; further, other institutional officers or employees showing a legitimate need for the information shall be permitted such access.

(C) Except as may otherwise be made confidential by statute or University policy, an employee (or his/her designee) shall have a right of access to his/her own personnel file. Provided:

(1) Letters of evaluation and/or recommendation that apply to pre-employment qualifications, tenure, and/or promotion that are solicited in confidence or sent with the expectation of confidentiality shall be deemed confidential and unavailable to the employee unless otherwise ordered by a court of law.

(2) An individual wishing to inspect his/her personnel file should submit a written request for inspection to the custodian of the file.

(3) If the file contains confidential records as set forth in (c)(1) above, they must be removed before the file is opened to the individual. Upon request, employees will be
advised of the type and number of documents that were not made available to the employee for his or her review and that will be returned to the file after the review.

(4) An individual may not remove or add any records to his/her personnel file at the time of inspection.

5.34.5

CORRECTION OF RECORDS
An employee may dispute the accuracy of any material included in his/her personnel file. Such questions should be directed to the custodian of the file in writing. If the questions are not resolved by mutual agreement, the employee may initiate a formal challenge through the employment grievance or discrimination complaint procedures, as outlined elsewhere in University policy.

(President, 3-17-86; Revised, 9-4-92)

5.35

FUND RAISING OR SOLICITATION ON CAMPUS OR USING THE UNIVERSITIES NAME
The employees of the University of Oklahoma historically have contributed generously to community and national charitable agencies. In order to minimize personal inconvenience to the employees and disruption of University functions, the following policy has been developed. The term "fund raising" shall refer to solicitation of funds by an agency, organization, or individual irrespective of the employee receiving a token or symbol in exchange for this contribution. Charitable efforts that do not involve raising funds such as food drives and volunteer activities are not covered under this policy and therefore do not need approval from the Office of the Vice President for Development. However, such activities are subject to all other applicable restrictions including State law banning the donation of State resources, and Board of Regents policies governing advertising and promotion, the use of the University’s Trademarks, and the prohibition against endorsement. This policy does not pertain to the solicitation or fund raising activities of students that is addressed in the University of Oklahoma Student Code. Nor does it conflict with the Board of Regents policy that no solicitations be conducted athletics event venues.

5.35.1

RESPONSIBLE OFFICE
(A) All agencies, organizations, and/or individuals wishing to initiate a fund raising campaign either on a University Campus or using the name of the University or any of its components, shall submit a written request to the Office of the Vice President for Development, who shall establish a committee (“Fund Raising Committee”) to approve or deny such requests.

(B) The Fund Raising Committee shall consist of no less than 1 representative each from the Offices of the Vice Presidents for Development, Public Affairs, Student Affairs, and the General Counsel. The Committee shall be chaired by the Development representative.

(C) The Office of the Vice President for Development shall coordinate, and monitor external agency fund-raising activities that the Fund Raising Committee has approved.

5.35.2

ELIGIBILITY CRITERIA
(A) Agencies requesting approval for a fund raising campaign shall meet the Internal Revenue tax exempt status (Sections 501-502).

(B) The approved agencies shall have the primary purpose of providing human health, social, and recreational services.
(C) Agencies approved for a fund raising campaign normally shall devote at least 80 percent of all
   donated funds to providing services.

(D) No more than 20 percent of all collected funds normally shall be used for fund raising, lobbying,
   legislative analysis, and other overhead expenses by approved agencies.

5.35.3

POLICY ON VOLUNTARY GIVING
There shall be no pressure or coercion applied to any Norman Campus employee to contribute to or to
participate in any fund raising activities. Comments pertaining to non-participation shall not be a part of any
employee's Personnel Performance Evaluation. Normal career progression and promotion are not contingent
upon an individual's participation. If an employee has a complaint or concern relative to fund raising, he or she
should contact the Office of the Vice President of University Affairs.

(President, 4-3-86)

5.36

UNIVERSITY OF OKLAHOMA TOBACCO-FREE POLICY
In accordance with Executive Order 2012-01, the University has established a Tobacco Free Policy. All facilities
of the University of Oklahoma, regardless of campus or location, are tobacco-free.

PURPOSE
The purpose of this policy is to foster a healthier environment for students, faculty, staff and visitors on the
University of Oklahoma campuses by minimizing tobacco use, which is the leading cause of death in Oklahoma
and the United States. The policy is designed to prevent or reduce exposure of individuals to secondhand
smoke, and to help reduce tobacco use among OU students and employees. The policy is not intended to be
judgmental of individual lifestyle choice or to be punitive towards any individual or group.

This policy is subject to all applicable laws and regulations and recognizes exceptions contained therein,
including an exception allowing tobacco use for religious or ceremonial purposes.

POLICY
Effective July 1, 2012, the use of all tobacco products including but not limited to cigarettes, cigars, pipes, and
smokeless tobacco shall be strictly prohibited anywhere on the OU grounds or campus.

(A) The use of tobacco products shall be prohibited in any buildings or portion thereof owned, leased,
   operated by the University, including OU housing/apartments, athletic facilities, within any OU parking
   structure, in any vehicle owned or leased by the University, or on the OU grounds or campus, including
   but not limited to public or non-public areas, offices, restrooms, stairwells, driveways, sidewalks, etc.

(B) This policy applies to all persons on campus, including but not limited to students, faculty, staff,
   contracted personnel, vendors, and all visitors to the OU campus. The policy applies to all University
   events.

(C) The sale of tobacco products on OU property is prohibited.

COMMUNICATION OF POLICY

(A) NO SMOKING/NO TOBACCO USE SIGNS shall be posted strategically throughout the campus and in
   OU facilities and vehicles as a reminder of the policy.

(B) The Office of the Provost will ensure the OU faculty employment announcements and information
   provided to new faculty recruits and employees contain information about the tobacco-free environment.
Human Resources will ensure that OU staff employment applications, both hard copy and online versions, contain information about the tobacco-free environment, and that new employees receive information about the tobacco-free policy during the new employee orientation.

The Office of the Vice President for Student Affairs will ensure that OU communication and information provided to prospective students and to new students includes information about the tobacco-free environment.

The full text of the policy shall be available in faculty and staff handbooks, and on the OU website.

(President, 5-1-93)
(Regents, 6-23-11, 1-24-12, 3-29-12)

5.37

PROGRAM REVIEW
It is intended that all degree-granting units (referred to hereafter as departments) on the Norman Campus be systematically reviewed every six years. The reviews will be conducted by a Campus Departmental Review Panel (CDRP) composed of a Senior Vice President and Provost Office Coordinator, the Graduate College Dean (or Assistant/Associate Graduate Dean), two assistant/associate deans outside the department's college, and a minimum of five faculty appointed by the Faculty Senate. Each department's review will include all instructional or other programs housed within it.

5.37.1

GOALS AND OBJECTIVES OF PROGRAM REVIEWS ARE TO:
(A) Improve the quality and effectiveness of instruction, research/creative activity, and service, as well as the efficiency of administration of the academic unit.

(B) Provide a data base for resource allocation within the department, the college, and the University.

(C) Provide insight into individual departments in order to adjust program emphasis to changing state, regional, and national needs.

5.37.2

EXPECTED BENEFITS ARE TO:
(A) Provide departmental overview.
(B) Enhance faculty and student communication.
(C) Clarify structure.
(D) Provide a data base.
(E) Assure accountability.

5.37.3

PROCEDURES:
(A) Chairs of departments selected for review will be notified by the Senior Vice President and Provost.

(B) Upon notification of a pending review, the department will appoint a Self-Study Committee that will prepare a self-study report including:
   (1) A narrative section that evaluates its undergraduate and graduate programs, students, faculty, staff, administration, and resources.
(2) Appendixes including its most recent strategic plan, results of the previous program review, most recent accreditation report (if appropriate), assessment plan, and most recent assessment report, quality indicators, and official departmental documents such as student and faculty handbooks and tenure and promotion procedures.

(3) Departmental profile information provided by the Senior Vice President and Provost's Office.

(C) The department will forward the self-study report to its budget dean, who will review it and, if necessary, return it to the department for revision. The budget dean will then forward the original or revised self-study report to the Senior Vice President and Provost's Office with comments about issues raised in the self-study. The dean will provide a copy of the comments to the department.

(D) The Senior Vice President and Provost's Office will send the self-study, with comments from the budget dean, to the CDRP. The CDRP will evaluate the self-study and write a preliminary report, including recommendations for the department. The CDRP's report will be sent to the department and its budget dean.

(E) The department and budget dean will, if they wish, respond to the CDRP report in writing. A meeting of the dean, departmental representatives, and the CDRP will be arranged to clarify issues. The CDRP then will make any appropriate changes and send its final report to the Senior Vice President and Provost, budget dean, and department.

(F) The budget dean will prepare an action plan based on the CDRP report that conveys the college's priorities for the CDRP recommendations and will send the action plan to the Senior Vice President and Provost and department.

(G) The Senior Vice President and Provost will meet with departmental representatives and the budget dean to discuss the action plan and integration of the program review outcome into the department's and college's strategic plans.

In addition to the above review process, an external or additional internal review may be initiated at any point in the review cycle by the Senior Vice President and Provost and can be recommended to that office by the CDRP or the department. More frequent reviews may be held if deemed desirable by the Senior Vice President and Provost.

For detailed information concerning this policy, refer to the original document, "Program Review," and the revised program review document approved by the Faculty Senate in January, 1993, both of which are located in the Senior Vice President and Provost's Office.

(Faculty Senate, 1-12-87, 9-14-87, 1-11-93; Senior Vice President and Provost, 2-4-93)

5.38

RETENTION OF RECORDS
The University subscribes to the Consolidated General Records Disposition Schedule, published by the Oklahoma Archives and Records Commission. Please refer to this schedule in the Administration and Finance Guide to Services for specific information regarding retention periods for University records.

5.39

EMPLOYEE FINANCIAL OBLIGATIONS TO UNIVERSITY
Faculty, staff and students, including student employees of the University, shall be required to pay all outstanding financial obligations due the University in accordance with the due dates established for such obligations. Those who do not pay their past due financial obligations as indicated on the billing statement will
be subject to the University's collection processes, including paying any collections costs. The administration is
directed to establish procedures at the Norman, Tulsa, and Health Sciences Center campuses to provide the
means for the University to gain access to funds to which it is entitled.

5.39.1

PROCEDURE (NORMAN CAMPUS):

(A) Communication of Policy
Employees should be informed of this policy at the time of their appointment and at the time they
purchase goods and services from University departments.

(B) DETERMINATION OF CREDITWORTHINESS
University departments selling goods or services to University employees are responsible for
determining the ability of the employee to pay. Prior to the provision of goods or services to an
employee, the selling department should access the University's accounts receivable system to
determine if the employee is past due on any University charges. Based upon the status of the
employee's account, the selling department shall make a managerial decision as to whether or not to
sell goods and services to the employee.

(C) COLLECTION PROCEDURES

(1) For purposes of implementing this policy, the following account-aging guidelines shall apply:

   - Charges appearing on a Bursar statement for the first time are considered to be CURRENT
     charges.

   - Charges are considered to be 30 DAYS PAST DUE if they are outstanding on the second
     Bursar statement.

   - Charges are considered to be 60 DAYS PAST DUE if they are outstanding on the third Bursar
     statement.

   - Charges are considered to be 90 DAYS PAST DUE if they are outstanding on the fourth
     Bursar statement.

(2) Monthly, after the mailing of the Bursar statements, the Bursar’s Office will identify University
employees with outstanding charges that are 90 OR MORE DAYS PAST DUE. Excluded from
this process are student employees (including graduate assistants) who are paying their
accounts in accordance with the University's tuition and fee payment plan, or who have made
alternative payment arrangements. The accounts will be referred to University Collections, a
division of Legal Counsel.

(D) OVERPAYMENTS
Any University employee who receives an overpayment through his or her payroll for whatever reason
(e.g., termination of employment, overestimate of hours, or clerical error) will be responsible for
repaying all amounts owed, including any collection costs and/or tax consequences that result from the
overpayment. However, if it is determined that the department is responsible for the error that resulted
in an overpayment, the department shall bear the associated collection costs.

(Regents, 6-23-11, 1-24-12)

5.40

FIREARMS
Firearms and munitions of all types are prohibited on all property owned, leased, or occupied by the Board of Regents at all times except as specifically authorized.

The text below is approved Regents Policy for the Norman Campus but is printed in its entirety only in the Norman Campus Faculty Handbook.

5.40.1

For purposes of this policy, firearms include but are not limited to, the following: conventional weapons, from which a projectile is discharged by an explosive propellant charge; antique, replica, and inert firearms; compressed gas weapons; and spring-propelled weapons. For purposes of this policy, munitions include, but are not limited to any projectile which incorporates a propellant charge and/or explosive contents.

5.40.2

FIREARMS ARE PERMITTED ON CAMPUS ONLY UNDER THE FOLLOWING CIRCUMSTANCES:

(A) In the possession or control of sworn law enforcement officers or properly licensed armed security guards employed by the University who are performing their assigned duties. The Chief of Police at the Norman Campus, the Chief of Campus Police at the Oklahoma City Campus, or the Director of Operations at the Tulsa Campus must approve in advance the use or employment of armed private security providers.

(B) In the possession of personnel of active or reserve armed forces of the United States or the Oklahoma National Guard when in the performance of duties assigned by an authorized commander.

(C) In the possession of Reserve Officer’s Training Corps, (“ROTC”) participants when under the supervision of authorized members of the regular armed services.

(D) Firearms, exclusively as detailed below, in the possession of members of the RUF/NEKS organization certified by the University Police Department as having satisfactorily completed a handling safety class, subject to the following additional conditions:

(1) The University Police Department shall inspect and approve the firearms.

(2) Blank ammunition only will be used in these weapons; live ammunition will not be present with these weapons at any time.

(3) Violation of the safe handling procedures established by the University Police Department will result in withdrawal of the offending individual’s certification.

(4) Possession of these firearms will be limited to use during official RUF/NEKS functions.

(E) For use during public performances, subject to the following conditions:

(1) Firearms for use in public performances shall be rendered inoperable whenever discharge is not required as an integral part of the production.

(2) When discharge is necessary as part of a performance, blank ammunition shall be used. Blank ammunition is not permitted in weapons pointed at performers at any time during the production.

(3) Weapons present for a performance shall be kept secure or in the possession and control of a designated staff member at all times when not actively in use.

(F) For display in support of the educational mission of the University. Such firearms must be inoperable and approved and secured by means acceptable to the Chief of Police at the Norman Campus — Faculty Handbook.
Campus, the Chief of Campus Police at the Oklahoma City Campus, or the Director of Operations at the Tulsa Campus.

(G) For use as a teaching aid, subject to the following conditions:

1. Permission for such use must be granted by the academic department head and prior notice of the presence of the firearm on campus must be given to the Chief of Police at the Norman Campus, the Chief of Campus Police at the Oklahoma City Campus, or the Director of Operations at the Tulsa Campus.

2. Such firearms must be approved and secured by means acceptable to the Chief of Police at the Norman Campus, the Chief of Campus Police at the Oklahoma City Campus, or the Director of Operations at the Tulsa Campus.

3. Munitions shall not be present with firearms when used in class.

(H) As “starter pistols,” incapable of chambering or firing live projectile ammunition, for athletic events. Starter pistols and blank ammunition shall be secured at all times when not in use and shall be under the control of appropriate staff or athletic officials when in use.

(I) As construction equipment employing blank ammunition as a propellant for setting fasteners when used by or under the supervision of authorized and trained personnel.

(J) The cannon known as “Old Trusty” used by members of the group “Loyal Knights of Old Trusty” or “LKOT,” and the 75 mm howitzer used by the Army ROTC detachment may continue in their respective traditional uses, subject to the following conditions:

1. The safe use of these pieces is the responsibility of the designated faculty sponsor(s).

2. The LKOT and the Army ROTC will notify the University Police Department of intended use of their respective pieces sufficiently in advance of a use to enable notification of other public safety agencies.

(K) Any group desiring to use a firearm and/or munitions for ceremonial purposes on the campus, other than those specifically identified in Section 1.B.10 above, will tender a request to the Chief of Police at the Norman Campus, the Chief of Campus Police at the Oklahoma City Campus, or the Director of Operations at the Tulsa Campus.

1. The Chief of Police at the Norman Campus, the Chief of Campus Police at the Oklahoma City Campus, or the Director of Operations at the Tulsa Campus will review the request and forward it to the Office of Legal Counsel with a recommendation for approval or disapproval based upon public safety considerations.

2. The Office of Legal Counsel will notify the Chief of Police at the Norman Campus, the Chief of Campus Police at the Oklahoma City Campus or the Director of Operations at the Tulsa Campus and other appropriate officers of any approvals that are granted for the use of ceremonial firearms.

(L) Upon approval and for a specific purpose and limited time by the Chief of Police at the Norman Campus, the Chief of Campus Police at the Oklahoma City Campus, or the Director of Operations at the Tulsa Campus.

5.40.3 For purposes of this policy, “inoperable” means physically rendered incapable of firing either by removal of critical parts or installation of a device to prevent operations, or both. Where firearms are required to be rendered inoperable, the Chief of Police at the Norman Campus, the Chief of Campus Police at the Oklahoma City Campus, or the Director of Operations at the Tulsa Campus shall inspect and certify that it is inoperable.
5.40.4 Where permitted on campus for other than law enforcement or armed forces use, all firearms shall be secured by means approved by the Chief of Police at the Norman Campus, the Chief of Campus Police at the Oklahoma City Campus, or the Director of Operations at the Tulsa Campus.

The Chief of Police at the Norman Campus, the Chief of Campus Police at the Oklahoma City Campus, or the Director of Operations at the Tulsa Campus will respond to reports of alleged violations, investigate alleged violations, and submit reports of findings of alleged unauthorized presence, possession, or use of firearms on campus.

(A) The Chief of Police at the Norman Campus, the Chief of Campus Police at the Oklahoma City Campus, or the Director of Operations at the Tulsa Campus will initiate criminal prosecution if they believe an individual has violated a local, state, or federal law.

(B) Copies of police reports regarding alleged unauthorized firearms incidents will be submitted to the Office of Legal Counsel.

(1) Upon determination made by the Chief of Police at the Norman Campus, the Chief of Campus Police at the Oklahoma City Campus, or the Director of Operations at the Tulsa Campus that a currently enrolled student, faculty, or staff member; dependent of student, faculty or staff; or a visitor of a student, faculty, or staff member has violated this policy, the Office of Legal Counsel may initiate action to:

(a) Immediately suspend or expel the students, and/or
(b) Immediately suspend from employment the staff or faculty member.

(2) Student disciplinary action may be imposed in addition to criminal prosecution arising from unauthorized possession or use of firearms and/or munitions. Disciplinary action may be initiated prior to the completion of criminal prosecution.

(Regents, 4-25-96, 3-29-00, 1-27-04, 6-23-04)

5.41 BICYCLE POLICY

Any bicycle operated on the University campus shall be registered with the University Department of Public Safety ("DPS" or "Campus Police") through the University and City of Norman joint bicycle registration program. This requirement applies regardless of whether the owner is a student, faculty or staff member. Registration is at no cost. Bicycle operators may contact Campus Police or the Safe Walk Office for information about how to register.

Bicycles shall be parked only in designated racks placed on campus. Bicycles secured to campus fixtures other than designated racks shall be subject to removal without prior notice. The responsibility for the security of parked bicycles rests with the owner. The University shall not be responsible or liable in any way for lost, stolen, or damaged bicycles. Bicycles shall also be kept in good working order and shall not be allowed to deteriorate or become otherwise derelict.

The University may remove any bicycle that appears to be abandoned. A bicycle that is observed to be apparently parked in the same location longer than two weeks or that is apparently broken, inoperable, or derelict, shall be considered abandoned. If a removed bicycle is registered under this policy, the University will try to contact the registered owner to arrange for removal. If an abandoned bicycle is not registered, the University may remove it immediately. The University is not responsible for the cost of locks, chains, other security devices, or any other item that may be damaged or destroyed as a result of removing any bicycle.

The University may dispose of any bicycle that has been in storage longer than three months. The University may destroy or otherwise dispose of any removed bicycle. Any owner wishing to reclaim a removed bicycle from

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the University shall produce evidence of ownership. The University may charge fines for reclaiming removed bicycles. Payment of fines shall be the responsibility of the bicycle’s owner. Impounded bicycles are stored by the University’s Physical Plant. To effect release of a bicycle, the owner must contact the Physical Plant at 325-6953 and set an appointment to meet Physical Plant personnel at the storage location.

(Vice President for Administration and Finance, 7-1-04, 4-3-08)

5.42

WORKPLACE THREATS AND VIOLENCE

The University of Oklahoma is committed to providing a safe and healthy workplace for all employees and a safe and prosperous educational experience for its students in accordance with applicable federal, state, and local laws. The University is also committed to providing a professional work environment that promotes dignified and respectful treatment of all. This policy applies to the conduct of any person on University premises or at University-sponsored events, including faculty members, students, staff members, visitors, or contractors while on University-owned or controlled property or while engaged in University business. The University has a zero-tolerance policy for workplace threats and/or violence in any form as described below. The University prohibits acts of workplace violence that include threats, intimidation, physical attacks, stalking, or property damage and violent behavior.

DEFINITIONS

Threats:
A threat is the expression of intent to cause physical or mental harm. Such an expression constitutes a threat without regard to whether the person communicating the threat has the ability to carry it out, and without regard to whether the threat is made on a present, conditional, or future basis. In determining whether the conduct constitutes a threat, including whether the action caused a reasonable apprehension of harm, the University will consider the totality of the circumstances from the perspective of a reasonable person in the situation. Threats come in many forms, including, but not limited to, oral and written threats, or threats communicated through conventional mail, electronic messaging, digital imaging, photography, fax, or telephone, and may be direct or implied.

Physical Attack:
A physical attack is, without limitation, unwanted or hostile physical contact such as hitting, pushing, kicking, shoving, tripping, poking, biting, spitting, throwing of objects, or fighting.

Intimidation:
Intimidation includes but is not limited to stalking, bullying, or engaging in verbal, written, expressive, or physical actions that intentionally or recklessly frighten or coerce an individual or that would be viewed by a reasonable person as such.

Stalking includes, without limitation:
- willfully, maliciously, and repeatedly following or harassing another person in a manner that would cause a reasonable person or a member of the immediate family of that person to feel frightened, intimidated, threatened, harassed, or molested; and
- actually causing the person being followed or harassed to feel terrorized, frightened, intimidated, threatened, harassed, or molested.

In the context of stalking, harassment may occur when an individual demonstrates a pattern or course of conduct directed towards another individual that includes repeated or continuing uninvited contact, e.g., contact after the individual has clearly communicated that contact is unwanted. Unwanted contact includes:
- following or appearing within the sight of that individual in a manner that would lead a reasonable person to believe he or she were being followed or watched by that individual;
- approaching or confronting that individual in a public place for a non-business-related purpose or on private property;
- appearing at that individual’s workplace and/or workspace for a non-business-related purpose;
- appearing at the residence of that individual;
- contacting that individual by telephone for a non-business-related purpose;
- sending mail or electronic communications to that individual for a non-business-related purpose;
- placing a non-business-related object on, or delivering an object to, that individual’s workplace and/or workspace;
- placing an object on or delivering an object to the individual’s residence.

Property Damage:
Property damage is intentional damage to or destruction to or destruction of property owned by the University or its students, employees, contractors, vendors, or visitors.

Violent Behavior:
Includes any behavior, whether intentional or reckless, which results in bodily injury to another person and/or damage to property, and can include, but is not limited to:
- injuring another person physically, including slapping, hitting, punching, pushing, poking or kicking; or physical gestures or actions which would be viewed by a reasonable person as threats to inflict physical harm;
- engaging in behavior that creates a reasonable fear of injury in another person;
- brandishing or using a weapon or other destructive devices or an object that reasonably appears to be a weapon, and where not otherwise allowed by law, possessing a weapon while on University premises or engaged in University business;
- damaging property intentionally or recklessly;
- threatening to injure an individual or damage property verbally, in the form of digital photography, or in written or electronic form;
- committing acts motivated by or related to domestic violence or sexual harassment;
- stalking, as defined above.

GUIDELINES FOR REPORTING VIOLENT SITUATIONS:
The University encourages all employees to be alert to the possibility of violence on the part of current and former employees, current and former students, vendors, and visitors to the University. Supervisors are responsible to respond promptly, effectively, and in a manner consistent with University procedures when notified of an alleged incident of workplace violence, or when they observe workplace violence.
A person who believes that he or she has been the target of workplace violence or observes workplace violence must immediately report the alleged incident to his or her supervisor or manager, Human Resources, the University Police Department, and/or the city-of-residence police department. In emergency situations, the Police Department should be called immediately by dialing 911. The University also provides an Emergency Communication System for reporting activity that appears to be an immediate threat to an individual by calling any of the following numbers: on the Norman campus, (405) 325-1911; on the Health Sciences campus, (405) 271-4911; or on the Tulsa campus, (918) 660-3333. The University prohibits retaliation against or harassment of individuals who act in good faith by reporting real or perceived violent behavior or violations of this policy.

All employees who commit violent acts or who otherwise violate this policy are subject to disciplinary action, up to and including termination of employment, for unacceptable personal conduct, and may also be subject to criminal prosecution. The University prohibits employees from making deliberately false or misleading reports of violence or threats of violence under this policy, and employees who make such reports will be subject to disciplinary action, up to and including termination of employment.

Other individuals who engage in acts of workplace violence as described above may be subject to different disciplinary action applicable to them through this Handbook, applicable disciplinary policies and procedures for each respective campus, University policy, and state or federal law.
6. BENEFITS
The general web address for OU employee benefit information is http://www.hr.ou.edu/.

6.1 BENEFITS DESIGNATION
University employment benefits are linked to the primary position for which an employee is hired. If an employee is hired through the staff hiring process but by virtue of his/her skills or expertise is assigned an additional academic title, benefits accrue to the primary staff title only, even though the employee's total title would reflect an additional academic appointment, unless the Senior Vice President and Provost, after consultation with the Director of Human Resources, specifically determines that an exception is in the best interests of the University.

Example: Staff Psychologist/Adjunct Assistant Professor; assign professional staff status and benefits.

If a person is hired through the faculty hiring process and acquires a staff title because of additional responsibilities, then benefits are linked to the primary academic title.

Example: Assistant Professor/Editorial Supervisor Oklahoma Daily; assign academic status and benefits.

(President, 5-2-86)

6.2 RETIREMENT POLICY
The University of Oklahoma Retirement Policy (the “Policy”) supersedes all previous versions of the Policy and are detailed in the Staff Handbook and in the Human Resources website. Eligible Employees of the University are entitled to certain benefits following the completion of a designated number of years of employment, the attainment of specified ages, or satisfaction of other requirements as set forth in the Policy.

6.2.1 PROGRAMS AVAILABLE

BENEFIT PROGRAMS - The University offers a comprehensive and competitive package of employee benefits. University sponsored benefit programs include

- medical insurance,
- dental insurance,
- vision coverage,
- short and long-term disability coverage,
- life and accidental death and dismemberment insurance,
- retirement insurance,
- flexible spending accounts for healthcare and dependent care expenses,
- long-term care insurance.

(Regents, 6-23-11, 1-24-12)

6.2.2 INSURANCE BENEFITS

6.2.2.A Eligibility

- The employee must be in a continuous appointment of at least a .5 FTE.
- Benefits begin on the first of the month after date of hire.
• If the employee has a 1.0 FTE and does not enroll within the initial 31-day enrollment period, he or she will automatically be enrolled in medical, dental, life insurance, and AD&D coverage, but will be ineligible to enroll in other insurance programs until the next annual open enrollment period. Under certain circumstances, an employee may be eligible to enroll or modify elections if experiencing a qualified life event change during the plan year.

6.2.2.B Payment

• The University pays in full for employee dental, life, and accidental death insurance.

• The University and employee share in the cost of employee and dependent medical insurance, depending on the employee’s salary.

• The employee pays in full for all other insurance benefits.

• Most employee payments can be made on a pretax basis through the 125 Cafeteria Plan.

• Employees employed at less than 1.0 FTE pay for benefits on a prorated basis within defined bands.

(Regents, 6-23-11, 1-24-12)

6.2.3 OTHER BENEFITS

• Workers compensation insurance is provided for all employees irrespective of employment status.

• Unemployment compensation is provided for all employees except students.

Additional information on all of these benefits can be found at www.hr.ou.edu/benefits

(Regents, 6-23-11, 1-24-12)

6.2.4 BENEFITS CONTINUATION
The Consolidated Omnibus Budget Reconciliation Act of 1985 (COBRA) provides for continuation of medical, dental, and vision coverage for covered participating employees should they or their covered dependents become ineligible for coverage as a result of one of the following events:

• the employee’s termination of employment, reduction in hours, or death;

• the employee’s divorce or legal separation from a spouse;

• the ineligibility of the employee’s dependent child for continued plan participation at the end of the calendar month in which the child turns 26.

Employees with currently active coverage may continue participation up to one year in group insurance benefits, except Long Term Disability, during an approved leave of absence period. The cost of coverage during the leave period is the employee’s responsibility.
6.2.5

RETIREMENT PLANS
This section contains a general summary of the University's retirement plans. Eligibility to participate in the University of Oklahoma’s retirement plans depends on the employee’s FLSA status (exempt or nonexempt), age, and years of benefits-eligible service. Two retirement tracks are available at the University of Oklahoma. Retirement Track A includes a defined contribution plan and the Oklahoma Teachers’ Retirement System (OTRS). Retirement Track B includes only a defined contribution plan.

- In both retirement tracks, the University provides contributions for the employee to an employer-funded, tax-qualified defined contribution plan under Section 401(a) of the Internal Revenue Code.
- In Track A, employees choose to participate in the OTRS. Both the University and the employee contribute to OTRS.
- FLSA-exempt employees under age 45 hired after July 1, 2004, must make a one-time irrevocable choice to participate in OTRS within their first 90 days of employment.
- Depending on the retirement track elected by the employee, the amount the University contributes to the defined contribution plan differs.
- Electing OTRS in Retirement Track A requires a contribution from the employee and may yield an overall higher retirement benefit depending on certain variables.
- The University also offers two voluntary retirement savings plans to which employees may contribute on a pretax basis. These programs are offered under sections 403(b) and 457(b) of the IRS Code (regardless of FTE status). The accumulated value in these savings plans is tax deferred until money is withdrawn, but will be subject to applicable employment taxes when contributions are made.
- More details can be found on the Human Resources website: http://hr.ou.edu.

The University of Oklahoma is a participating member in Social Security. For additional information about Social Security, visit www.ssa.gov.

6.2.6

OTHER RETIREMENT BENEFITS
This section provides a general overview of eligibility for retirement from the University of Oklahoma and the benefits (other than retirement plan benefits) available upon retirement.

Eligibility for Retirement
To be eligible for University of Oklahoma retirement benefits, an employee must meet one of these requirements:

- has attained age 62 with at least ten years of benefits-eligible OU service.
- has attained age plus (at least ten) years of benefits-eligible OU service equal to 80 or more (Rule of 80).
- has attained any age with 25 years of benefits-eligible OU service.

An employee is eligible to apply for disability retirement at any age with at least ten years of benefits-eligible OU service.
Eligibility requirements to retire with benefits from the OTRS are different from the requirements listed above. More details can be found at [http://hr.ou.edu](http://hr.ou.edu).

**Benefits upon Retirement**

Employees who meet the eligibility requirements for University retirement receive the following benefits package:

- continued participation in health and dental insurance;
- a parking permit, discount athletic tickets, use of designated University recreational facilities, and other miscellaneous benefits;
- lifetime passes to the University golf course for their personal use issued for weekday play to professors emeriti and other faculty and staff retirees who retired prior to January 1, 1994, will be honored.

Benefits from the OTRS and the DCP and ORP are determined on an individual basis. More details can be found at [http://hr.ou.edu](http://hr.ou.edu).

(Regents, 6-23-11, 1-24-12)

6.2.7

**PHASED RETIREMENT**

Individuals who are at least 55 years of age and have ten or more years of service may request permission to reduce their workloads and phase into another career or full retirement. The phased retirement program offers an attractive level of benefits during the phasing. (The University of Oklahoma Retirement Plan of May 18, 1998)

(Regents, 6-23-11, 1-24-12)

6.2.8

**RETIREES RETURNING TO WORK**

State law prohibits rehire of retirees as consultants for two years following retirement. OTRS retirees may return to work as temporary employees in accordance with OTRS rules. OTRS regulations require a minimum of 60 calendar days between a retiree’s last day of preretirement public education employment and any such postretirement employment. OTRS retirees should consult with OTRS before returning to work at any OTRS-participating institution to determine what, if any, impact on their retirement benefits a return to work might have.

- OU retirees not eligible for OTRS retirement benefits may return to work as temporary employees without a minimum waiting period.
- More details can be found on the Human Resources website: [http://hr.ou.edu](http://hr.ou.edu).

(Regents, 6-23-11, 1-24-12)

6.3

**EMERITUS TITLES**

The emeritus title is granted only by the University of Oklahoma Regents upon recommendation of the President of the University. The President may recommend that the title “Professor Emeritus” be granted upon the retirement of faculty members when so proposed by their department and college. The title indicates retirement in good standing and ordinarily will be without the designation of any additional faculty rank (such as “Assistant”
or "Associate") except that distinguished professor titles shall be retained when the emeritus status is recommended. For the Health Sciences Center, the President may recommend that the title "Clinical Professor Emeritus" be granted upon the retirement of volunteer faculty when proposed by their department, college, and the Senior Vice President and Provost.

It also has been the practice from time to time for the University Regents to grant the title "Emeritus" to former executive officers and deans upon retirement.

(President, 9-10-85)

6.4

EMPLOYMENT BENEFITS FOR ELIGIBLE EMPLOYEES

The University makes insurance available for employees under a flexible benefits plan, Sooner Options. Health, dental, group term life, accidental death and dismemberment, long-term disability, and long-term disability insurance are offered under Sooner Options. Dependent life and dependent accidental death and dismemberment insurance are also available. To be eligible to participate in Sooner Options, an employee must have at least a 50 percent FTE (full time equivalent) continuous appointment expected to last one semester or more for faculty and six months for staff. Eligible employees are provided Sooner Credits in proportion to the FTE at the 50%, 75%, or 100% level. Sooner Credits represent the money the University pays for each employee's health, dental, group term life, and accidental death and dismemberment insurance. Under Sooner Options, the University determines annually an amount of money to provide to the employee to spend on benefit coverage's and the amount that will be paid if the employee declines coverage.

Premiums for dependent health, dental, life, accidental death and dismemberment insurance must be paid by the employee. Also available on an optional basis, with the employee paying the premium is additional life, additional accidental death and dismemberment, vision coverage, long-term care, and long-term disability insurance on the employee.

Workers' Compensation insurance is provided for all employees irrespective of employment status. Unemployment Compensation is provided for all employees except students.

(Regents, 12-8-77, 7-19-78, 12-14-91, 1-27-04)

6.4.1

PAYROLL DEDUCTIONS

The Board of Regents authorizes (1) current withholding from the compensation for an employee's services, with the consent of the employee, amounts necessary for participation in various programs, and (2) the President to approve future deductions which appear to be in the best interests of the University and its employees.

(Regents, 9-1-83)

6.5

TAX DEFERRED ANNUITIES

Upon request, the University will arrange to purchase an annuity for an employee and to exclude the cost thereof from gross income. Employees interested in this means of tax deferral can make the necessary arrangements in the Office of Human Resources. There are legal limitations governing amounts. The employee should contact the Benefits Office to obtain a maximum exclusion allowance calculation, withdrawal penalties, and other pertinent information in order to have the data upon which to make the decision on which option best satisfies the individual's personal objectives.

(Vice President for Administration and Finance, 7 1 86, 12-1-97)

6.6
SALARY OPTIONS FOR FACULTY ON 9-MONTH APPOINTMENTS
Faculty members appointed for nine months will receive their salary in 10 payments (one-half month paid in August, eight full months paid September through April, and one-half month paid in May). As an alternative, nine-month faculty may elect to be paid in 12 equal payments (August through July). This option is available only at the beginning of each academic year and may not be changed after the August pay check has been processed.

New faculty and faculty wishing to change their payment option for the next academic year should contact the Payroll and Records Office prior to August 5 of the academic year in which the change is to be effective. Payment options will remain in effect for future academic years unless such a change is requested.

(Director, Human Resources, 7-22-94)
7.

RESEARCH FACILITIES AND ACADEMIC UNITS

7.1

LIBRARIES
The University of Oklahoma Libraries, in support of the University of Oklahoma, develops and maintains programs that provide access to the informational resources necessary to fulfill the academic, research, artistic, scholarly, and community leadership objectives of the University. The University Libraries also recognize their service obligation to the local community, the state, other libraries, and scholars in general.

The University of Oklahoma Libraries, the largest research library in the state of Oklahoma, contains more than 4.7 million volumes, 4.1 million microforms, 31,000 periodicals, and over 180 electronic databases. The research library facilities on the Norman campus include the Bizzell Memorial Library and separate branch libraries for architecture, chemistry-mathematics, fine arts, engineering, geology, and physics-astronomy. The OU Law Center also has a separate library (http://www.law.ou.edu/library/) in its facility. The Library at the OU Health Sciences Center (http://library.ouhsc.edu/) supports teaching and research in medicine, nursing, dentistry, pharmacy, and health-related disciplines. The OU Tulsa Schusterman Center Library supports students enrolled in Tulsa-based programs (http://www.tulsa.ouhsc.edu/library/library.htm).

7.1.1

SPECIAL COLLECTIONS
In addition to the general collections described above, the University Libraries have five special collections: History of Science Collection, Western History Collections, the Bass Business History Collection, Bizzell Bible Collection, and the John and Mary Nichols Rare Books and Special Collections. These collections contain rare and special materials including books, manuscripts, photographs, and sound recordings. Current detailed descriptions of these collections are listed at the library website under “locations.”

7.1.2

INTERNET-ACCESSIBLE RESOURCES
The Libraries’ electronic resources are easily accessed through the website available at http://www.libraries.ou.edu/. The Libraries provide access to databases, reference works, electronic journals, websites, government documents, and electronic books. The University of Oklahoma Libraries offers a wealth of electronic, print and non-print resources, as well as assistance in learning about and using the Libraries’ resources. Anyone with a 4x4 university login may access these library resources through the Libraries’ website, http://www.libraries.ou.edu, available 24 hours a day, 7 days a week.

7.1.3

BOOK FUNDS
The University Libraries receive an annual appropriation from the University budget for the purchase of books, periodicals, and other library materials. The Dean of University Libraries is charged with the responsibility of administering these funds. The University Libraries Committee, of which the Dean is an ex officio member, acts in an advisory capacity.

7.1.4

HOW TO REQUEST BOOK PURCHASES
Collection development within the University Libraries is coordinated by the Head of Collection Development. Any faculty member may recommend purchases for the library collections. Requests may be submitted online through the Libraries website. Library liaisons (subject specialists in the library) and the library departmental representative’s work together to insure the collections provide adequate resources for all degree programs.
New faculty should contact the library liaison in their field to learn more about the collections support for their research area. A current list of library liaisons is available on the website.

7.1.5

ACCESS TO RESEARCH MATERIALS
The University Libraries provide access to research materials and information through many different formats and also assist researchers in obtaining materials from other libraries, if necessary. Interlibrary Loan Services will obtain materials not available locally. Requests for articles, books and other materials may be submitted online at the Libraries website. Request forms for interlibrary loan are also included in many of the online databases, for your convenience. The Libraries will also provide document delivery services to faculty for materials within the collections. A description of these delivery services is found under Sooner Express on the website.

Book and bound periodicals and other formats may be checked out with a faculty identification card. Online service under “My books” allows online renewal of checked out items. Faculty are responsible for lost materials. Faculty may also extend their checkout privileges to research assistants. A signed proxy form is required.

Faculty members who wish to do research at other institutions should contact Access Services to learn more about reciprocal borrowing privileges at other academic institutions.

Current awareness services provide researchers with e-mailed table of contents notifications for selected journals, saved search notifications on a specific topic, or notices of new books in your area. A list of recommended services is available on the website.

7.1.6

REFERENCE AND INFORMATION SERVICES
Reference and information services are available at Bizzell Memorial Library, the branch libraries and special collections. Reference librarians provide assistance in identifying and utilizing relevant library resources, such as using the library catalog to find books or subject databases to locate journal articles. “Email a librarian” reference service may be found under the “help” listing on the University Libraries website.

7.1.7

LIBRARY INSTRUCTION
The University Libraries provide instruction in the use of the resources in the general library, in the special collections, and in the branch libraries. Professors may arrange for instruction sessions to be held in the library or in the classroom. Introductory as well as advanced sessions are available for general and specific library and research-related topics. Contact the Reference Department in Bizzell Library to schedule instruction sessions.

7.1.8

CLASSROOM/ONLINE TEACHING SUPPORT SERVICES
The University Libraries provide reserve and electronic reserve services in support of classroom teaching and online courses. Print reserve collections are available at the main library and all branches. Faculty members may place materials on reserve for their classes in any of the University Libraries. Electronic reserves, both textual and audio, can be accessed from the Libraries’ website. Frequently asked questions, and contact information for reserves staff are available there as well. Library staff can also help faculty address copyright concerns for materials they wish to use.

Distance Education students have ready access to online library materials, but need additional support to obtain print items available locally. University Libraries provide special document delivery services for remote students. Details of this service and help with using resources remotely can be found at the website under Services, Distance Education.
7.1.9

FACULTY STUDIES
There are faculty studies at Bizzell Memorial Library for the OU faculty who require frequent and immediate access to the collections of the general library while working on research projects. Application forms are available from the Library Dean’s Office.

7.1.10

OTHER
Libraries and special collections on campus that are not affiliated with the University Libraries include the Journalism Library (Gaylord College of Journalism), the Curriculum Library (Jeannine Rainbolt College of Education), the National Severe Storms Lab Library and the Carl Albert Congressional Archives (Carl Albert Center). For access to materials in these collections contact these libraries directly.

(Dean, University Libraries, 6-24-86, 5-5-88, 1-3-94, 2-16-04)

7.1.11

LIBRARY CIRCULATION RECORDS
See policy as stated in Section 5.33

7.2

OFFICE OF RESEARCH SERVICES (ORS)
The basic purpose of the ORA is to promote the educational and research objectives of the University by (1) encouraging scientific investigations by the faculty, staff, and students; (2) aiding investigators in obtaining external support for research projects; (3) fostering interdisciplinary, multi-disciplinary, and interinstitutional research projects; (4) articulating polices and procedures supportive of research; and (5) aiding in the dissemination and utilization of knowledge created by University researchers.

The ORS is responsible for the facilitation of the development, negotiation, and administration of sponsored research programs on the Norman Campus. The ORS staff assists faculty and staff through identifying potential sponsors for proposed research projects, working with faculty to develop, prepare, and authorize proposals to public and private funding agencies, negotiating resultant awards, and facilitating post-award award administration. The ORS also provides administrative services for the Research Council.

(Vice President for Research, 6-19-86, 10-23-00, 3-31-05)

7.3

OKLAHOMA MUSEUM OF NATURAL HISTORY
The Oklahoma Museum of Natural History is a repository for important collections in earth, life, and social sciences. These extensive collections include more than 6 million specimen and artifact lots and are a major research resource for the University. These collections also represent a vast and non-renewable resource of the heritage of Oklahoma and many other parts of the world. University curators oversee collection research activities that include their own original investigations as well as an active lending program that makes specimens, artifacts, and other materials available to graduate students, visiting scientists, and scholars throughout the world. The collections provide the basis for multifaceted exhibitions, public service programs, and educational activities.

The new 195,000 square foot facility for the museum opened to the public on May 1, 2000. Located just south of the intersection of Timberdell Road and Chautauqua Avenue on the Norman campus, the museum is comprised of five galleries featuring thousands of artifacts. With collections that document 300 million years of Oklahoma’s natural history, the museum is one of the nation’s largest university-based natural history museums. The museum is open 10 a.m. – 5 p.m., Tuesday through Saturday and 1 - 5 p.m. on Sunday. It is closed on
Thanksgiving, Christmas, and New Year’s Day. Admission is $5 for adults, $4 for seniors and faculty and staff, $3 for children ages 6 and older and no charge for children 5 and younger and OU students with ID. For more information, visit the museum’s web site at www.snomnh.ou.edu or call 405-325-4712.

(Director, Oklahoma Museum of Natural History, 10-02-00, 3-31-05)

7.4

FRED JONES JR. MUSEUM OF ART
The OU Museum of Art is one of the strongest university-based art museums in the United States. Founded in 1936 after the university received a gift of more than 700 works of Asian art, the museum was housed in what is now Jacobson Hall. In 1971, a gift from Mr. and Mrs. Fred Jones of Oklahoma City, established a permanent museum building in honor of their son, Fred Jones, Jr., who died in a plane crash during his senior year at OU.

In 2004, the museum completed a major renovation and construction project to accommodate the more than 8,000 works in its ever-expanding permanent collection. The new wing, named for OU benefactors Mary and Howard Lester, doubled the size of the facility – adding galleries, an auditorium, an orientation room, classroom space and a new grand entrance at 555 Elm Avenue.

In the year 2000, a bequest from Clara Weitzenhoffer of Oklahoma City brought the museum the single most important gift of French Impressionist are given to a public university, with master works by Degas, Gauguin, Monet, Renoir, Van Gogh and others. In addition to French Impressionism, strengths of the permanent collection include American art, especially modernism and southwestern art, American Indian art, contemporary art, and photography.

Museum galleries and collections are available as a resource for faculty and students in the School of Art. Visiting exhibitions, coupled with the museum’s extraordinary permanent collection, serve as a catalyst for lectures, symposia, workshops, and audio-visual presentations, which enrich the cultural life of the university community, the State of Oklahoma, and the region.

The museum is open Tuesday through Sunday. For more information, call 325-3272, or visit the museum website at http:\www.ou.edu/fjjma.

7.5

OKLAHOMA SCHOLAR-LEADERSHIP ENRICHMENT PROGRAM
A statewide academic program for outstanding upper-division and graduate students, the Oklahoma Scholar-Leadership Enrichment Program (OSLEP) offers a series of interdisciplinary seminars that brings students into a unique learning environment with distinguished scholars. Scholars representing many fields meet with a small group of students (25) in intensive study and discussion of some aspect of the overall theme, “The Future of Humanity: Inquiries and Perspectives.”

Students with a 3.0 GPA or better and who are enrolled in one of the 20 four-year colleges and universities, public and independent, in Oklahoma are eligible to apply to participate in an OSLEP seminar. Each seminar carries two hours of credit in University Course 4000. Normally, seminar sessions are held between 8:30 a.m. and 4:30 p.m. each day with some evening sessions; the seminar lasts five days. Many seminars are scheduled over weekends to minimize absence from regular classes. Approximately 10 seminars are scheduled on the campuses of participating universities during an academic year. The University of Oklahoma administers the program on behalf of the Oklahoma State Regents for Higher Education.

Faculty at the University of Oklahoma may serve as resource persons for these seminars. Both faculty and students are invited to participate in a forum discussion with the visiting scholar. The public is invited to a free lecture featuring the scholar’s primary area of intellectual interest.

The OSLEP office is located at 630 Parrington Oval, Monnet Hall, Room 559.

(Director, Oklahoma Scholar-Leadership Enrichment Program, 7-1-86, 4-1-88)
INTERNATIONAL PROGRAMS/INTERNATIONAL PROGRAMS CENTER
The purpose of the International Programs Center (IPC) is to encourage and facilitate activities as a means of enriching our students’ education and preparation for professional careers. Its goal is to foster interdisciplinary education that will prepare OU graduates for success in the global environment and to enhance the University’s role as a regional leader in our nation’s international relations.

The IPC sponsors The Global Forum, a monthly lecture series which provides an opportunity for speakers to address international topics. IPC also encourages other research, seminars, conferences, and publications on international and foreign policy issues.

Another important component of the IPC is to enhance the University’s outreach to business, civic, and educational leaders in Oklahoma and the region. This outreach will benefit state economic growth and community relations by increasing awareness of international matters and providing intellectual support for international business initiatives and related activities.

The IPC has ties with foreign policy and international relations institutions, such as the Asia Society, The Council on Foreign Relations, the Institute for International Public Policy, the Institute of International Education, the Joint Center for Political and Economic Studies, the Foreign Policy Association, and the World Affairs Council.

The International Programs Center serves as the coordinating element for International Academic Programs and the Office of International Relations.

EDUCATION ABROAD AND INTERNATIONAL STUDENT SERVICES
The Office of Education Abroad and International Student Services currently coordinates teaching/research abroad and study abroad programs with over 90 universities in more than 40 countries, ranking first in the Big 12 in student exchanges.

Opportunities are available at institutions of higher education in Asia, Europe, Latin America and Africa. OIR administers a broad spectrum of study abroad programs, providing summer, semester or yearlong opportunities for study in almost every discipline at universities in all regions of the world.

(School of International and Area Studies within the College of Arts and Sciences (SIAS)
SIAS works with academic departments to expand the international dimension of students’ undergraduate and graduate degree programs. To foster interdisciplinary teaching and research on international issues, SIAS and academic departments are jointly appointing faculty members.

OKLAHOMA CENTER FOR CONTINUING EDUCATION (OCCE)
The Oklahoma Center for Continuing Education is the focus of continuing education and public service programs at the University. Funded by the W. K. Kellogg Foundation and the state of Oklahoma, OCCE is one of ten W. K. Kellogg Foundation-funded, university-based residential conference centers in the world. The OCCE facility includes the Thurman J. White Forum Building with meeting rooms that can accommodate 1,500 people; two housing units, Sooner Hotel and Sooner Suites; the Commons Restaurant, a dining hall providing a variety of food services; McCarter Hall with its six floors of administrative offices and meeting rooms; and an
administration building that houses the College of Continuing Education. More information is available at www.occe.ou.edu/occe/.

(Vice President for University Outreach, 8-14-80, 12-1-93, 1-23-98 11-13-00, 3-30-05)

7.9.1

UNIVERSITY OUTREACH AND THE COLLEGES OF CONTINUING EDUCATION AND LIBERAL STUDIES

(A) The Vice President for University Outreach, who is also the Dean of the College of Liberal Studies, is responsible for the University's College of Continuing Education, which coordinates programs for adult and part-time students both on and off campus, as well as all public service programs that aid individuals, government agencies, and organizations in the identification, study, and resolution of human and social problems. Many public service and other programs are offered under the auspices of state and federal grants, contracts, and cooperative agreements. More information is available at www.occe.ou.edu/occe/.

(B) The College of Continuing Education's (CCE) Continuing Education Academic Programs (CEAP) division provides educational opportunities through a diverse group of departments that specialize in unique areas. Advanced Programs delivers graduate degree programs at military locations around the world. The Center for English as a Second Language serves the English language needs of the University's international students. Intersession offers accelerated credit courses between normal fall, spring and summer sessions. The Center for Arts and sciences, Fine arts, and Education programs (CAFÉ) specializes in working with the University's academic colleges in the development and delivery of credit and non-credit programs for learners of all ages. Other departments within CEAP include Continuing Legal Education, Senior Adult Services, Precollegiate Programs, the Center for Independent and Distance Learning, Aviation, the Center for Business and Economic Development, and the KGOU/KROU radio station. The CEAP division also provides training programs to the United States Postal Service, Federal Aviation Administration, and Tinker Air Force Base.

(C) Additional programmatic departments reporting to the Vice President for University Outreach include the American Indian Institute; Center for Child and Family Development; Center for Early Childhood Professional Development; Center for Public Management; Center for the Study of Small/Rural Schools; Educational Training, Evaluation, Assessment, and Measurement; Executive Training/Team Quest; Health Promotion Programs; Medieval Fair; National Conference Logistics Center; National Center for Disability Education and Training; National Resource Center for Youth Services; Public Service Institute; Southwest Center for Human Relations Studies; Southwest Prevention Center; and the Workforce Oklahoma Training Institute.

(D) The Support Services division provides credit and non-credit registration and records administration, information technology support, human resource administration, conference and meeting facilitation at the Oklahoma Center for Continuing Education Thurman J. White Forum Building, comparative institutional research data through the Center for Institutional Data Exchange and Analysis, television production, digital editing and satellite uplink/downlink services, and postal and duplicating services.

(E) The College of Liberal Studies (CLS) offers undergraduate and graduate degree options designed specifically for working adults. With flexible class scheduling and independent study enrollments conducted at home or over the Internet, CLS allows students to complete a degree in ways that are convenient to adult life circumstances. Maintaining high academic standards and rigorous course offerings, CLS is a national leader in the field of adult and distance education. College of Liberal Studies’ programs emphasize interdisciplinary scholarship; students study in three broad areas of knowledge – social sciences, natural sciences, and humanities. Programs offered by the College focus on enhanced critical thinking skills and preparing students for a life of continued learning. Program options also allow for development in professional and career fields (e.g., Master of Liberal Studies in Museum Studies). More information is available at www.ou.edu/cls/.

(Vice President for University Outreach, 7-8-81, 6-8-88, 12-1-93, 1-23-98, 11-13-00, 3-30-05)
7.9.2

THE CENTER FOR ENGLISH AS A SECOND LANGUAGE
The Center for English as a Second Language, within the College of Continuing Education, serves the English language needs of the University's international students. Its primary purpose is to provide intensive English instruction to academically qualified students who have not been granted admission to the University because of a need for more preparation in the English language. In addition, the Center provides instruction to the wider community by offering second language classes such as Spanish and French through the Oklahoma Language Academy. More information is available at www.esl.ou.edu/.

(Vice President for University Outreach, 12-1-93, 3-30-05)

7.9.3

BUSINESS AND ECONOMIC DEVELOPMENT
The Center for Business and Economic Development is the College of Continuing Education’s primary provider of executive business and economic development training. The Center provides specifically tailored training programs to meet the needs of management professionals and professional associations. The Center for Business and Economic Development includes the internationally recognized economic development executive program, University of Oklahoma Economic Development Institute (OU/EDI), which provides contemporary, "state of the art" training in locations around the U.S. Other Center programs include the American Bankers Association, the Conference for State Bank Supervisors, and the Chamber of Commerce Excellence Program, as well as providing support for the State of Oklahoma’s Scenic Byways program. The Laurence Reid Gas Compressor Conference, Corrosion Control Conference, and the Blowout Prevention School are international programs within the Center that provide training for professionals in the oil and gas industries. More information is available at http://www.occe.ou.edu/edi/.

(Vice President for University Outreach, 12-1-93, 1-23-98, 3-30-05)

The Center for Economic and Management Research (CEMR) is located in the Michael F. Price College of Business. CEMR performs extensive economic analyses and research for the State of Oklahoma. One service performed by CEMR is ORIGINS, an on-line source of employment and economic data about the counties in Oklahoma.

Along with the City of Norman and the Norman Chamber of Commerce, the University is a member of the Norman Economic Development Coalition (NEDC). Three members of this nine-member council are from the University. The NEDC hires the Norman Economic Development Director and sets policy for the economic development of Norman.

(Dean, Michael F. Price College of Business, 8-28-98)

7.9.4

RADIO STATION
KGOU/KROU is a community-supported public radio service of the University of Oklahoma administered through the College of Continuing Education. The signal of KGOU, 106.3 FM, can be heard throughout the Cleveland County area. KROU, 105.7 FM, can be heard throughout the greater Oklahoma City Metropolitan area. KGOU/KROU serves the Central Oklahoma listening area with news and information programming from the National Public Radio and Public Radio International, state and regional news, public affairs, and music from the jazz and blues genres. KGOU/KROU is staffed with full-time and part-time professional staff, community volunteers, and student broadcasters. More information is available at www.kgou.org/.

(Vice President for University Outreach, KGOU, 8-15-85, 4-21-88, 11-19-93, 10-24-97, 3-30-05)

7.9.5

TELEVISION AND SATELLITE SERVICES
Television and Satellite Services (TVSS) provides television production, digital editing and satellite uplink and downlink services at the College of Continuing Education. Ku-band as well as C-band reception services are available. Remote production services include videoconferencing to audiences around the world. TVSS also provides technical support for all University electronic outreach efforts and operates a broadcast-quality television facility, a fiber optic interconnection network, and broadcast-quality remote and field production services. More information is available at www.occe.ou.edu/occe/.

(Vice President for University Outreach Education, 12-1-93, 7-95, 3-30-05)

7.9.6

WASHINGTON, D.C. OFFICE
The University's College of Continuing Education maintains a Washington, D.C. office to provide services, advising, and faculty support for its Advanced Programs students who are based at the Pentagon and other Washington, D.C. military installations. Additionally, it provides support and office infrastructure for grants and contract work of the College of Continuing Education. More information is available at www.GoOU.ou.edu/.

(Vice President for University Outreach, 8-14-80, 12-1-93, 7-10-95, 3-30-05)

7.10

UNIVERSITY OF OKLAHOMA PRESS
On January 1, 1929, the University Press began operations, and under the direction of Joseph August Brandt it soon gained national prominence as a publisher of scholarly books.

Between 1938 and 1967, under the direction of Savoie Lottinville, the Press became what Time magazine called "the nation's standout example of a regional publisher."

In 1983 George W. Bauer, assistant director of Cornell University Press, was appointed director. By 1997 the Press had experienced unprecedented growth, established an endowment to support publication of specialized scholarship, and won many awards. Prominent among these is the first LMP Corporate Award for scholarly publishing (later won by the Princeton and Harvard university presses). The citation reads: "The winner . . . is dedicated to the publication of outstanding scholarly works by both national and international scholars, and is the preeminent publisher of books about the West and the American Indian."

John Drayton, who had served as editor-in-chief since 1981, became director of the Press in 1998. He is on the faculty of the Denver University Publishing Institute, and in 2002 received the Western History Association Award of Merit “for outstanding contributions to western history.” Under his leadership, the Press continues to strengthen its position as a preeminent publisher of award-winning books about the American West and American Indians, while expanding its program in other scholarly disciplines such as classical studies, military history, political science, and natural science.

(Director, University Press, 7-31-80, 5-1-88, 10-30-97, 2-22-05)

7.11

WORLD LITERATURE TODAY
World Literature Today, an international literary quarterly that is edited by University faculty and staff members and published by the University, is a leader in the world of letters. An award, now $40,000, known as the Neustadt International Prize for Literature was given for the first time in 1970. The presentation continues to focus worldwide attention on the University, and the prize is ranked second only to the Nobel Prize for Literature. The journal also co-sponsors, with the Department of Modern Languages, Literatures, and Linguistics, the biennial Puterbaugh Conferences on World Literature, begun in 1968.

(Director, World Literature Today, 10-19-93)
UNIVERSITY RESEARCH CAMPUS - North
Prompted by its development potential, the University of Oklahoma has completed plans and initiated a program to guide future development of the University Research Campus - North. Containing approximately 1,200 acres, the site is comprised of two distinct areas: Max Westheimer Airport, Swearingen Research Park and the Employment Center. Information pertaining to these areas is as follows:

7.12.1
MAX WESTHEIMER AIRPORT
(A) The airport is a general aviation, reliever category airport. It is capable of handling aircraft up through and including executive class jet aircraft. As a result of more than 60 capital improvements, undertaken since 1982, it is one of the finest facilities of its kind.
(B) A broad variety of aircraft services are provided by a fixed base operator and specialty shops, including flight training, major airframe and power plant repairs, fueling, aircraft rental, tie-downs, etc. The University owns and operates 30 small T-Hangars and 10 large t-hangars, all of which are for lease by airport patrons.
(C) The airport is open seven days a week, around the clock. The University owned control tower is fully FAA certified, along with the associated controlled airspace, and operates daily from 8:00 A.M. to 10:00 P.M. Air traffic is handled on a first come, first served basis in accordance with federal and local regulations. Control Tower services are provided by Midwest Air Traffic Control Services, Inc., via a contract between the Federal Aviation Administration and the University.
(D) The airport owns and operates an Automatic Weather Observation Station (AWOSIII). The AWOS provides current weather 24 hours per day and is able to detect thunderstorms and lightening within 30 miles. AWOS information is accessible via telephone, 325-7302, as well as by radio for aircraft on frequency 119.55. The airport is served by navigational aids and associated instrument approaches.
(E) For further airport information, contact the Airport at 325-7233.

7.12.2
SWEARINGEN RESEARCH PARK
(A) Swearingen Research Park contains a variety of old structures that are available on a short-term lease basis at competitive rates. A systematic approach has been implemented to demolish old buildings to make way for further development.
(B) Several new facilities mark the way of future development including the National Severe Storms Laboratory, National Weather Service, Cleveland County YMCA, Red Cross, and Merrick Computing Center.
(C) For information pertaining to short-term leasing of Airport and research park properties, contact the Contracts and Real Estate office at 325-6041.

7.12.3
UNIVERSITY RESEARCH CAMPUS – SOUTH
The 271-acre Research Campus brings the University research community together with government and private enterprise to promote high technology research and education leading to economic development for the state and nation. Anchoring the campus are the Stephenson Research and Technology Center, which included OU’s Supercomputing Center for Education and Research, and programs in genomics, bioengineering, and robotics; the National Weather Center and One Partner’s Place, home to a complex of federal, state, private, and University meteorological agencies, including OU’s academic and research and operations programs. One Partner’s Place is the first of a series of buildings designed to collocate private sector companies on campus to collaborate with the University.
In 2001, the Vice President and Chief Information Officer established the OU Supercomputing Center for Education and Research (OSCER). OSCER has been developed cooperatively by approximately 150 researchers from 24 academic departments within five colleges.

OSCER has two primary missions: first, to educate faculty, staff and especially students (both undergraduate and graduate), not only in the principles underlying High End Computing (HEC) but also in the practice of effective HEC software design; second, to collaborate directly with OU researchers in the application of this knowledge to their specific investigations.

To address OSCER's educational objectives, the center offers a series of workshops on "Supercomputing in Plain English," targeted at an audience of not only computer scientists but especially application scientists and engineers, including a mixture of undergraduates, graduate students, faculty and staff. These workshops focus on fundamental issues of HEC as they relate to computational science and engineering, including: the storage hierarchy; instruction-level parallelism; high performance compilers; shared memory parallelism (e.g., OpenMP); distributed parallelism (e.g., MPI); scientific libraries; visualization. The core philosophy of these workshops is that a HEC-based code should be maintainable, extensible and, most especially, portable across platforms, and should be sufficiently flexible that it can adapt to, and adopt, emerging HEC paradigms (e.g., Grid computing).

In addition, OSCER facilitates ongoing HEC-based research by partnering with individual scientific teams to adopt appropriate HEC methodologies into their software. OSCER staff are committed to regular, frequent interactions with each participating research group, providing expertise and direction in the HEC aspects of code implementation.

OSCER maintains three HEC platforms of substantial size and power, as well as two storage systems, which are available to the entire OU research community.

7.13.1

AS OF 2005, ANTICIPATED RESOURCES TO BE AVAILABLE TO OSCER MEMBERS:

(A) National Lambda Rail (NLR): Oklahoma is a full NLR partner. NLR capability has been fully funded and is expected to be deployed in Oklahoma in 2005 (www.nlr.net).

(B) Condor (www.cs.wisc.edu/condor): OSCER and other divisions of OU's Department of Information Technology are currently embarking on a large scale Condor pool deployment project, to consist of approximately 750 desktop CPUs in student PC labs across the OU campus, for the benefit of loosely coupled jobs (e.g., Monte Carlo). This is expected to provide the equivalent of more than 2 TFLOPs of peak performance.

(C) Statewide and Regional Grids: Initially via the Condor project, OU is beginning to pursue both a statewide and a regional Grid. The statewide grid will be developed in cooperation with Oklahoma's Vice Chancellor for Information Technology and Oklahoma's statewide education and government network, OneNet (www.onenet.net); the regional grid will be developed in collaboration with the Great Plains Network (www.greatplains.net).

(Vice President for Information Technology and Chief Information Officer, 3-31-05)
SERVICES AND FACILITIES

8.1 UNIVERSITY OMBUDS SERVICE
The University Ombudsperson serves faculty and staff on the Norman Campus in the areas of dispute resolution and mediation of campus-related issues. The Ombudsperson also provides information about faculty and staff grievance procedures and the administrative appeals process.

The Office of the Ombudsperson is located in Room 213 of Bizzell Memorial Library.

(Senior Vice President and Provost, 6-1-94)

8.2 COUNSELING AND TESTING SERVICES
The staff of Counseling and Testing Services is professionally trained in helping students, faculty, and staff with problems of all kinds including anxiety, depression, interpersonal conflict, loneliness, communication problems, decision-making and problem-solving, self management, and personal growth exploration. All counseling is confidential.

Choice of career and academic major can be explored through a battery of tests interpreted by a counselor. Information about standardized national tests (ACT, GRE, LSAT, etc.) is also available.

NUMBER NYNE, the University-sponsored phone crisis and referral service, provides confidential, and anonymous counseling by trained volunteers during evening and late night hours. Call 325-NYNE.

(Vice President for Student Affairs, 8-27-80; Department of Educational Psychology, 8-15-94)

8.3 IDENTIFICATION CARD
The University provides an identification card to each employee appointed on a continuous basis at .50 FTE or greater and to each retiree. The card is to be presented for securing the privileges of using various facilities and activities available to University employees.

The card is good only during the period of employment or retirement and does not authorize the holder to obligate the University in any manner. All electronic privileges are eliminated when faculty/staff termination papers are processed through the Office of Human Resources.

Department heads are responsible for the return of an employee's Staff Identification Card upon termination from University employment.

On the Norman Campus, cards for faculty, executive officers, and administrative officers are produced and distributed by the One Card Office located in OMU 127.

(President, 1-21-85, Controller, 12-1-97, Student Affairs, 3-31-05)

8.4 SPACE REQUESTS
The space and facility planning process for the University of Oklahoma is based on the concept that all requests for modified or additional space will be developed initially at the departmental level. The process will consist of evaluation of facility needs at the departmental, college, vice president, Senior Vice President and Provost, and
Based on the space and facility requirements of the departments, each dean will develop a proposal for the college. College proposals will be presented to the Senior Vice President and Provost for evaluation and adjustment. Similar procedures will be followed by the non-academic units. The requests of the various non-academic units will be evaluated by the appropriate vice president.

(Presidential Policy Statement, 7-23-86)

8.5

AUDITORIA

Several auditoria are available on the Norman Campus. Arrangements for audio-visual equipment may be made through the Instructional Services Center. The rooms, the number of seats and the offices through which they may be reserved follow:

8.5.1 Dale Hall 200 (577 seats), Dale Hall 211 (403 seats), Dale Hall 103 (220 seats), Dale Hall 128 (220 seats), Physical Sciences Center 201 (274 seats), Botany and Microbiology Building 123 (254 seats), Felgar Hall 300 (315 seats), and Adams Hall 255 (163 seats), reserved through the Classroom Scheduling Officer of the Office of Admissions and Records or the Office of Student Development.

8.5.2 Holmberg Hall Auditorium (700 seats), Paul F. Sharp Concert Hall (1,018 seats), Morris R. Pitman Recital Hall (125 seats), and Grayce B. Kerr Gothic Hall (150 seats), reserved through the School of Music Office.

8.5.3 Rupel J. Jones Theater (643 seats), and the Weitzenhoffer Theater (210 seats) are located in the Fine Arts Center at 563 Elm and the Lab Theater (80 seats) located in Science Hall (640 Parrington Oval) can be reserved through the School of Drama Office.

The Lloyd Noble Center is a multi-purpose facility for the Norman and University of Oklahoma communities with a permanent seating capacity of 11,000. The theater section is designed to seat approximately 2,800 persons. The center is used for events such as commencement exercises for the University of Oklahoma and Norman High School, athletic events, and cultural activities. Information about rental rates and activities can be obtained by calling the director.

8.5.4 Meacham Auditorium (400 seats) in the Oklahoma Memorial Union, reserved through the Union Business Office.

8.5.5 All University functions have first priority for the use of auditoria. College and departmental functions have second priority, and reservation requests are filled in the order in which they are made. Reservations must be made at least two weeks prior to an event, and it is advisable that reservations be made as early as possible; facilities may be booked a year or more in advance.

(Vice President for Student Affairs, 8-27-80, 12-1-97, Dean College of Fine Arts, 9-11-98)

8.6

UNIVERSITY OF OKLAHOMA FOUNDATION, INC.

The University of Oklahoma Foundation, Inc., was organized in 1944 as a trust and incorporated in 1955 to accept and administer gifts, bequests, and endowments for the benefit of the University of Oklahoma. It is a charitable corporation organized and existing under the laws of the State of Oklahoma.

Gifts to the Foundation may be in the form of cash, securities, leases, royalties, literary and artistic collections, and real or personal property. There are several gift income plans available to donors that pay income for life to the donor or his/her designee. Gifts may be made for specific purpose or unrestricted; in either case, the donor's name or a designee's name may be memorialized.
Foundation activities are administered by a board of 26 trustees. They are elected for a term of three years. These leading business and professional people serve without compensation and are chosen for their wide experience in banking, investment, and finance.

Additional information is available through The University of Oklahoma Foundation Inc.’s publication, “Guidelines For Use of Foundation Funds” at www.oufoundation.org.

(Executive Director, University of Oklahoma Foundation, Inc., 8-30-84, 2-28-04)

8.7

PUBLIC AFFAIRS
Public Affairs is composed of two units that offer a variety of services to students, faculty, and staff. Working together and with the cooperation of the University's faculty and staff, the two units are responsible for furthering OU's image and promoting OU’s teaching, research, and public service missions and strategic goals. The publicity and promotional efforts are aimed toward achieving consistent, positive coverage of the University of Oklahoma in the state and nation.

Communication Services prepares and disseminates news releases to the media, engages in public relations activities, and produces and directs promotional plans. The office also assists the media in gathering information about the University, designs and publishes a variety of printed materials, and offers writing and editing services. The office is responsible for reviewing materials in accordance with the University's Publications Policy.

The Special Events Office enables the University to create a wide variety of activities to heighten community awareness of the University's mission. This office oversees major, university-wide events.

(Vice President for Public Affairs, 10-1-93, 3-4-05)

8.8

ALUMNI AFFAIRS/OU ASSOCIATION
The mission of the OU Association is to promote the advancement of the interests of the University of Oklahoma and to develop closer fellowship among alumni, former students, and friends.

Files are kept on graduates noting dates of attendance, degrees conferred, and current addresses. The Association sends out a monthly emailed newsletter and publishes OU People, an annual magazine with news of the alumni, and University events. The Association also conducts leadership forums and OU activities in communities. Association staff members serve as a liaison between local alumni groups and the University.

(Associate Vice President of University Development and Executive Director, Alumni Affairs, 4-21-88, 7-11-95, 3-16-05)

8.9

FACULTY LIABILITY AND LEGAL ASSISTANCE
If a faculty member is sued, or threatened with suit, because of some action taken or omitted, in good faith, in the course and scope of performing his/her duties for the University, the faculty member should immediately notify both the Office of Legal Counsel and the Office of Risk Management in writing. Failure to give prompt notice of such a suit or cooperate in the defense thereof will extinguish rights, privileges, or defenses that might otherwise be available to a faculty member and/or the University.

The University's Legal Counsel will provide or assist in the legal defense in keeping with their professional responsibility and, where applicable, the Oklahoma Governmental Tort Claims Act. The Act sets forth the legal framework for prosecuting civil tort claims against the government which, in most cases, requires suit to be
brought against the University, not the employee. Copies of the Act are available for review at the Office of Legal Counsel.

(Legal Counsel 9-12-86, 10-1-93, 2-1-98, 3-31-05)

8.10

LEGISLATIVE AFFAIRS
The Director of Government Relations is responsible for assuring effective coordination and communication between the University and all areas of state government and federal government: legislative, executive, and judicial. This officer also is responsible for examining proposed legislation and bringing it to the attention of the appropriate University official.

(Vice President for Development, 8-30-78, 11-23-93; Director of Government Relations, 8-27-98, 3-31-05)

8.11

CAMPUS CONNECTIONS
Campus Connections is a newsletter for the faculty and staff of the University of Oklahoma’s Norman and Health Sciences Center campuses. It disseminates official University policy and other information. Information for Campus Connections should be sent to Communication Services, 319 Whitehand Hall, Norman, Oklahoma 73019-5143, (325-1701).

(Vice President for Public Affairs, 3-18-86, 11-19-93)

8.12

OU INFORMATION TECHNOLOGY
OU Information Technology’s (OU IT) vision is to create and sustain an environment where all students, faculty, and staff have easy, accurate, secure, and reliable access to the information services and resources they need to succeed. OU IT has designed world-class technology services that rank OU in the top 10 of PC Magazine’s Top 20 Most Wired Colleges. Technology services include:

- Secure wired and wireless network
- 24/7 technology support
- Hardware and software discounts through the OU IT Store
- Over 800 computer lab workstations (PC and Mac)
- Classroom technology in over 130 centrally-scheduled classrooms
- Feature-rich email service
- Campus-wide emergency communication system
- Numerous online services

COMPUTER USE POLICY
Employees should make themselves aware of the University’s Computer Use and other related communications policies located on the University’s Information Technology website. To safeguard the University’s network and all of its computer resources (the System), appropriate University discipline and/or criminal and civil penalties may be sought and imposed for illegal or unauthorized use. To protect the integrity, reliability, and security of the System for lawful and authorized use, monitoring and auditing are necessary. By accessing the System, an employee expressly consents to these measures.

(Regents, 6-23-11, 1-24-12)

8.12.1

SUPPORT SERVICES
The OU IT Service Centers serve students, faculty, and staff as a single point of contact for computer-related requests. Contact the OU IT Service Centers:

- By phone: (405) 325-HELP (24 hours/day, 7 days/week)
- Online: http://support.ou.edu
- By email: needhelp@ou.edu
- In person:
  - Felgar Hall, Room 300 (8 a.m.-5 p.m. M-F)
  - Couch Residence Hall, Room W146 (8 am-midnight, 7 days/week)

8.12.2

TELEPHONE SERVICES
For faculty and staff telephone support, contact OU IT through one of the methods listed in section 8.12.1 above. You can also email work orders (port activations, additional phone lines or a voice mail resets) to it-telecom@ou.edu or view international rates online at http://outelecom.ou.edu.

8.12.3

OUNET ACCOUNT, EMAIL AND CONNECTIVITY
Your OUNet account is your key to access all of OU IT’s technology services, such as email, course management software, online payroll information, and the OU IT Store. OU IT automatically creates your OUNet ID as soon as you are hired by or admitted to the University. Follow the steps below to set up your account:

1. Go to http://account.ou.edu and click “New Users: Activate your account here.”
2. Enter your OUNET ID (4+4): The first four digits of your last name (lowercase) plus the last four digits of your OU ID number.
   - EXAMPLE: If your last name is Sooner and your 9-digit OU ID number is 123456789, then your OUNetID is: soon6789
3. Enter your Date of Birth (MM/DD/YYYY) and answer the 5 PASSWORD QUESTIONS.
   - Use these questions to reset your password if you forget it. If you cannot reset your password online, bring a photo ID to any of our IT Service Centers.
4. Create a COMPLEX PASSWORD:
   - Between 8 and 32 characters long
   - Consisting of upper and lower case characters
   - Using either a number or a special character
   - Disallowed special characters are @, ', ?, +, :, (space)

(A) OU EXCHANGE EMAIL
Students, faculty, and staff are automatically issued an ou.edu email address and an Exchange mailbox. Your default email address is a combination of your first name, middle initial, last name, and a number used to distinguish between others with the same name (Ima.B.Sooner-1@ou.edu). Create an email alias (e.g., newsooner@ou.edu) at http://account.ou.edu.

Exchange is a world-class email system, offering proven reliability, improved security, integration with campus technology, and great features: shared calendars, organizational resources (follow ups, reminders, and categories), integrated directory of OU email addresses, and customizable spam filtering.

Exchange offers three ways for both PC and Mac users to access their OU email:

- Connect with an email client such as Microsoft Outlook or Thunderbird. Learn more at http://www.ou.edu/itlabs/email/connect/client.htm.
• Access your email anytime, anywhere from select mobile devices. Find out how at http://www.ou.edu/itlabs/email/connect/mobile.htm.

(B) FILTERING SPAM
OU IT offers numerous spam filtering options. Simply log in at http://account.ou.edu to select the spam filtering option that fits your needs. You can find additional information about filtering spam at http://www.ou.edu/itlabs/email/account/spam.htm.

(C) OU FACULTY, STAFF, AND STUDENT WEB SPACE
Log in at http://account.ou.edu to activate your personal web space or browse other OU web pages at http://faculty-staff.ou.edu or http://students.ou.edu.

(D) WIRELESS ACCESS
Wireless access is available in most buildings on the Norman campus. Visit http://www.ou.edu/itlabs/map to view a map of wireless hotspots on campus.

IMPORTANT: To access OU IT services (such as file servers, CICS, etc.) from off campus, you must have an internet connection and utilize OU’s Virtual Private Network (VPN) software. VPN provides a secure link for transferring your files. Download the VPN client at http://itstore.ou.edu.

8.12.4

COMPUTER SECURITY-RELATED RESOURCES
OU IT Security focuses on securing OU computer and network resources against unauthorized access or misuse. View security policies and other detailed security information at http://security.ou.edu. Contact (405)325-HELP or security@ou.edu for security assistance.

Anti-virus Protection
Students, faculty, and staff can download Symantec Anti-virus free from the OU IT Store at http://itstore.ou.edu. Symantec provides protection from most common bugs, viruses, and worms that might try to attack your computer. Additional information is available at http://support.ou.edu.

8.12.5

COURSE MANAGEMENT TOOLS AND SERVICES
OU IT offers a wide range of support services for faculty and instructors. Additional information and resources can be found at http://cms.ou.edu or http://support.ou.edu.

(A) COURSE MANAGEMENT TOOLS
Desire2Learn and WebCT are course management tools that allow instructors to share course materials like syllabi and presentations with students over the Internet. OU IT automatically creates a course site in Desire2Learn for each class available through online enrollment. Visit http://cms.ou.edu for more information.

(B) COURSE PHOTO ROSTERS
The ‘Instructor of Record’ assigned to each OU course can utilize the iThink web site (http://ithink.ou.edu) to view a course Photo Roster, access course information, and communicate with students through the unique CourseMail e-mail address.

(C) CLASSROOM TECHNOLOGY SUPPORT SERVICES
OU IT maintains classroom technology in over 130 centrally-scheduled classrooms. Find equipment availability and instructions or view a 360-degree tour of the room by clicking the “CLASSROOM and EQUIPMENT” link at http://support.ou.edu. These classrooms are also equipped with a “hot line” phone for immediate technology support. Dial 2 to reach OU IT Field Services.
Equipment orientations are scheduled the week before school starts, every fall and spring semester. For additional support, training, or assistance, call 325-HELP or email needhelp@ou.edu.

(D) AUDIO/VIDEO EQUIPMENT CHECKOUT SERVICES
Faculty and staff can check out portable audio/video equipment to support classroom teaching needs, including camcorders, overheads, slide projectors, video projectors, screens, audio cassette recorders, and microphones. You can make a reservation or request additional information by calling 325-HELP or emailing needhelp@ou.edu.

(E) TEST SCANNING SERVICES (IN OU IT SERVICE CENTERS)
Self-service Scantron test scanning stations are available in the OU IT Services Centers (see section 8.12.1 for locations). OU IT Helpdesk staff can assist instructors in using these machines.

(F) OU IT COURSES
OU IT provides software application training for OU faculty and staff at http://itcourses.ou.edu. The goal of this training program is to help faculty and staff achieve and maintain a current skill set with the latest software applications such as MS Office and Web development tools.

8.12.6

COMPUTER HARDWARE AND SOFTWARE
OU IT offers discounted computer hardware, software, accessories, and technology services for both departmental and personal purchase via the OU IT Store. Log in with your OUNet ID at http://itstore.ou.edu or visit the OU IT Store retail location on Jenkins just southeast of the football stadium to take advantage of these discounts and other free software downloads.

Faculty and staff can purchase items using an OU account number or credit card. Students may charge items to a credit card or Bursar account.

(A) COMPUTER LEASING AND PURCHASING
(1) Departmental purchases: OU IT Store recommends leasing computers over purchasing because it minimizes start-up costs to departments and provides for regular technology refreshes. You can lease or purchase both Apple and Dell computers from OU IT. Visit http://itstore.ou.edu to begin configuring your system or to learn more about purchasing and leasing. To purchase other computer brands, you must first contact OU IT at (405) 325-1925 or itstore@ou.edu.

(2) Personal Purchases: OU students, faculty, staff, and alumni can purchase discounted Apple and Dell computers and accessories for personal use from either the OU IT Store website at http://itstore.ou.edu or the retail location.

(B) SERVICE LEVEL AGREEMENTS
OU IT offers three types of enhanced service agreements for both personal and departmentally-owned computers to cover all your support needs, including service visits, field support, and hardware, software, or peripheral support. Additional departmental services include server support, web hosting, file storage, and printing services. Learn more at http://itstore.ou.edu.

(C) SOFTWARE PURCHASING AND DOWNLOADING
OU IT has software agreements in place to provide the most updated versions of commonly-used software at discounted prices. There are also many free software packages available for download.

(1) Microsoft Software. Faculty and staff can download the most recent versions of Microsoft Office and Windows Vista for departmentally-owned machines for free at http://itstore.ou.edu.
Free Software Downloads. OU IT Store also provides free software downloads: Symantec anti-virus, OU VPN (connect to campus resources from home), Mathematica, AutoDesk, AutoCAD, EndNote, ProCite, Reference Manager, and Respondus (quiz generating software for WebCT).

Discounted Software. OU IT Store also features a wide range of software titles – from Adobe/Macromedia to Apple – at http://itstore.ou.edu. Please review the OU IT Store for all of your software needs. You can try many of these software packages in the OU IT computer labs.

8.12.7

ADDITIONAL ONLINE SERVICES

(A) Enrollment: Students can build class schedules, enroll, drop and add classes by visiting http://enroll.ou.edu.

(B) Grades and Transcripts: The Student Services site is an online resource for accessing grades, class schedules and unofficial transcripts and is located at http://studentservices.ou.edu.

(C) University College Advising Scheduler: University College students can now schedule their advising appointments online at http://www.ou.edu/univcoll. (Please note: Students must first complete a personal advising session before using the online tool.)

(D) Payment: Visit http://pay.ou.edu to pay tuition, parking tickets, Goddard Health Center charges, printing fees, and other charges. Students can give their parents a special log in that allows parents to pay for Bursar charges online.

(E) Parking Permits: Purchase parking permits online at http://www.ou.edu/parking.

(F) Survey Tool: Build and manage online surveys for research using this browser-based tool at https://webapps.ou.edu/survey/Default.cfm?SurveyKey=. Contact needhelp@ou.edu for assistance.

(G) Financial Aid: Online financial aid assistance is available at http://www.financialaid.ou.edu.

(University Vice President for Information Technology and Chief Information Officer, 3-31-05, 7-15-08)

8.13

LEASED OR RENTED VEHICLES: INSURANCE

8.13.1 LIABILITY INSURANCE

The State of Oklahoma provides professional and automobile liability insurance under the State Tort Claims Act for all employees who are acting within the scope of their duties. The liability coverage also extends to authorized volunteers for their operation of University-owned vehicles while acting within the scope of their authority if the authorized volunteer has completed and filed the Volunteer Acknowledgment and Release Form with the authorizing department. Copies of the State of Oklahoma Certificate of Self-Insurance are located in the glove compartment of all University vehicles. Further information is available from the Office of Risk Management. Employees are prohibited by state law from texting or utilizing electronic devices while driving University vehicles or while driving private vehicles on University business. Failure to abide by this policy results in the loss of insurance coverage for any accident, and the employee will be held personally liable for any and all damages and injuries caused as a result of such accidents, regardless of actual fault. Further, smoking in University-owned, rented, or leased vehicles is prohibited by state law.
8.13.2 PERSONAL VEHICLE USE
If University employees or authorized volunteers are permitted to use their personal vehicles for University business, the liability coverage outlined above extends to their personal vehicle (just as if it were a University-owned vehicle). However, the State of Oklahoma also requires such persons to have personal automobile liability insurance in force at the time of use. No physical damage insurance is provided by the University or state for an employee's/volunteer's personal vehicle while that vehicle is being used on University business. When private vehicles are used for state business purposes and reimbursement is expected pursuant to applicable state law, the transporting of private passengers is not prohibited; however, it is suggested and requested that the practice be held to a minimum. Requests for an exception must be submitted in writing to the President or his or her designee. Further information is available from the Office of Risk Management, Financial Services, and Fleet Services.

8.13.3 LEASED/RENTED VEHICLES
The University’s liability coverage extends to vehicles leased or rented by individuals or departments of the University while the vehicles are being used on University business. No physical damage insurance is provided by the University or state; physical damage coverage for the leased/rental vehicle must be purchased by the individual or department. For example, if using a rented vehicle while traveling on University business, employees/departments must purchase the Collision Damage Waiver unless a personal automobile insurance policy will extend physical damage insurance to the rented vehicle, or the University contract with the auto rental company exempts liability for collision damage. Further information is available from the Office of Risk Management.

For additional information on vehicle rentals contact University Fleet Services at http://www.ou.edu/aa/motor.htm

8.14 LISTING OF WEB ADDRESS OF ADDITIONAL UNIVERSITY SERVICES/FACILITIES:
Below is a listing of web addresses for additional University Services/Facilities:

Child Care: http://www.ou.edu/contracts/#CHILDCARE

Department of Public Safety:
Law Enforcement and Related Services: http://www.ou.edu/aa/police_index.htm
Bomb Threats and Suspicious Mail: http://www.ou.edu/aa/bomb.htm
Security of Facilities and Assets: http://www.ou.edu/aa/security.htm
Emergency Preparedness: http://www.ou.edu/aa/emerg.htm
Other Police Department Services: http://www.ou.edu/aa/other.htm

Goddard Health Center: http://goddard.ou.edu/

Housing and Food Services: http://www.housing.ou.edu/

Human Resources: http://hr.ou.edu
Includes: Information for New Employees; Payroll and Records; Employee Relations and Development; Benefits and Retirement, Compensation Services
Information Technology Services: https://webapps.ou.edu/it/services/
Lockshop Services: http://www.ou.edu/aa/lock.htm
Mail Services: http://www.ou.edu/special/printing/mail.html
Prospective Student Services: http://www.go2.ou.edu/
Oklahoma Memorial Union: http://union.ou.edu/
Printing Services: http://www.ou.edu/printing/
University Bookstore (Faculty Services): http://www.bkstr.com/Home/10001-10065-1?demoKey=f
University Fleet Services (for vehicle rentals): http://www.ou.edu/aa/motor.htm
University of Oklahoma Federal Credit Union: www.oufcu.com/
9.

CULTURE AND RECREATION

9.1

FINE ARTS PROGRAMS

9.1.1

WEITZENHOFFER FAMILY COLLEGE OF FINE ARTS
The Weitzenhoffer Family College of Fine Arts Office is located in the west portion of Fred Jones Jr. Memorial Art Center (Room 122).

9.1.2

FINE ARTS COLLEGE TICKET SERVICE
The Fine Arts College Ticket Service office (FACTS) is located in the lobby of the Catlett Music Center (Elm Street Entrance). For information and tickets for fine arts events, phone the FACTS office (325-4101) between 11:30 a.m. and 5:30 p.m., Monday through Friday.

9.1.3

SCHOOL OF ART
The School of Art is the largest, most comprehensive area school in Oklahoma having a faculty of 26 full-time artists, designers, scholars, a full-time Artist-in-Residence, Film Maker-in-Residence, and the Charles Marion Russell Memorial Chair of Art of the American West, serving approximately 400 undergraduate and over 30 master’s level students. The primary goals of the school are to provide excellent professional education and a focus for the study of visual arts on both the graduate and undergraduate levels. Additionally, the School of Art is dedicated to promoting, pursuing and supporting creative activity and scholarly research in the visual arts.

The School of Art includes four broad divisions: studio art, art history, media, and visual communications. Studio art consists of programs in painting, printmaking, sculpture, and ceramics. Art history is a humanities field that teaches the history of art, artifacts, and architecture. Media includes the photography, video, and film areas. Visual communications majors become graphic designers, illustrators, production managers, and other visual specialists working in advertising and related fields.

In addition to the Fred Jones Art Center that houses the School of Art, resources include additional studio spaces for faculty and graduate students located on the North Campus adjacent to the Max Westheimer Airport and the Ceramics Facility which is located on the South Base. The Old Faculty Club building across Boyd Street has been renovated to house the Charles M. Russell Center for Study of the Arts of the American West and as a studio and teaching space for the School of Art Artist in Residence, a sculptor. In addition to the Charles M. Russell Center, the School of Art is pleased to offer students the privilege of working with nationally and internationally known artists under Visiting Artist or Artist in Residence Programs such as the Jerome M. and Wanda Otey Westheimer Distinguished Visiting Artist Chair. Visiting artists come to campus for varying periods of time.

For more information about the School of Art, please contact our office at 405-325-2691 or visit our website http://art.ou.edu.

9.1.4

SCHOOL OF MUSIC
The University Of Oklahoma School Of Music is Oklahoma’s only comprehensive music program offering bachelor, master, and doctoral degrees in performance and academic areas. The School is a fully accredited member of the National Association of Schools of Music. Distinctive undergraduate and graduate academic
programs encourage music students to develop special interests and talents under technical and theoretical training of the highest professional caliber. The School has one of the finest electronic and MIDI teaching labs in the Southwest. An active outreach program includes performances throughout Oklahoma and the nation. Each year, the School offers more than 250 concerts, recitals, and lectures to the University community.

More than 40 full-time faculty members offer instruction in all orchestral and band instruments, as well as voice, piano, organ, composition, music education, history, theory, and world music. The faculty are active performers, producers, and authors. Many perform regularly throughout the world as soloists, conductors, clinicians, and adjudicators. A substantial number of the faculty are members of the Oklahoma City Philharmonic Orchestra. Many serve as officers in national organizations and are recipients of national and university awards in teaching, research, and creative activity. Student and faculty ensembles perform by invitation at regional and national conventions, and performances are featured on compact discs, tapes, and in Early Music Television videos.

The Catlett Music Center, one of the finest performance and instructional music facilities in the country, Holmberg Hall, and Carpenter Hall serve as home to the School of Music. Catlett Music Center is the center for the School of Music’s activities, containing faculty studios, classrooms, rehearsal suites, and three performance halls (Paul F. Sharp Concert Hall, Morris R. Pitman Recital Hall, and Grayce B. Kerr Gothic Hall). The School of Music is a leader in the use of technology in the educational process and has extensive computer and MIDI technologies for student use. For information about the School of Music, please call 325-2081. For concert information, please call the FACTS Box Office at 325-4101.

9.1.5

SCHOOL OF DANCE

The School of Dance is performance-oriented in its approach to training pre-professional dancers, teachers, and choreographers and is nationally recognized as one of the top three Schools of Dance in the country. Each year, the School of Dance offers major dance productions by its resident companies--the Oklahoma Festival Ballet and Modern Repertory Dance Theatre--as a part of the University Theatre season. Styles range from full-length classics to contemporary, comedic, and romantic dance works. State, regional, and international tours; lecture demonstrations; open rehearsals; studio performances; and a concert of original student choreography are presented by this nationally recognized, pre-professional program that also participates in the Musical Theatre program. The School of Dance is located in the Donald W. Reynolds Performing Arts Center.

9.1.6

SCHOOL OF DRAMA

(A) The School of Drama is the second-oldest university theatre school in the United States. The School of Drama prepares students for professional careers in theatre, television, and film and theatre education.

The School of Drama offers programs leading to a Bachelor of Fine Arts degree (BFA) or a Master of Fine Arts (MFA) in Drama. Degree tracks include Acting, Design (Scenic, Lighting, or Costume), Dramaturgy (History, Criticism, Directing and Playwriting), Theatre Management (Stage Management and Theatre Management), and Technical Production (Costume Technology and Scenic Technology). All Drama students must declare the 1007F Theatre degree as their major.

(B) FACULTY

The faculty consists of outstanding artists and scholars that blend academic skill and professional experience, producing theatre training of the highest caliber. They are a highly regarded and nationally recognized team of professionals committed to the training and education of young artists. Visiting artists and artists-in-residence supplement the faculty and staff in providing a wide range of student experience.

(C) RUPEL J. JONES

Named for a former director of the School of Drama, this highly flexible 700-seat proscenium theatre is located in the Fine Arts Center at 563 Elm on the northwest corner of the Norman Campus. The School of Drama, the Department of Musical Theatre, School of Dance and the School of Music, under the
organizational title of University Theatre and guidance of the University Theatre Artistic Director, produce a series of major productions drawn from classic and contemporary drama, dance, and musical theatre. Jones Theatre is the performance home of Oklahoma Festival Ballet and the Modern Repertory Dance Theatre. Season and individual tickets are available for these productions. The main season plays from September through April; the summer season plays in June and July.

9.1.7

WEITZENHOFFER THEATRE
Also located in the Fine Arts Center at 563 Elm, this innovative space opened in 1994. The 200 seats surround the stage in an intimate setting where the "off-Broadway" portion of the University Theatre Season is presented. Dramas, comedies, and small musicals are presented here. Both the Weitzenhoffer and Jones Theatres open on the same lobby where the Fine Arts Ticket Sales Office is located.

9.1.8

LAB THEATRE
Located in Old Science Hall at 640 Parrington Oval, the Lab Theatre has been the home of hundreds of full-length and one-act productions since it opened in 1953. Presently, it is used primarily as a teaching laboratory for actors and directors and for special projects, graduate directed productions, and one-act plays. The Lab Theatre is a small proscenium theatre that seats 90.

(Dean, Weitzenhoffer Family College of Fine Arts, 7-9-86, 5-25-88, 12-1-93, 9-11-98, 10-1-04)

9.2

SPEAKERS AND POPULAR ARTISTS
Each year, the University of Oklahoma Speakers' Bureau, a branch of the Campus Activities Council, sponsors a series of nationally known speakers. All speakers' appearances on campus are free public lectures.

The Speakers' Bureau also subsidizes appearances of speakers of special interest for student organizations. Information about programs may be obtained from the Center for Student Life.

A variety of popular entertainers appears throughout the year at the Lloyd Noble Center. Information about scheduled appearances for the current year and purchase of tickets may be obtained from the Box Office, Lloyd Noble Center.

(Vice President for Student Affairs, 8-27-80, 12-1-97)

9.3

FILM PROGRAMS
Several campus organizations present films during the year. Most films are free of charge; others require nominal fees. Schedules are announced in The Oklahoma Daily.

(Vice President for Student Affairs, 8-27-80, 12-1-97)

9.4

UNIVERSITY CLUB
The University Club is located on the mezzanine level of the Oklahoma Memorial Union. Membership is available to any member of the University community on a dues-paying basis. The University Club has been redecorated to reflect the $13 million renovations taking place in the Union.

The Club offers lunch, dinner, and refreshment service. The Club also features special activities throughout the year including Friday Happy Hour with live music followed by a buffet special. Coaches' luncheons during
football season, New Year's Eve parties, and traveling art exhibits are featured Tuesday through Friday. Cocktail and evening dinner services are also available Tuesdays through Saturdays.

The University Club may be reserved by members for special activities. Further information may be obtained from the Union Business Office or the Club Manager.

(Director, Oklahoma Memorial Union, 3-27-86, 12-1-97)

9.5

UNIVERSITY WOMEN'S ASSOCIATION
The purpose of the University Women's Association shall be to promote fellowship and provide support to the University. The organization's program includes social events, special interest groups, and support for a scholarship for a female student attending the University of Oklahoma.

Those eligible for membership in the Association are wives of current, retired, or deceased University of Oklahoma faculty/staff and current or retired women faculty/staff.

(President, University Women's Association, 10-8-86, 10-17-93)

9.6

ATHLETICS
The University of Oklahoma's athletics history predates statehood, and the Sooners have been successful for nearly all of that time. Today, OU athletics features 20 sports, 10 for men and 10 for women. In its history, the school has won 23 national championships.

Seven of those national titles came in the sport for which Oklahoma is perhaps best known, football. The Sooners perennially field one of the top teams in college football. As is the case with most great programs, outstanding coaches and individuals have paved the way for the remarkable success. Some 141 OU players have achieved All-America status in football and four have received the coveted Heisman Trophy.

But there is more to the athletics scene at OU than football; a lot more. Over the last six years, three other OU teams (men's gymnastics, twice, and softball) have won national championships, and in 2002, both the men and women's basketball teams advanced to the Final Four. In 2004, nine OU teams finished their competitive campaigns ranked among the top 25 nationally. OU's student-athletes also have performed well academically, posting the Big 12's top graduation rate in 2003.

Tickets for OU events, when they are not sold out, are available at the venues or from the athletics ticket office in the Asp Avenue Parking Facility (405/325-2424 or 1-800-456-GoOU). The athletics department also features one of the most comprehensive web sites of its kind at http://www.SoonerSports.com.

(Athletic Director, 3-24-86, 5-20-88, 3-4-94, 10-30-97, 3-31-05)

9.7

RECREATION AT THE UNIVERSITY OF OKLAHOMA
Facilities for faculty, staff, and student recreation are available on the Norman Campus through Recreational Services. The primary facilities include the Huston Huffman Center and the Murray Case Sells Swim Complex.

The 150,000 square-foot Huston Huffman Center offers a variety of opportunities for fitness from Group Fitness Classes to two weight rooms, a cardio room, eight basketball courts, racquetball, squash, badminton, and a nearly twenty-five foot climbing wall. Murray Case Sells Swim Complex offers indoor swimming during most months and an outdoor pool during the summer. Tennis courts are available as well. Use of the facilities is included in the membership fee.
Norman’s recreation facilities include Lake Thunderbird in the 4,000-acre Little River State Park that includes game preserves, marinas, riding stables, swimming areas, water-skiing areas, fishing barges, camp sites, and hiking trails.

Norman also has an excellent public library, swimming and wading pools, golf courses, tennis courts, a community art center where instruction in various media is offered, a museum sponsored by the Cleveland County Historical Society, and a city recreation program for children and adults.

Places of interest in Oklahoma City include the Kirkpatrick Center/Omniplex, Oklahoma Historical Society Museum, State Capitol Building, Oklahoma Art Center, Oklahoma City Zoo, Contemporary Arts Foundation Gallery, National Cowboy Hall of Fame and Western Heritage Center, Oklahoma Museum of Art, and the Oklahoma Heritage Center, Norman Chamber of Commerce [http://www.normanok.org/](http://www.normanok.org/).
APPENDIX A: CHARTER OF THE REGULAR FACULTY AND THE FACULTY SENATE, NORMAN CAMPUS

10.1 THE REGULAR FACULTY

COMPOSITION
The Regular Faculty of the University is composed of all faculty members with tenure track, tenured and renewable term appointments at the rank of assistant professor, associate professor, and professor. The Regular Faculty does not include faculty members with temporary appointments.

POWERS
All legislative powers of the faculty of the University relative to the University as a whole are vested in the Regular Faculty. These legislative powers shall be exercised either directly by the Regular Faculty or by the Faculty Senate. The Faculty Senate shall remain responsible to the Regular Faculty for all action taken in its behalf.

OFFICERS
The officers of the Regular Faculty shall be the officers of the Faculty Senate: Chair, Chair-Elect, and Secretary. The three officers shall constitute the Executive Committee of the Regular Faculty and shall develop the agenda for meetings and otherwise fulfill the duties that may be described in bylaws.

MEETINGS
The Regular Faculty shall meet at least once each semester (ordinarily on the third Thursday of October and the third Thursday of April) and at other times upon call by the Executive Committee. Such a call may originate from the President of the University or from a petition submitted to the Chair of the Regular Faculty by 30 faculty members representing two or more degree-recommending divisions. A minimum of 20 percent of the Regular Faculty on the Norman Campus shall constitute a quorum.

10.2 THE FACULTY SENATE

10.2.1 COMPOSITION
The Faculty Senate shall consist of 50 members of the Regular Faculty. The senators shall be elected to three-year terms in the degree-recommending divisions of the University. The electors shall consist of members of the Regular Faculty. Full-time administrative personnel above the department level shall be excluded from future elections of the Faculty Senate.

In the Faculty Senate, seats shall be allocated as follows: one seat to each degree-recommending division with at least one percent of the total faculty. Members of the Regular Faculty who are not members of a degree-recommending division of the University, or who are in a degree-recommending division with less than one percent of the total faculty, shall be treated as a separate division. The balance of the seats will be allocated among faculty members placed in this separate division according to a triennial apportionment proposed by the Faculty Senate and approved by the Regular Faculty. Degree recommending divisions with no faculty members will be allowed to appoint a faculty member as an ex-officio member with all the rights and privileges of senate membership excluding the right to vote in official Faculty Senate actions.

Five students, including both graduate and undergraduate, chosen by the University of Oklahoma Student Association, shall serve as official student representatives to the Faculty Senate. Without voting privileges, these representatives will observe, participate in discussion, and maintain communication with the Student Association in regard to Senate actions. Six representatives of the Informational Staff Association of the

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University of Oklahoma and one representative of the Senior Vice President and Provost's Office also may attend meetings and participate, without voting privileges, in Senate discussion.

(Regents, 6-25-70, 5-13-71, 6-8-72, 11-8-73, 6-13-74, 5-8-75; Amended, Regents, 2-12-76, 5-12-77, 1-27-04, 6-21-2010)

10.2.2

ELECTION PROCEDURE
Before the end of March each year, the Secretary of the Faculty Senate shall notify the dean of each constituent faculty of the number of senators which faculty shall elect for the ensuing year. Those senators shall then be elected in April or May. They shall assume their duties in September and ordinarily will serve three-year terms.

The Secretary of the Faculty Senate shall maintain the roster of Faculty Senate membership. At any time that a vacancy occurs, the Secretary shall notify the appropriate dean so that immediate steps may be taken to elect a replacement to serve the unexpired portion of the three-year term.

The Secretary of the Faculty Senate will continuously monitor absences. When in a given academic year a senator has accumulated four absences that senator is to be dropped automatically from the membership of the senate. The Secretary will notify the appropriate dean to take immediate steps to provide a replacement for the remainder of that senator’s term.

10.2.3

POWERS
The Faculty Senate shall exercise the legislative powers of the faculty of the University as delegated by the Regular Faculty. The Faculty Senate shall have the power to initiate any legislation requiring the Board of Regents' approval in accordance with provisions of the University Constitution.

The Faculty Senate shall determine its own time of meeting and its own rules of procedures, promulgate rules and regulations governing its internal affairs, and establish standing and special committees. The Faculty Senate shall establish and publish its own set of operational procedures or bylaws.

The Faculty Senate shall elect a Chair, a Chair-Elect, a Secretary, and such other officers as it shall by its operational procedures provide. Each standing committee of the Faculty Senate is authorized to select non-Senate members of the Regular Faculty. Students may be asked to serve and, in such cases, will be appointed by the University of Oklahoma Student Association.

The Faculty Senate may establish procedures to review the various functions of the University and any matter affecting the welfare of the University. Subjects for either review or legislation may be brought to the attention of the Senate by written communication either from any member of the University community or from any officially constituted agency.

10.2.4

LIAISON WITH THE PRESIDENT
The President shall present to the first meeting of the Faculty Senate in each new academic year a general message on the state of the University in which he or she shall give recommendations for the furtherance of the progress of the University.

The President shall, within 30 calendar days after receipt of a Senate action, inform the Faculty Senate by written message of his or her disposition of a Senate measure. If disapproving the measure, the President shall, in writing, give the Senate reasons for the action.
Faculty/student councils shall be utilized by the President of the University in the development of policies on matters of vital interest to the University. These areas include teaching, research, and creative/scholarly activity, and professional and University service and public outreach, libraries, budgetary planning, faculty personnel, University relations, University community, athletics, University operations, and University projects. In order to give the faculty a voice in determining the faculty membership of major councils, which shall be named by the Faculty Senate resolution, the Faculty Senate shall each year provide a list of nominees from which the President will make his or her appointments for the ensuing year.

10.2.5

LIAISON WITH FACULTY SENATE, HEALTH SCIENCES CENTER
The Faculty Senate (Norman) shall maintain a liaison with the Faculty Senate (Health Sciences Center) through an Inter-Senate Liaison Committee composed of the Chairs, Chairs -Elect, and the Secretaries of the two Senates.

The purpose of the Inter-Senate Liaison Committee is to exchange information between the Senates on either campus and concerns and actions of mutual interest and to recommend actions to the respective bodies on each campus. The respective Chairs of the two Faculty Senates should arrange for the meetings for the Inter-Senate Liaison Committee.

10.2.6

AMENDMENT OF THIS CHARTER
This Charter may be amended by a two-thirds vote of those present in any regular or special session of the Regular Faculty provided that no amendment shall be effective until it shall have been approved by the Board of Regents.

A proposal to amend the Charter may originate by action of the Faculty Senate or by motion in a meeting of the Regular Faculty. In those cases in which the proposal originates through Senate action, the proposal must be submitted to the Regular Faculty, and consideration for the adoption of the proposal by the Regular Faculty shall not occur until the expiration of 30 days after the notification of the Regular Faculty through the Journal of the Faculty Senate.

If the proposal originates in the Regular Faculty, it shall not be considered for adoption until the expiration of 30 and not more than 40 days after the members of the Regular Faculty have received copies of the proposal from the Secretary of the Regular Faculty (Secretary of the Faculty Senate).

(Regents, 6-25-70, 5-13-71, 6-8-72, 11-8-73, 6-13-74, 5-8-75; Amended, Regents, 2-12-76, 5-12-77,1-27-04, 6-21,2010)
APPENDIX B: BY-LAWS OF THE FACULTY SENATE, NORMAN CAMPUS

A. OFFICERS:
1. The officers of the Senate shall consist of a Chair, a Chair-Elect, and a Secretary.
2. The Chair-Elect and the Secretary shall be elected by ballot at a meeting of the Senate in May. If either office is vacated, a replacement shall be elected at the next meeting of the Senate.
3. The Chair-Elect will succeed to the office of Chair when it is vacated or when his or her own successor is elected. Normally, the Chair’s tenure of office will be from May to the following May.
4. For officers elected between May 1 and January 31, the term of office will be until the following May. For officers elected between February 1 and April 30, the term of office will be until the second May following.
5. A Chair-Elect will remain a member ex officio of the Senate, even though the term as a Senator may expire, until terms as Chair-Elect and Chair expire.

B. MEETINGS:
1. The Senate shall meet regularly on the second Monday of each month of the regular school year and on call of the Chair, the Chair-Elect, or by petition, presented to the Secretary and signed by five members.
2. Meetings of the Senate are open to attendance by all members of the University community and representatives of the Press. However, the Senate may go into executive session by a majority vote of the members present.
3. A person not a member of the Senate may speak only by invitation or permission of the Senate. Requests from non-members to speak shall be addressed in writing to the Chair. The Chair will present such requests to the Senate for action.
4. At the beginning of each academic year, the Executive Committee of the Faculty Senate shall elect a member of the Senate to serve as the Parliamentarian at all meetings of the Senate and the General Faculty during that year.

C. QUORUM:
A majority of the Senate’s members shall constitute a quorum.

D. PROCEDURES:
1. Voting shall be viva voce, or by show of hands, but five members may require a roll call vote upon any proposition.
2. The presiding officer shall have a vote only in case of a tie.
3. The agenda of each meeting shall be prepared and distributed in advance by the Agenda Committee, which shall consist of the Chair, the Chair-Elect, and the Secretary. Any matter submitted by a member to the Secretary shall be placed upon the agenda of the next regular meeting.

E. COMMITTEES:
1. The standing committees of the Senate shall consist of:

(a) Executive Committee. The Executive Committee shall consist of the following eight members: the Chair, the Chair-Elect, the Secretary, the Chair of the Faculty Welfare
Committee, the Chair of the Committee on Faculty Compensation, and three members elected by the Faculty Senate in the Spring to be widely representative of the University and to serve one-year terms. The three elected members may not succeed themselves. In addition, the Chairs of the University Councils sit as ex officio members, without vote, on the Executive Committee. The three immediate past chairs of the Faculty Senate also shall be given ex officio membership on the Executive Committee, without voting privileges, provided they remain qualified to serve in the Senate and are teaching on the Norman Campus.

(b) Committee on Committees. The Senate shall elect a Committee on Committees consisting of five members elected for staggered terms in such a manner that not more than two members will be elected in any one year. They must have been members of the faculty for at least five years and hold tenure. Members of the Committee will be nominated from the floor and elected by the Senate.

In its nominations, the Committee on Committees will consider broad and balanced representation for the entire University.

In carrying out its function of providing nominations, the Committee will seek information from chairs of departments, deans, directors, and others who have a wide knowledge and acquaintance of faculty personnel. Final nominations, however, will be made by the Committee on Committees and the Senate.

(c) Faculty Welfare Committee.
Charge: This Committee is responsible to the faculty for policy review and recommendations on questions of tenure, faculty evaluations, professional conduct, promotion, fringe benefits, and working conditions. It shall review policies and programs, propose changes and additions, distribute information, and supervise the implementation of Senate recommendations.

The Committee shall report at least yearly to the Senate and, upon approval, to the President and the Senior Vice President and Provost.

In carrying out these responsibilities, the Committee shall:

(1) Gather information about other policies and programs within the University and in other universities.

(2) Distribute information to the faculty in simplified form and see that new faculty receive comprehensive information.

(3) Establish priorities on recommendations for changes and additions.

(4) Participate in the process of amending the Faculty Handbook and make recommendations to the Senate.

Operating Procedures: The Committee shall formulate its own operating procedures, which shall include:

(1) The election of a chair from among the faculty members of the Committee.

(2) Provision for liaison with all appropriate councils and committees.

(3) Provision for sub-committees of the Committee to which non-members of the Committee may be appointed if appropriate.
Membership | How Nominated | Term
---|---|---
5 faculty members | To be elected by the Faculty Senate | 3 years (staggered terms)

(d) Committee on Faculty Compensation.
Charge: This Committee is responsible to the Faculty Senate for reviewing and recommending policy on questions related to the economic welfare of the faculty.

In carrying out this responsibility, the Committee shall:

(1) Monitor, each year, the entire process by which salary increases are requested and fixed by the University administration, the University Regents, the State Board of Regents, and the State Legislature.

(2) Gather information about salaries from within the University and from other universities, put such information into proper form, and make it available to the Senate for the purpose of accurately presenting the economic position of the faculty and the faculty's economic needs to the administration, the Boards of Regents, the Legislature, and the general public.

(3) Suggest to the Senate appropriate proposals, strategies, and forums for advancing the economic position and needs of the faculty, both inside and outside the University community.

(4) Recommend to the Committee on Committees the faculty nominees for the University Employment Benefits Committee.

(5) Report at least yearly to the Senate and, upon approval, to the President, the Senior Vice President and Provost, and the Budget Council.

Operating Procedures: The Committee shall formulate its own operating procedures, which shall include:

(1) The election of a chair from among the faculty members of the Committee.

(2) Provision for a sub-committee of the Committee to which non-members of the Committee may be appointed by the Faculty Senate, if the Senate deems such additions appropriate.

(3) Provision for liaison with all appropriate councils and committees.

Membership | How Nominated | Term
---|---|---
5 faculty members | To be elected by the Faculty Senate | 3 years (staggered terms)

2. Special Committees:
The Senate may at any time create a special committee to study and report upon a specific problem.

F. COMMITTEE MEMBERSHIP AND PROCEDURE
1. Each standing and special committee shall have the authority to select non-Senate members of the general faculty to serve as members of the committee.

2. Each special and standing committee shall elect its own chair. However, the Chair-Elect of the Faculty Senate shall function as the Chair of the Faculty Senate Committee on Committees during tenure as the Chair-Elect.
3. The Secretary shall keep a list of all Senate and non-Senate members of special and standing committees.

4. All reports of standing committees shall be duplicated and distributed to all members of the Senate in advance of the date of the report's consideration.

5. The Secretary shall receive and file duplicate copies of every Senate committee's report, one of which may be borrowed by any committee of the Senate or of the general faculty, but which must be returned to the Secretary after the borrowing committee has completed its investigations.

G. AMENDMENT:
These rules may be altered or amended at any time provided the proposed amendment shall have been submitted to the Senate one month in advance and a copy of the amendment shall have been distributed to the members of the Senate two weeks in advance of the meeting at which the voting is to take place.

(This text of the By-laws incorporates changes as of 4-1-86, Faculty Senate, 5-3-99, President, 5-11, 00)
APPENDIX C: CHARTER OF THE GRADUATE FACULTY, NORMAN CAMPUS
THE GRADUATE FACULTY

ARTICLE I: NAME
The name of this organization shall be "The Graduate Faculty of The University of Oklahoma--Norman Campus."

ARTICLE II: ORGANIZATION
A. There shall be a single University-wide Graduate College with a single University-wide graduate faculty.
B. Unless superseded by direct action of the graduate faculty acting as a whole, the legislative and academic authority of the graduate faculty shall be vested in the Graduate Council.
C. The Dean of the Graduate College shall be the chief University-wide officer for graduate studies and research. The Dean shall coordinate graduate programs among the respective program units. The Dean shall serve as the presiding officer of the University-wide graduate faculty and Graduate Council. The Office of the Dean of the Graduate College shall be the administrative center for all official communications between the Graduate Council and the faculty and administrators.

ARTICLE III: PURPOSES
The purposes of this organization shall be to:
A. Promote excellence in graduate teaching, research, and creative activity.
B. Assist the graduate faculty in its teaching, research/creative activity, and related functions.
C. Promote collaborative effort, exchange of information, and mutual understanding among the graduate faculty.

ARTICLE IV: MEMBERSHIP
SECTION 1: GRADUATE FACULTY COMMITTEES
A. Any academic unit offering courses or coursework in any college awarding an undergraduate degree on the Norman Campus may appoint members of the Graduate Faculty. In order to make such an appointment, the academic unit must elect a Graduate Faculty Committee made up of members of the Graduate Faculty. The Graduate Faculty Committee shall have the following responsibilities:

(1) Developing and publishing the criteria for membership on the Graduate Faculty which are appropriate for that academic unit. Such criteria must be consistent with Section 2 of this Article.
(2) Providing the Graduate Dean with the unit's criteria for membership.
(3) Providing the Graduate Dean with a list of members of the Graduate Faculty in accordance with Section 2.A.4. of this Article.

B. Faculty members may appeal to the Graduate Dean decisions of an academic unit regarding their Graduate Faculty status. Decisions of the Graduate Dean regarding Graduate Faculty status may be appealed to the Senior Vice President and Provost, whose decision will be final. The Graduate Dean, with the advice and consent of the Graduate Council, will publish procedures for the appeal of Graduate Faculty status.
SECTION 2: TYPES OF MEMBERSHIP

Only persons holding an appointment to the Graduate Faculty under the provisions in this section may participate in teaching graduate courses, serving on master's committees, chairing master's committees, serving on doctoral committees, or chairing doctoral committees.

A. Member–

(1) Eligibility. Any faculty member holding a tenure-track or tenured appointment in any college awarding an undergraduate degree on the Norman Campus is eligible for membership on the Graduate Faculty. Only persons holding such appointments will be eligible for Member status on the Graduate Faculty.

(2) Privileges. Members of the Graduate Faculty may have some or all of the following privileges:

a. Teaching graduate courses
b. Serving on master's committees
c. Serving on doctoral committees
d. Chairing master's committees
e. Chairing doctoral committees

Endorsements (d) and (e) may be granted only by the academic unit in which the master's or doctoral degree programs is offered. Only academic units offering the doctoral degree may appoint members with the endorsement for chairing doctoral committees.

(3) Credentials. Each academic unit will publish a document that lists the credentials and, if appropriate, activities required to be a Member of the Graduate Faculty in that unit. Evidence of continuing scholarly activity is required of all faculty members who have the endorsement to chair doctoral committees. In order to be approved to serve on or chair master's committees, the Member must hold at least a master's degree. Only Members holding the terminal degree may be approved to serve on or chair doctoral committees.

(4) Appointment. Each academic unit will provide the Dean of the Graduate College with a list of Members of the Graduate Faculty. This list must be provided to the Dean of the Graduate College at least annually according to a schedule to be established by the Dean. The unit will be responsible for determining what privileges are accorded to each Member approved by that unit. Units may appoint any faculty member — including those from other units, departments, or colleges — meeting the eligibility requirements of Section 2.A.1., Section 2.A.2., and Section 2.A.3. of this Article.

(5) Term. Academic units are responsible for setting the appropriate term for Graduate Faculty appointments. Since evidence of continuing scholarly activity is expected for the endorsement to chair doctoral committees, Members with such an endorsement must be subject to periodic review. This review process must be specified in the unit's published criteria for Membership on the Graduate Faculty. A Member of the Graduate Faculty may at any time petition the appointing unit for consideration for reappointment with additional privileges.

B. Special Member–

This status shall be assigned to persons whose participation in the graduate programs is recommended by their department(s) for a limited period or for a limited objective and whose appointment is approved by the Dean of the Graduate College. This status can be accorded to individuals within or outside the University. Normally this status would be assigned for one year so that a faculty member could teach a graduate course, serve on a graduate examination committee or serve on a thesis or dissertation committee in which the faculty member has recognized expertise. At the expiration of the appointment period, the Special Member may be reappointed with the recommendation and approval of the Dean of the Graduate College.
C. Ex Officio Members—
The President, the Senior Vice President and Provost, all college deans, graduate department chairs/directors, and the Director of the Library will be ex officio members of the graduate faculty. If appropriate, they may also be Members of the graduate faculty.

D. Members-at-Large—
The Dean of the Graduate College may recommend to the Graduate Council, through its Graduate Faculty Membership Committee, individuals for Member-at-Large status on the graduate faculty. In doing so, the Dean must provide a record of appropriate credentials, reason for appointment, statement of duties and privileges of that person. Graduate Council approval is required.

SECTION 3: REDUCTION IN STATUS

A. Should a member no longer qualify for Member status under Article IV, Section 2.A.1. (for example, due to retirement or resignation), the Graduate Faculty Membership will be rescinded. The Member may, with the approval of the Graduate Dean, be granted permission to continue teaching graduate courses and serving on student committees either as a Special Member, a Member-at-Large, or an Ex Officio Member.

B. If, at the end of the term of appointment, a Member no longer qualifies for the endorsement to chair doctoral committees, the academic unit will so notify the Member. Upon the written request of the Member, the academic unit will grant a one-year extension of the endorsement to chair doctoral committees, during which time the Member will have an opportunity to re-establish the appropriate credentials.

C. In certain cases, such as those of professional incompetence, dishonesty, or failure to fulfill professional duties related to Graduate Faculty membership, a Member may have some or all privileges on the Graduate Faculty rescinded prior to the end of the term of appointment. This is an exceptional event and should be undertaken only after other administrative remedies have failed. In accordance with Article IV, Section 1.B., the Graduate Dean, with the advice and consent of the Graduate Council, will publish procedures under which privileges may be rescinded prior to the end of the term appointment and under which the member involved may appeal such rescission. If an appeal is filed, the Member's privileges will continue until the appeal is resolved.

D. No officially constituted masters or doctoral committee will be affected by any change in the privileges or status of a member of the Graduate Faculty serving on that committee unless the change occurred under the authority of Section 3.A. or Section 3.C. of this Article. This section does not apply to Special Members, Members at Large, or Ex Officio Members of the Graduate Faculty.

SECTION 4: CONTINUATION OF PREVIOUS APPOINTMENTS

A. Appointments that were made under the authority of Article IV of the Charter of the Graduate Faculty in force at the time of the enactment of this revised Article IV will continue until the end of the appointments. Such appointments remain subject to the eligibility requirements in force at the time of appointment. However, any appeals of revisions to such appointments will be processed according to the guidelines described in this Article. This Article will govern any reappointment or additional privileges granted to such individuals.

B. With the consent of the individual concerned, an academic unit may process a new Graduate Faculty appointment under the authority of this Article, in which case the previous appointment is without effect.

ARTICLE V: VOTING RIGHTS

Voting rights are restricted to Members of the graduate faculty. Ex-Officio Members, unless they are simultaneously Members of the graduate faculty; Special Members; and Members at Large shall not be granted voting privileges. No votes shall be cast by proxy.
ARTICLE VI: MEETINGS

SECTION 1: MEETINGS
The Graduate Faculty shall meet as needed, usually at least once every academic year.

SECTION 2: SPECIAL MEETINGS
A. Special Meetings may be called by the Graduate Council, Norman Campus, by the Dean of the Graduate College, or upon written petition of a total of 40 Members of the graduate faculty.

B. The purpose of the meeting shall be stated in the call.

C. All graduate faculty shall be notified.

D. The Dean shall schedule a meeting of the graduate faculty no earlier than 7 days nor later than 45 days from receipt of the petition by the Dean of the Graduate College. In cases of emergencies, the Dean may call a meeting on shorter than 7 days. The Dean shall decide what constitutes an emergency.

SECTION 3: QUORUM
Twenty members of the graduate faculty of the Norman Campus representing at least 4 different departments/schools constitute a quorum provided that no more than one-half of the members present is from any one department.

ARTICLE VII: RESPONSIBILITIES AND POWERS OF THE GRADUATE FACULTY
The graduate faculty, in conjunction with the Dean of the Graduate College, shall have the responsibility and power to determine requirements for the admission and retention of students in the graduate programs; to establish degree requirements; to recommend through the Senior Vice President and Provost and the President of the University to the Board of Regents the awarding of degrees earned; to formulate and implement policy related to all matters of graduate education; to set standards of research and scholarly creative achievement; and to take steps necessary for safeguarding and upholding such policies and standards. Nothing in this Article shall be deemed to modify or limit the responsibilities and powers of either the OU Board of Regents or the Oklahoma State Regents for Higher Education to review any items described in this Article.

ARTICLE VIII: THE GRADUATE COUNCIL
The Graduate Council, as the instrument of the graduate faculty, shall exercise the general legislative and academic authority of the graduate faculty. The Graduate Council also shall be responsible for the development and maintenance of a system for the equitable resolution of differences and issues which may arise between and among graduate students and members of the graduate faculty. The graduate faculty reserves the right to review, endorse, change, or rescind any action of the Graduate Council. The operation of the Graduate Council is contained in the CHARTER OF THE GRADUATE COUNCIL.

ARTICLE IX: AMENDMENT OF THE CHARTER

SECTION 1: AMENDING
This charter may be amended according to the following procedure:

A. Amendment of this charter will be considered for debate at any regular or special meeting of the graduate faculty, if it is proposed by the majority of the Graduate Council or by 40 members of the graduate faculty.

B. Voting on proposed amendments shall be by mail ballot. To be approved, a proposed amendment requires affirmation by 2/3 of the graduate faculty voting.

C. Amendments shall be submitted to each eligible graduate faculty member for vote at least fifteen (15) days prior to tabulation of ballots.
SECTION 2: EFFECTIVE DATE
Amendments shall be effective at the beginning of the academic term following the approval by the Board of Regents.

ARTICLE X: ADOPTION
This Charter shall become effective when it has been approved by a majority of the graduate faculty voting and by the Board of Regents.

(Regents' Approval, 3-8-84, 6-27-95, 3-29-00, 1-27-04)

CHARTER OF THE GRADUATE COUNCIL
UNIVERSITY OF OKLAHOMA NORMAN CAMPUS

ARTICLE I
The name of this organization shall be: "The Graduate Council of the University of Oklahoma-Norman Campus".

ARTICLE II - FUNCTION
The graduate faculty shall be the academic policy-making body within the University on all matters relating to graduate studies. The Graduate Council, as the instrument of the graduate faculty, shall exercise the general legislative and academic authority of the graduate faculty; establish policies and standards governing development and changes in graduate curricula, including new courses or degree programs; make recommendations on all new proposed graduate programs, or substantially modified graduate programs as well as proposed deletions of graduate programs, monitor graduate course offerings, determine the eligibility of students for admission, financial aid, and graduation, and advise the Dean of the Graduate College on other Graduate College matters. The Graduate Council also shall be responsible for the development and maintenance of a system for the equitable resolution of differences and issues which may arise between and among graduate students and members of the graduate faculty. The graduate faculty reserves the right to review, endorse, change, or rescind any action of the Graduate Council as provided by Article VII of this Charter.

ARTICLE III - MEMBERSHIP
A. The Graduate Council shall be composed of three groups of members:
1. Ex Officio Members
   a. The Dean of the Graduate College, who shall be Chairperson of the Council. The Chairperson of the Council may vote only in the event of a tie vote by the Council.
   b. The Assistant and Associate Deans of the Graduate College, who shall serve without vote. In the absence of the Dean, the Associate or Assistant Dean will be the Acting Chairperson of the Council.
   c. The Secretary of the Graduate Council, who shall be selected by the Graduate Dean and serve without vote. The secretary shall have the responsibility to:
      1) Schedule meetings of the Graduate Council.
      2) Prepare and circulate agendas of meetings.
      3) Prepare and circulate minutes of the meetings of the graduate faculty and Graduate Council.
      4) Keep a record of all actions taken.
      5) Perform other duties that may be necessary to accomplish faculty and Council business.
2. Members elected from the University graduate faculty according to the following criteria:
   a. Each college offering one or more graduate programs shall be entitled to a minimum of at least one elected member. In a college with more than one representative, that college should develop election procedures to ensure broad representation of the areas within that college.
   b. The maximum number of elected members from any college shall be one for each whole ten percent (10%) of the total University full-time equivalent graduate student
population enrolled in the College. Graduate student enrollment percentages will be rounded to the nearest multiple of ten percent.

c. Official graduate student full time equivalents in the various Colleges shall be determined from the records of the Graduate Colleges for the Fall semester of the academic year in which the elections are held.

d. No faculty member shall be eligible for election to membership on the Graduate Council unless he/she is a member of the graduate faculty.

e. Each elected member shall serve for a three year term, and, when possible, elections will be staggered to ensure approximately one-third new members each year. The term shall commence on September 1.

f. No faculty member can serve more than six consecutive years.

g. Vacancies caused by resignation, leave, illness, etc. shall be filled by election in the college with the vacancy. The member will serve for the remainder of the unexpired term.

3. Graduate Student Members
Four graduate students shall be appointed by the Dean of the Graduate College from at least eight nominations made by the Graduate Student Association. Student members will serve with voting privileges for one-year terms and no two may be from the same college. Students may serve for more than one term.

B. Any Council member who misses three or more Council meetings in a year (September through the following June) will be subject to dismissal from the Graduate Council. The Dean of the Graduate College will investigate the reasons for the absences and decide whether or not to declare the seat vacant.

ARTICLE IV - ELECTION OF MEMBERS
A. Elections shall be held in April or May of each year within each college for which there is an actual or impending vacancy in Graduate Council representation. Vacancies shall be filled only by election, regardless of cause. (That is, vacancies caused by resignation, leave, illness, etc., as well as those due to expiring terms, shall be filled by election).

B. When an election is necessary in a given college, the Dean of the Graduate College will notify the dean of the college.

C. The dean of the college will then arrange for an election to be conducted. Only members of the University graduate faculty shall be eligible to vote.

ARTICLE V – MEETINGS
A. Meetings shall be held monthly during the academic year. Special meetings may be called at any time by the Dean of The Graduate College.

B. A quorum shall consist of more than half of the voting members of the Council.

C. Items of Council business and agenda shall be mailed to all members of the Council so as to be in their hands in advance of a meeting.

D. Business of an emergency nature can be brought before Council at any meeting if a majority of the member’s present vote to consider the issue.

E. Items of business shall be passed if a majority of members present vote favorably.

F. The Chairperson of the Graduate Council shall appoint a faculty member to serve as parliamentarian.

G. All meetings shall follow Robert’s Rules of Order.
ARTICLE VI - COMMITTEES
A. There shall be the following standing committees of the Graduate Council:
   a. Special Degree Programs
   b. Graduate Faculty Membership
   c. Courses and Program Changes
   d. Inter-Council Liaison

B. Each standing committee shall have at least four members and generally be chaired, by one of the
   deans in the Graduate College. A slate of membership for each committee shall be prepared by the
   Dean of the Graduate College and presented to the Graduate Council for approval at the first Council
   meeting in the Fall semester. The term of duty is one calendar year.

C. Agenda items for these standing committees normally shall be directed to them by the Graduate
   Council or by the Dean of the Graduate College. These committees shall report and make
   recommendations to the Graduate Council.

D. Ad hoc Committees, whose membership may be drawn from the graduate faculty at large, shall be
   authorized and selected by the Dean of the Graduate College.

ARTICLE VII - COUNCIL ACTION
The dean of each college and chair/director of each department/school shall be sent copies of the Council's
agenda before its meetings and copies of the Council's minutes afterward. Three additional copies of the
agenda will be sent to each chair/director for duplication and distribution to each faculty member within the
department/school. All members of the graduate faculty will be sent copies of the minutes of Graduate Council
meetings unless they desire not to receive them. Each department is urged to post a copy of the minutes so
they will be available to graduate students. Members of the graduate faculty and deans of each college (or their
designated representatives) shall have the right to be present at meetings of the Council and may, with the
permission of the Council's Chairperson or a majority of the Council, participate in a non-voting capacity in
discussion of business before the Council.

Course Changes and Petitions will be considered approved by the graduate faculty seven days (7) after the
minutes are delivered if no written protest is received in the Graduate College office. When a written protest is
made by one or more members of the graduate faculty, the course change or petition will be returned to Council
for reconsideration. If the Council confirms its initial action, the matter will be considered final.

Actions of the Graduate Council other than Course Changes and Petitions will not be put into effect until at least
21 days after the notification of such actions has been circulated among the graduate faculty. If during the 21-
day period a valid written protest to Council action is made, the matter will be returned to the Council for
reconsideration. To be valid, the protest must be signed by 40 members of the graduate faculty or 80 currently
enrolled graduate students. If the Council confirms its initial action, a meeting of the graduate faculty shall be
called for its consideration of the contested action. Following the meeting; the graduate faculty will be polled by
mail ballot.

(Regents, 3-8-84)
APPENDIX D: ACADEMIC INTEGRITY CODE, NORMAN CAMPUS (EXCLUDING LAW)

13

GENERAL PROVISIONS

13.1

13.1.2

Basic Principle of Academic Integrity
Academic integrity means honesty and responsibility in scholarship. Academic assignments exist to help students learn; grades exist to show how fully this goal is attained. Therefore all work and all grades should result from the student’s own understanding and effort.

13.1.3

Scope
This Code applies to all work for any class or other academic activity conducted by a Norman Campus unit, excluding the College of Law. It also applies to other academic activities such as enrollment, withdrawal from classes and the like. Misconduct in admissions is not covered except when discovered after the student's classes begin. Violations of expectations for orderly conduct in instructional activities shall be governed by the Student Code and by such rules as the Provost may establish or approve.

13.1.4

Definition of Academic Misconduct
Academic misconduct is any act which improperly affects the evaluation of a student’s academic performance or achievement. Misconduct occurs when the student either knows or reasonably should know that the act constitutes misconduct. The Provost shall develop policies and instructional materials to illustrate specific forms of misconduct such as fraud, plagiarism, and improper collaboration.

13.1.5

Integrity Council
The Integrity Council shall be an organization of students that maintains and promotes academic integrity on the Norman Campus. Assisted by faculty, staff and administrators, it shall fulfill the investigative, adjudicative, and advisory functions provided in this Code and otherwise promote integrity on the Norman Campus. The Provost shall approve the Council’s procedures as well as bylaws and membership requirements. The Integrity Council shall be advised by a board appointed by the President, with representation from faculty, students, and others as appropriate.

13.1.6

Integrity Pledge
Instructors are encouraged to advise students of the requirements of the University Academic Integrity Code and its application to any assignments, examinations, policies and procedures in the course. Although the Code is binding on student conduct by its own force, instructors may additionally choose to remind students of the importance of the Code by formal or informal means. An example of a formal reminder would be to have students attest in writing that they have complied with the Code with regard to a specific assignment or examination. An informal reminder may be an oral statement made to the class that the Code is binding with respect to a collaboration or research project.
13.2

REPORTING ACADEMIC MISCONDUCT

Any person may report suspected misconduct to an instructor (or to the relevant administrator as appropriate), or to the Integrity Council. Instructors and administrators who receive a report or otherwise learn of suspected misconduct may first investigate and should report the matter to the Integrity Council as described below.

13.3

INFORMAL RESOLUTION: THE ADMONITION

13.3.1

Choosing the admonition. An admonition is a warning from the instructor to the student. It may be accompanied by a grade reduction up to a zero on the assignment and/or additional required work. An admonition is not an adjudication of academic misconduct. However, in any subsequent misconduct proceeding the admonition will establish the student's familiarity with integrity standards. Admonitions are typically appropriate when the student's conduct would count as misconduct but is better addressed through an immediate instructional response rather than referral to the Integrity Council. Admonitions are not appropriate for egregious misconduct, or for cumulative examinations, and other semester-long assignments, or for graduate assignments such as general examinations. Ordinarily no student should receive more than one admonition.

13.3.2

Conditions for imposing the admonition. An instructor who elects to use the admonition option shall inform the student of the nature of and basis for the misconduct; explain the grade reduction or other requirement to be imposed; and inform the student how to contest the decision. The Provost shall approve rules to report admonitions, ensure that students may contest them, and restrict their use in repeat or egregious cases.

13.4

INTEGRITY COUNCIL INVESTIGATION

Upon receipt of a report of misconduct, the Integrity Council shall investigate unless the case is referred back to the instructor for review and informal resolution. The Integrity Council shall adopt investigation procedures that ensure fundamental fairness to the students involved, protect the community's interest in enforcement of standards, and prompt resolution of cases. These procedures shall include:

(a) Notice to the student, no later than 30 regular class days of when the incident is discovered;

(b) a grade of "N", a temporary neutral grade, to be assigned while the matter is pending;

(c) referral to an appropriate Integrity Council designee(s), who will answer questions and counsel the student as to the rights available under the Code, and be available to the student throughout the investigation process as an informative resource only;

(d) the option to seek further advice or counsel from a designated student advisor, including UOSA general counsel;

(e) a report of findings, in writing, that shall be provided to the student, the instructor or other administrator reporting the incident, and other university officials with a need to know.

At the conclusion of the investigation, the matter may be concluded by dismissal, if insufficient evidence exists to support a finding of responsibility; default, if the student fails to respond to reasonable notice; admission of responsibility by the student; or hearing.
13.5

HEARINGS
Upon the student's request for a hearing, the matter shall be assigned to an Integrity Council Inquiry Panel. The Inquiry Panel shall consist of two students, two faculty members, and a student chair. The case shall be adjudicated according to procedures that honor the following principles:

(a) Students are entitled to the presumption of innocence.
(b) Students are entitled to a reasonably prompt hearing.
(c) Hearings are not adversarial: the Panel shall be primarily responsible for eliciting information from all relevant sources, which shall ordinarily include the instructor, investigator, and student.
(d) The student shall represent himself or herself but may be advised by his or her Integrity Council advisor.
(e) Responsibility for misconduct must be established by a preponderance of the evidence.
(f) At the conclusion of the hearing the Panel shall deliberate and decide by majority vote whether the student is responsible for an act of misconduct.

If a student is found not responsible for misconduct, the matter shall be dismissed. If a student is found responsible, the Panel shall recommend an institutional penalty to the Provost and may make recommendations to the instructor as to the grade penalty.

13.6

REMEDIATION FOR MISCONDUCT
In any case resolved with a finding of responsibility for misconduct, a grade reduction may be imposed by the instructor and institutional remediation may be imposed by the Provost.

13.6.1

Grade reduction. Grade reductions are determined and imposed by instructors. Grade reductions may exceed the value of the assignment in which the misconduct occurred and may also be accompanied by requirements to complete a substitute assignment or examination.

13.6.2

Institutional remediation. The remedial sanctions noted below shall be imposed by the Provost, upon consultation with the Integrity Council. Additional guidelines and interpretations for these sanctions may be adopted by the Provost. The Integrity Council shall publish descriptions of typical cases in which particular consequences are imposed.

Censure. Censure is a written reprimand for violation of integrity standards and a warning that a further act of academic misconduct will result in more severe action. Censure shall not be noted on a student's transcript, but will be noted in the student's education record.

Service and Instructional Alternatives. In appropriate cases, a student may be allowed to complete a voluntary community service or instructional exercise in lieu of suspension or expulsion.

Suspension. Suspension is loss of student status for a period of not less than one academic session. Credits earned elsewhere during the suspension shall not be accepted by the university. A notation of the suspension

Norman Campus – Faculty Handbook
shall be made on the student's transcript and shall remain there until the student graduates, or permanently, depending on the severity of the offense.

Expulsion. Expulsion is termination of student status for an indefinite period, usually intended to be permanent. A notation of expulsion for academic misconduct shall be made on the student's transcript and will remain there permanently. Reconsideration of any expulsion is not guaranteed; it occurs at the discretion of the Provost, in consultation with the Integrity Council.

13.7

RECORDS
The Provost shall establish a schedule for the maintenance of misconduct records and procedures for students to request early expungement of records for good cause shown.

13.8

APPEALS AND RECONSIDERATION
Appeals must be based on procedural irregularities so substantial as to deny the student a fair hearing; or on new and significant evidence that could not have been discovered by a reasonably diligent student. Appeals shall be decided by the Provost. The President and the Board of Regents reserve the right to review, at their discretion, any decision for manifest error or inequity.

13.9

EFFECTIVE DATE
This Code shall be effective when the President and Provost complete the initial appointment of officers and approve the Integrity Council policies and procedures described herein. Until then, the current Academic Misconduct Code shall remain in effect.

(Regents, 1-26-2011)
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