

**MINUTES OF THE REGULAR MEETING  
THE UNIVERSITY OF OKLAHOMA  
DECEMBER 6-7, 2012**

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**MINUTES OF A REGULAR MEETING  
THE UNIVERSITY OF OKLAHOMA BOARD OF REGENTS  
DECEMBER 6-7, 2012**

A Regular Meeting of the Board of Regents governing The University of Oklahoma, Cameron University, and Rogers State University was called to order at the Samis Education Center on the Health Sciences Center campus in Oklahoma City, Oklahoma, at 4:38 p.m. on December 6, 2012.

The following Regents were present: Leslie J. Rainbolt-Forbes, M.D., Chairman of the Board, presiding; Regents Richard R. Dunning, Tom Clark, Jon Stuart, A. Max Weitzenhoffer, Clayton I. Bennett and Kirk Humphreys.

Others attending all or a part of the meeting included Mr. David L. Boren, President of The University of Oklahoma; Dr. Nancy L. Mergler, Senior Vice President and Provost – Norman Campus; Dr. Dewayne Andrews, Senior Vice President and Provost – Health Sciences Center Campus; Vice Presidents Catherine Bishop, Joe Castiglione, Kelvin Droegemeier, Loretta Early, Nicholas Hathaway, Kenneth Rowe and Clarke Stroud; Director of Internal Auditing Clive Mander; Chief Legal Counsel Anil Gollahalli; and Executive Secretary of the Board of Regents, Dr. Chris A. Purcell.

Attending the meeting from Cameron University was Dr. Cindy Ross, President of the University, and Vice Presidents John McArthur and Glen Pinkston.

Attending the meeting from Rogers State University were Dr. Larry Rice, President of the University, and Vice President Richard Beck.

Notice of the time, date and place of this meeting were submitted to the Secretary of State, and the agenda was posted in the Office of the Board of Regents on or before 4:00 p.m. on December 5, 2012 both as required by 25 O.S. 1981, Section 301-314.

## **MINUTES**

Regent Bennett moved approval of the minutes of the regular meeting held October 24-25, 2012 as printed and distributed prior to the meeting. The following voted yes on the motion: Regents Dunning, Clark, Stuart, Weitzenhoffer, Bennett and Humphreys. The Chair declared the motion unanimously approved.

## **CAMERON UNIVERSITY**

### **REPORT OF THE PRESIDENT OF THE UNIVERSITY**

President Ross shared details of CU's Veteran's Day observance with the Board, saying that, for the second consecutive year, Bentley Gardens was transformed into a field of American flags—one flag for each person killed in Iraq and Afghanistan since the beginning of those wars. Among several activities that day was an afternoon ceremony dedicating the Veterans Grove where the keynote speaker was the commanding general of Ft. Sill, Major General Mark McDonald. Military service is a campus tradition at Cameron University so it is appropriate to have a special place on campus where our veterans can be recognized and honored. Right now, Veterans Grove is very modest, with only eight trees and two benches. Over time, a fountain and a statue of a generic CU ROTC cadet will be added. Dr. Ross also told the Board that Dr. Ann Nalley, professor of chemistry, has been named as a fellow of the American Association for the Advancement of Science. Dr. Nalley is the first and only regional university faculty member to serve as

president of the prestigious American Chemical Society and she also served as the national president of Pi Kappa Phi. She literally travels around the world to share her chemistry expertise so we're very proud of this recognition for Dr. Nalley. The President then reported that six of CU's ROTC seniors have been named to the top ten percent of ROTC students nationally and nine finished in the top twenty-five percent. A team of students took first place in scripting among 21 teams in a competition sponsored by the Association of Computer Machinery and IBM. This is the oldest and largest collegiate programming contest in the world, with more than 30,000 participants from over 2,200 universities worldwide. The University's business students placed sixth in the Intercollegiate Ethics Bowl, beating teams from OSU, SMU, Texas State University and dozens of others. This is a new competition at Cameron, made possible through an endowment. The criminal justice team was named best first year team and claimed other honors during the National Intercollegiate Mediation Tournament, competing with over forty teams from across the country. The University was recently named to the President's Higher Education Community Service Honor Roll, which recognizes higher education institutions that reflect the values of exemplary community service and achieve meaningful outcomes in their communities. The administration has moved very seriously to have students involved in the community and to teach them the importance of being volunteers. Lastly, Dr. Ross reported on two of her favorite events: the holiday tree lightings in Duncan and in Lawton. About 700 people attended the one on the main campus, with about 150 on hand in Duncan. There are horse-drawn carriage rides, s'mores over open fires, gingerbread cookies and music, and some people waited an hour in line to go on the carriage rides.

## **SUBSTANTIVE PROGRAM CHANGES – CU**

The Oklahoma State Regents for Higher Education require that all substantive changes in degree programs be presented to the institution's governing board for approval before being forwarded to the State Regents for consideration. The changes in the academic programs presented below have been approved by the President, upon recommendation of the appropriate faculty, academic unit and dean, the Curriculum Committee, and the Provost. The changes are being submitted to the Board of Regents for approval prior to submission to the State Regents.

### **1. PROGRAM: B.A. in Music**

**PROPOSED CHANGE:** Program Requirement Change

**COMMENTS:** One course will be added to the required major core category. The addition of a structured capstone course that synthesizes and focuses upon exit and proficiency requirements and the senior portfolio/resume will assist graduating seniors in their transition to the workplace or graduate studies. The requested change will not require additional funds nor will the total number of hours required change.

### **2. PROGRAM: B.M. in Music**

**PROPOSED CHANGE:** Program Requirement Change

**COMMENTS:** One course will be added to the required major core category. The addition of a structured capstone course that synthesizes and focuses upon exit and proficiency requirements and the senior portfolio/resume will assist graduating seniors in their transition to the workplace or graduate studies. The requested change will not require additional funds nor will the total number of hours required change.

3. PROGRAM: B.M.E. in Music Education

PROPOSED CHANGE: Program Requirement Change

COMMENTS: One course will be added to the required major core category. The addition of a structured capstone course that synthesizes and focuses upon exit and proficiency requirements and the senior portfolio/resume will assist graduating seniors in their transition to the workplace or graduate studies. The requested change will not require additional funds nor will the total number of hours required change.

4. PROGRAM: B.S. in Chemistry

PROPOSED CHANGE: Program Requirement Changes

COMMENTS: Current requirements for the program do not include a minimum grade point average beyond that required for graduation from the university. Addition of a minimum cumulative grade point average in the major core category for the program will better prepare students for employment or graduate studies. The requested change will not require additional funds.

One course will be replaced in the Health Profession Chemistry Degree Option. Replacement of the course will provide students with a more rigorous course better suited for the major. The requested change will not require additional funds nor will the total number of hours required change.

5. PROGRAM: B.S. in Physics

PROPOSED CHANGE: Program Requirement Change

COMMENTS: Current requirements for the program do not include a minimum grade point average beyond that required for graduation from the university. Addition of a minimum cumulative grade point average in the major core category for the program will better prepare students for employment or graduate studies. The requested change will not require additional funds.

President Ross recommended the Board of Regents approve the proposed changes to the Cameron University academic programs.

Regent Humphreys moved approval of the recommendation. The following voted yes on the motion: Regents Dunning, Clark, Stuart, Weitzenhoffer, Bennett and Humphreys. The Chair declared the motion unanimously approved.

### **ACADEMIC CREDIT FOR MILITARY SERVICE – CU**

The Oklahoma Legislature found that military service members, after separating from military service, are frequently delayed in getting post-military employment, even though the service member may have applicable military education, training, and experience which could qualify for an occupational license or certification, or which could provide academic credit toward college, university or technical degree requirements.

The Legislature has authorized public and private institutions of higher education to utilize the Guide to the Evaluation of Educational Experiences in the Armed Services, published by the American Council on Education (ACE), to compare and apply academic credit for education, training and experience received through military duty or service which is applicable to the selected program of study for an honorably discharged military service member who

becomes a student at an institution of higher education within three years after separation from military service. The American Council on Education maintains an online, searchable listing at [www.militaryguides.acenet.edu/](http://www.militaryguides.acenet.edu/). New courses and occupations are continually being evaluated by ACE, and these entries are added on a daily basis. The Guide Online includes all evaluated courses and occupations from 1954 to the present.

The Legislature has mandated that the governing boards of all institutions of higher education adopt a policy, not later than January 1, 2013, authorizing their institutions to award educational credits to students enrolled in their institutions, who are honorably discharged from the Armed Forces of the United States within three years of initial enrollment, for courses that are part of the students' military training or service and that meet the standards of the ACE or equivalent, if the award of educational credit is based upon the institutions' admission standards and its role, scope and mission. Additionally, the Legislature has required that each governing board adopt necessary rules and procedures to implement the provisions of this policy beginning with the 2013-2014 academic year. The policy is attached hereto as Exhibit A.

President Ross recommended the Board of Regents adopt the attached policy to award academic credit to students who are honorably discharged from military service within three years of their enrollment.

Regent Dunning moved approval of the recommendation. The following voted yes on the motion: Regents Dunning, Clark, Stuart, Weitzenhoffer, Bennett and Humphreys. The Chair declared the motion unanimously approved.

#### **ACADEMIC AND ADMINISTRATIVE PERSONNEL ACTIONS – CU**

In June 2012, Cameron's faculty and staff were notified of the Regents' approval of the FY 2013 budget and learned that any raise program was contingent upon fall enrollment numbers. This message was reiterated at the August General Faculty and Staff meeting.

Cameron's fall 2012 enrollment is less than fall 2011; the budget will not support a general raise program. However, in reviewing the budget and current rate of expenditures, there exist sufficient budgeted funds to pay a one-time stipend averaging 2% using funds available through open faculty and staff positions. Consistent with the University's core values and commitment to recognize deserving faculty and staff, the decision has been made to recommend funding a one-time stipend program.

#### **RECOMMENDATION:**

President Ross recommended a one-time, 2%, merit-based stipend be awarded to employees meeting eligibility guidelines.

To be eligible for Cameron University's FY 2013 merit stipend, employees must:

- Be a regular employee
- Have at minimum a satisfactory performance evaluation
- Have been employed before January 1, 2012, and
- Be currently employed at the time the stipend is paid.

The total cost of the proposed stipend, including applicable fringe benefits, is approximately \$470,000. Monies available from open faculty and staff positions will fund the stipend. Approximately 430 employees are eligible and will receive the stipend. Due to varying salaries and to adhere to the minimum and maximum stipend values, Cameron employees will be awarded stipends between 0.88% and 3.31%; the average stipend awarded will be 2.02%.

A list of faculty and staff eligible for the stipend is attached hereto as Exhibit B.

President Ross recommended the Board of Regents approve a two percent (2%), merit-based stipend, with a minimum stipend of \$600 and a maximum stipend of \$1,400 being paid to eligible Cameron University employees.

Regent Bennett moved approval of the recommendation. The following voted yes on the motion: Regents Dunning, Clark, Stuart, Weitzenhoffer, Bennett and Humphreys. The Chair declared the motion unanimously approved.

**ACADEMIC CALENDAR 2013-2014 – CU**  
**CURRICULUM CHANGES – CU**  
**EMERGENCY OPERATIONS PLAN ANNUAL REPORT – CU**  
**QUARTERLY REPORT OF PURCHASE OBLIGATIONS – CU**

The listed items were identified, by the administration, in each agenda item as “For Information Only.” Although no action was required, the opportunity to discuss or consider any of them individually was provided.

**ACADEMIC CALENDAR 2013-2014 – CU**

The Oklahoma State Regents for Higher Education authorize the President to approve the institution’s academic calendar each year. The calendar is then submitted to the State Regents by January 15 prior to the summer semester to which the proposed calendar applies. The academic calendar, attached hereto as Exhibit C, is for information only and will be submitted to the State Regents.

This item was reported for information only. No action was required.

**CURRICULUM CHANGES – CU**

The Oklahoma State Regents for Higher Education confer upon each institution the authority to add, modify and delete courses, but require that the changes be communicated to them for information. The modifications attached hereto as Exhibit D have been approved by the President, upon recommendations of the Provost, respective deans and department chairs, and the Curriculum Committee or Graduate Council.

This item was reported for information only. No action was required.

**EMERGENCY OPERATIONS PLAN ANNUAL REPORT – CU**

Pursuant to the authority contained in the Oklahoma Emergency Management Act of 2003, O.S. 63, Section 681 through 683.24, the head of each designated department and agency shall take necessary actions to implement the Emergency Operations Plan by developing written internal procedures that detail support required by the plan and shall be prepared to put the plan into action. Section 681 also requires institutions of higher learning to make an annual report to its Board of Regents “detailing the status of emergency preparedness and identified safety needs.”

Emergency planning and response is an evolutionary process adapting to the nature of the specific emergency. The Cameron University Emergency Operations Plan defines basic procedures and guidelines to minimize the impact of emergencies and maximize the effectiveness of response personnel. Response to and recovery from major emergencies and catastrophic occurrences will be conducted within the framework of the plan assuring continuity of campus operations. The plan provides effective coordination of university and community resources to protect life, preserve property, and provide stability, and lays the foundation for



responses to extreme weather conditions, fires, hazardous materials incidents, large scale events, and protest actions. Although there were no significant changes to the plan this year, contact information sheets have been reviewed and updated, statistical data in section 1.2 have been updated, section 9.6, Connect-Ed Access has been added, and Annex F – Response Equipment has been reviewed and updated. A current copy is on file in the Board office. Additionally, Cameron University's Emergency Operations Plan has been filed with the Comanche County's Emergency Management Director.

Cameron University's safety needs take into consideration the demographic profile of Cameron's students as well as the physical environment of Cameron's campus. The Cameron campus is located adjacent to economically challenged neighborhoods and the Jim Taliaferro Community Mental Health Center. Accordingly, Cameron's Office of Public Safety:

- maintains a close relationship with local emergency management agencies
- assists Student Services and Human Relations in updating annual orientation materials for new students and faculty members
- conducts joint training exercises involving active shooter situations, bomb threats, etc., with local emergency management agencies
- ensures that each Public Safety officer receives annual continuing education in excess of the state mandated twenty-five hours, and
- notifies all students, faculty and staff of Cameron's severe weather procedures and designated shelter areas.

In addition, throughout the year, the Directors of Physical Facilities and Public Safety conduct visual inspections, including nightly inspections of buildings, parking lots, campus lighting and grounds to ensure compliance with safety standards.

This item was reported for information only. No action was required.

## QUARTERLY REPORT OF PURCHASE OBLIGATIONS – CU

The Board of Regents' policy governing the buying and selling of goods and services states that:

- I. Purchases and/or acquisition of goods and services over \$250,000 must be submitted to the Board for prior approval; and
- II. Purchase obligations between \$50,000 and \$250,000 must be reported quarterly to the Board as an information item. Sole source procurements in this category must also be reported and identified as such.

The required quarterly reports for purchase obligations between \$50,000 and \$250,000 are below.

### Quarterly Report of Purchases July 1, 2012 through September 30, 2012

<u>Item</u>	<u>Description</u>	<u>Campus- Department</u>	<u>Vendor</u>	<u>Award Amount</u>	<u>Explanation/ Justification</u>
PURCHASE OBLIGATIONS FROM \$50,000 TO \$250,000					
1	Banner System	ITS	Ellucian Co.	\$166,233.00	System Maintenance
2	178 Computers	Various Depts.	Dell Marketing	\$229,303.16	Equipment Replacement

3	Furniture	Academic Commons	Copelin's	\$ 75,222.00	New Furniture
4	Walkway Lighting System	Academic Commons	Voss Lighting	\$ 67,016.00	Replacement of Old System
5	Subscription Library		Amigos Library Services	\$ 55,000.00	Renewal
6	Subscription Library		Ebsco Subscription Services	\$ 90,000.00	Renewal
7	Computer Lab Furniture	Academic Commons	Scott Rice Co.	\$115,493.27	New Furniture

#### SOLE SOURCE PROCUREMENTS IN EXCESS OF \$50,000

There were no Sole Source Procurements for the period of July 1, 2012 through September 30, 2012.

This item was reported for information only. No action was required.

## ROGERS STATE UNIVERSITY

### REPORT OF THE PRESIDENT OF THE UNIVERSITY

President Rice began his report by telling the Board that RSU enrollment is up for the spring, only about 1.5%, but still positive. Credit hours are up as well. Some events on campus include the very popular Hillcat Hacker, an urban golf game played on an 18-hole campus course with a special golf ball and only one club per player. This is a very fun fundraiser for the athletic department. The annual Meyer Lecture on Diversity was held recently, with the speaker being Rabbi Sherman, who is retiring from Temple Israel in Tulsa after 37 years. The Rabbi gave the first Meyer Lecture about ten years ago when it was established. He's a well-known and much sought after speaker in the Tulsa area who has worked diligently to establish interfaith dialogues among the various religions and entities in Tulsa. RSU Television received the Governor's Art Award in October and RSU First Lady Peggy Rice accepted on behalf of the University. The University along with the Tulsa Air and Space Museum hosted the first ever Aero Games, funded by Google. Area high schools were invited to compete in STEM games with medals awarded. Students who had not been to campus before were given an introduction to RSU and Google has indicated they would like this to be an annual event. The President told the Board that he and Peggy recently hosted the President's Leadership Class and Honors Class in their home for a reception and the annual Ugly Sweater Contest. Dr. Rice then highlighted some information on the written report he provided to the Board, namely the 2012 ACT college outcome survey with 184 RSU graduates responding on their personal and intellectual growth while at RSU. Giving at the University is up about 50% and the new Vice President of Development, Maynard Phillips is doing well. Included in the report were accolades received by some faculty at the meeting of the Oklahoma Academy of Science and the news that three women's soccer players were named 2012 Capital One Academic All-American players.

**REVISION OF ACADEMIC POLICIES AND PROCEDURES MANUAL – RSU**

The last approved version of the Rogers State University Academic Policies and Procedures Manual (APPM) is dated July 2003. With ongoing revisions to the Board of Regents Policy Manual for Cameron University and Rogers State University and Chapter 3 of the Oklahoma State Regents for Higher Education Policy Manual, the University has revised its Academic Policies and Procedures Manual and incorporated necessary changes to reflect compliance. Further, a comprehensive review and revision of the entire Academic Policies and Procedures Manual has been completed through the efforts of the Academic Policy Review Committee, the Academic Council, and the Office of Academic Affairs at Rogers State University, as well as the Office of Legal Counsel at the University of Oklahoma. The revised Academic Policies and Procedures Manual is attached hereto as Exhibit E and upon Board approval will become effective January 1, 2013.

**Summary of Proposed Substantive Changes**

1. Section 1 – Introduction
  - a. Delete history of RSU as this information is available in other university publications
  - b. Delete institutional memberships as this information is not pertinent
  - c. Update the mission statement to reflect Board approved changes
  - d. Delete facilities as this information is available in other university publications
  - e. Update mission and outcomes of general education
2. Section 2 – Organization
  - a. Update university organization chart
  - b. Update academic organization chart
  - c. Modify committee titles, including School Curriculum Committee, Committee on Student Conduct, Faculty Appellate Committee, Academic Technology Committee, and Scholarly Activities Committee
  - d. Delete Marketing Committee and Scholarship Committee as they no longer meet
  - e. Modify Academic Council to reflect reporting structure
  - f. Delete Faculty Senate as this information is available in other university publications
3. Section 3 – Faculty Personnel Policies
  - a. Update verbiage throughout the entire section to reflect Board of Regents Policy Manual for Cameron University and Rogers State University
  - b. Delete redundant verbiage on faculty appointments
  - c. Modify verbiage for clarification of tenure and promotion eligibility
  - d. Delete procedures requiring associate vice president approval as the position no longer exists
  - e. Modify the number of faculty who may hold tenure from sixty-five percent to seventy percent
  - f. Modify dates in tenure and promotion processes to reflect institutional practice
  - g. Modify faculty office hour requirement from ten hours per week to eight hours per week
4. Section 4 – Personnel Benefits
  - a. Delete entire section as it is contained in the Rogers State University Personnel Policies and Procedures Manual
5. Section 5 – Academic Policies
  - a. Renumber to Section 4 with the deletion of Personnel benefits above
  - b. Update verbiage throughout the entire section to reflect Chapter 3 of the Oklahoma State Regents for Higher Education Policy Manual
  - c. Modify verbiage on student absences for university-sponsored events to clarify student responsibilities

6. Section 6 – General Policies
  - a. Delete entire section as it is contained in the Rogers State University Personnel Policies and Procedures Manual
7. Appendix A
  - a. Delete Constitution of the Rogers State University Faculty Association and Faculty Senate as it is available to the faculty via the associated web site
  - b. Replace with Faculty Development and Evaluation Criteria
8. Appendix B
  - a. Catalog of Faculty Development and Evaluation Criteria remains in place while Faculty Development and Evaluation Criteria becomes Appendix A
9. Appendix C
  - a. Faculty Development Plan added to provide all documents of the faculty evaluation process in the appendices
10. Appendix D
  - a. Faculty Development Plan Report added to provide all documents of the faculty evaluation process in the appendices
11. Appendix E
  - a. Faculty Development and Evaluation Summary added to provide all documents of the faculty evaluation process in the appendices

President Rice recommended the Board of Regents approve the revisions above to the Rogers State University Academic Policies and Procedures Manual.

Regent Stuart moved approval of the recommendation. The following voted yes on the motion: Regents Dunning, Clark, Stuart, Weitzenhoffer, Bennett and Humphreys. The Chair declared the motion unanimously approved.

### **ACADEMIC CREDIT FOR MILITARY SERVICE – RSU**

The Oklahoma Legislature found that military service members, after separating from military service, are frequently delayed in getting post-military employment, even though the service member may have applicable military education, training, and experience which could qualify for an occupational license or certification, or which could provide academic credit toward college, university or technical degree requirements.

The Legislature has authorized public and private institutions of higher education to utilize the Guide to the Evaluation of Educational Experiences in the Armed Services, published by the American Council on Education (ACE), to compare and apply academic credit for education, training and experience received through military duty or service which is applicable to the selected program of study for an honorably discharged military service member who becomes a student at an institution of higher education within three years after separation from military service. The American Council on Education maintains an online, searchable listing at [www.militaryguides.acenet.edu/](http://www.militaryguides.acenet.edu/). New courses and occupations are continually being evaluated by ACE, and these entries are added on a daily basis. The Guide Online includes all evaluated courses and occupations from 1954 to the present.

The Legislature has mandated that the governing boards of all institutions of higher education adopt a policy, not later than January 1, 2013, authorizing their institutions to award educational credits to students enrolled in their institutions, who are honorably discharged from the Armed Forces of the United States within three years of initial enrollment, for courses that are part of the students' military training or service and that meet the standards of the ACE or equivalent, if the award of educational credit is based upon the institutions' admission standards and its role, scope and mission. Additionally, the Legislature has required that each governing board adopt necessary rules and procedures to implement the provisions of this policy beginning with the 2013-2014 academic year. The policy is attached hereto as Exhibit F.

President Rice recommended the Board of Regents adopt the attached policy to award academic credit to students who are honorably discharged from military service within three years of their enrollment.

Regent Humphreys moved approval of the recommendation. The following voted yes on the motion: Regents Dunning, Clark, Stuart, Weitzenhoffer, Bennett and Humphreys. The Chair declared the motion unanimously approved.

**ACADEMIC AND ADMINISTRATIVE PERSONNEL ACTION(S) – RSU**

**NEW APPOINTMENT(S):**

Proctor, George, Assistant Director of Physical Plant, salary annualized rate of \$60,000 for 12 months (\$5,000.00 per month) effective January 2, 2013.

**REAPPOINTMENT(S):**

Muldrow, Dorothy, M.A., Instructor of English, salary of \$15,000 for 5 months (\$3,000 per month,) temporary appointment, effective 1/2/2013.

**CHANGE(S):**

Williams, Lee, M.A., Assistant Professor of Communications, salary change for assuming duties of Interim Department Head of Communications, from \$46,535 to \$48,410, effective January 1, 2013 to May 31, 2013, subject to termination upon return of Dr. Jeff Gentry to the position.

**RESIGNATION(S)/TERMINATION(S):**

Schiedel, Dan, General Manager, RSU Public TV, November 2, 1012. Resignation.

**RETIREMENT(S):**

Sample, Phil, M.S., Instructor, History and Political Science, named Instructor Emeritus, History and Political Science, effective May 14, 2013.

President Rice recommended the Board of Regents approve the academic and administrative personnel actions shown above.

Regent Dunning moved approval of the recommendation. The following voted yes on the motion: Regents Dunning, Clark, Stuart, Weitzenhoffer, Bennett and Humphreys. The Chair declared the motion unanimously approved.

**ACADEMIC CALENDAR 2013-2014 – RSU  
EMERGENCY OPERATIONS PLAN ANNUAL REPORT – RSU  
QUARTERLY REPORT OF PURCHASES – RSU**

The listed items were identified, by the administration, in each agenda item as “For Information Only.” Although no action was required, the opportunity to discuss or consider any of them individually was provided.

**ACADEMIC CALENDAR 2013-2014 – RSU**

The Oklahoma State Regents for Higher Education authorize the President to approve the institution's academic calendar each year. The calendar is then submitted to the State Regents by January 15 prior to the summer semester to which the proposed calendar applies. The academic calendar attached hereto as Exhibit G is for information only and will be submitted to the State Regents.

This item was reported for information only. No action was required.

**EMERGENCY OPERATIONS PLAN ANNUAL REPORT – RSU**

Pursuant to the authority contained in the Oklahoma Emergency Management Act of 2003, O.S. 63, Section 683 through 683.24, the head of each designated department and agency shall take the necessary actions to implement the Emergency Operations Plan by developing written internal procedures that detail support required by the plan and shall be prepared to put the plan into action. As required by the statutes, institutions of higher education shall make annual reports to the Board of Regents detailing the status of emergency preparedness.

The RSU Police Department revised and updated the Emergency Operation Plan, the Campus Emergency Plan and the building safety and security lists in September 2012.

The Jeanne Clery Report was completed and filed with the Department of Education in August 2012. Rogers State University conducted an area wide emergency drill on November 7, 2012 with the Rogers County Emergency Management, the RSU Police Department, the Claremore Police Department, the Claremore Fire Department, and all local hospitals. The scenario for the drill was a tornado hitting the RSU Claremore Campus, injuring 10 students.

The RSU Student Apartments and Family Housing conducted two weather related drills and two fire drills this year. In addition, the staff in Pryor conducted a fire drill.

The RSU Physical Plant tested all the fire alarms in the buildings with the approval of the State Fire Marshall this summer.

Under the RSU Police Department's Strategic Plan for 2012:

1. Two additional full time officers were hired and added to the police manning table to cover the Pryor Campus and to assist on the Claremore Campus.
2. A new camera security system was added to the Bartlesville Campus to help protect faculty, staff, students, tenants, and property. Also, new cameras were installed with the construction of the new ball fields complex, soccer fields, apartments and clubhouse.

This item was reported for information only. No action was required.

**QUARTERLY REPORT OF PURCHASES – RSU**

The Board of Regents policy governing the buying and selling of goods and services states that:

- I. Purchases and/or acquisition of goods and services over \$250,000 must be submitted to the Board for prior approval;

- II. Purchase obligations between \$50,000 and \$250,000 must be reported quarterly to the Board as an information item. Sole source procurements in this category must also be reported and identified as such.

QUARTERLY REPORT OF PURCHASES – ALL  
July 1, 2012 through September 30, 2012

<u>Item</u>	<u>Description</u>	<u>Campus- Department</u>	<u>Vendor</u>	<u>Award Amount</u>	<u>Explanation/ Justification</u>
PURCHASE OBLIGATIONS FROM \$50,000 TO \$125,000					
1.	Medical Services	Student Health Center	AJ Medical	\$60,150	Professional Services
2.	Computer Hardware	All Campuses	Sigma Solutions	\$170,853	Upgrade Network Switch
3.	Custodial Services	Bartlesville Campus	SourceOne	\$63,000	Annual Renewal Custodial Services
4.	Office Supplies	All Campuses	Office Max	\$100,000	Office Supplies
5.	Vehicles	Physical Plant	Alliance Bus Group, Inc.	\$65,078	Bus for Athletics/ Student Travel
6.	Utility Equipment	KRSC – TV	Third Gener. Electr. Contr.	\$130,300	Emergency Backup Generators

SOLE SOURCE PROCUREMENTS FROM \$50,000 TO \$125,000  
Competition Not Applicable

None to Report

This item was reported for information only. No action was required.

The meeting was adjourned for the day at 4:57 p.m.

The meeting reconvened in the same location on December 7, 2012 at 9:13 a.m. with the following Regents present: Leslie J. Rainbolt-Forbes, Chairman of the Board, presiding; Regents Richard R. Dunning, Tom Clark, Jon R. Stuart, A. Max Weitzenhoffer, Clayton I. Bennett and Kirk Humphreys.

## THE UNIVERSITY OF OKLAHOMA

### REPORT OF THE PRESIDENT OF THE UNIVERSITY

President Boren began his report by recalling a recent announcement by the University, that a current student, Mubeen Shakir, has been named OU's 29<sup>th</sup> Rhodes Scholar. There are only 32 nationwide, with only seven of those coming from public universities. Mubeen is an extraordinary pre-med student who plans to study oncology. Jerod Coker was named one of 40 Marshall Scholars. He is an outstanding student in the Center for the Creation of

Economic Wealth and in business. As well, Robin Tipps was named as one of only 12 Mitchell Scholars. There is only one public university in the nation who has students receiving all three of these prestigious awards this year. The President then announced two important gifts. The College of Medicine is in the midst of a \$10 million scholarship campaign, with a current total of over \$7 million, and has received a gift of \$1.5 million from the estate of Dr. Crockett Page, who received undergraduate and medical degrees from the University. Dr. Page had a long medical career in the US Navy and named the scholarships for his grandmother, to whom he attributed the success he achieved in his life. The first distribution from his estate was \$1.5 million, and it is anticipated that all gifts from the estate will total \$3.7 million. The second announcement concerned a gift to the Study Abroad program. Progress has been made in that over 25% of students are studying abroad, but costs continue to prevent some students from considering the possibility. This largest one-time gift for study abroad scholarships has come from the Lobeck Taylor Family Foundation of Tulsa. Former Tulsa Mayor, Kathy Taylor; her husband, Bill Lobeck; and their daughters Elizabeth Frame Ellison and Mollie Pellegrini are the Foundation trustees giving this \$1 million. There has been another gift of about \$500,000 but that donor still wants to remain anonymous. The administration is very grateful for these gifts. Looking at agenda items the Board will be asked to approve, the President noted one honoring Sonya Fallgatter on her retirement for her service to the Faculty Senate, noting that she's served with about 25 different chairs of the Faculty Senate. In personnel actions, he noted that the Board is being asked to approve the appointment of Suzette Grillot as Dean of the College of International Studies, where she has been serving as Interim Dean. The College's Board of Visitors has unanimously agreed with this intent and she has met with the Faculty Senate executive committee as well, receiving a positive recommendation. The President then commented on the remarkable job that Provost Nancy Mergler does with the smallest staff in a Provost's office in the Big 12. As well as having a heavy workload there are some new initiatives that the administration is looking at, including curriculum review, teaching loads and digital technology. Recommended on this agenda is the appointment of Dr. Kyle Harper as Vice Provost, working closely with the task forces on curriculum review and digital technology.

## **REPORT OF THE CHAIRMAN OF THE BOARD**

As her report, the Chairman asked Health Science Provost Dr. Dewayne Andrews to share some news with the Board. He reported that a delegation from the HSC and the OU Medicine Enterprise which is the College of Medicine, OU Physicians, the OU Medical Center and University Hospitals went to the Oklahoma Quality Awards luncheon and received recognition of improvements in two areas: the Commitment Award for quality and also the Best Practices Award for patient satisfaction. Dr. Andrews displayed the awards and the President commented that seeing the scores going up on patient satisfaction surveys has been remarkable.

## **REVISIONS TO THE FACULTY HANDBOOK – HSC**

The last revision to the Health Sciences Center Faculty Handbook was in 2008. In Spring 2012, Senior Vice President and Provost Andrews appointed a committee to review the handbook and propose revisions. The committee was chaired by the Vice Provost for Health Sciences and was composed of Faculty Senators nominated from the Faculty Senate, the Vice



Provost for Academic Affairs, college deans, and Legal Counsel. The proposed revisions, in most cases, are to clarify procedures or to bring policy in line with current practice. Other revisions are editorial in nature as sections or sub-sections were moved to improve the logical flow of the document and to make it more succinct.

The proposed revisions have been approved by the OUHSC Deans' Council, Senior Vice President and Provost, and the Faculty Senate Executive Committee. All OUHSC faculty members were given access to an electronic copy of the proposed Handbook revisions and provided with an opportunity for input.

Additions are noted by underline and deletions by strike-through. Brief descriptions of the more significant changes to sections are noted below, with the complete sections attached hereto as Exhibit H for review and approval.

*Section 3.2 Appointments* – Clarified that continued employment and/or reappointment are contingent upon satisfactory performance and/or the academic unit's needs.

*Section 3.2.2 (c) (iii) Tenured, Tenure-Track, Consecutive Term and Temporary Appointments*

Clarified that a temporary faculty member, terminated during the academic year, must receive 60 days written notice. An exception was inserted relative to temporary clinical faculty whose termination is recommended due to poor clinical performance, unprofessional behavior, or conduct that jeopardizes patient safety. In such cases, termination may be effective immediately.

*Section 3.27 Notification of Non-Renewal or Termination of Tenure Track or Consecutive Term Appointment* – Clarified that the amount of notice required to be given prior to non-renewal or termination was contingent upon which year of employment the faculty member was in currently. Previous language was confusing as the notice was contingent upon which year was the faculty member's next year of service.

*Section 3.9.2 Procedures for Promotion* – Added clarification, to mirror the procedures for tenure, that the dean would establish an ad hoc review committee in those instances where the small number of faculty in an academic unit would prevent appropriate academic unit promotion review.

*Section 3.13 Endowed Chairs and Professorship (b) search committee* – Modified to reflect long-standing practice.

*Section 3.16 Abrogation of Tenure, Termination of Employment, Severe Sanctions, Summary Suspension, and Other Disciplinary Actions Imposed for Failure to Comply with the University Compliance Program, Professional Practice Plan Billing Compliance Policy, or Other Federal or State Mandates* – Subsections reorganized for clarity and further description, and to match actual longstanding practice. Also clarified positions of authority to initiate certain disciplinary actions.

*Section 3.16.1 Grounds for Abrogation of Tenure, Termination of Employment, and Severe Sanctions* – Added a provision for handling situations involving faculty who are hired primarily for clinical practice or practice-related activities and more clearly stated which types of improper conduct may result in immediate termination.

*Section 3.19 Faculty Appeals Board Process* – Process was streamlined based on several years' input from Faculty Appeals Board and/or Hearing Committee chairs imploring that the process be made less cumbersome.

*Section 4.16 Academic Appeals Policy and Procedures* – Based upon input from students and faculty, clarified what could be appealed and upon what basis, and restated the procedures under each type of appeal.

*4.24 Release of Student Information and Access to Student Records* – To clarify federal standards and terminology.

President Boren recommended that the Board of Regents approve the revisions to the Health Sciences Faculty Handbook as proposed.

Regent Humphreys moved approval of the recommendation. The following voted yes on the motion: Regents Dunning, Clark, Stuart, Weitzenhoffer, Bennett and Humphreys. The Chair declared the motion unanimously approved.

#### **STEAM AND CHILLED WATER TUNNEL AND PIPING EXTENSION – HSC**

At the May 2012 meeting, the Board of Regents approved a guaranteed maximum price of \$3,117,964 for construction of the Steam and Chilled Water Tunnel and Piping Extension project by Manhattan Construction Company (the CM). The approved price includes construction of a utility tunnel designed to convey a 30” chilled water line and other smaller utilities such as steam and fiber optic cable for telecommunications to accommodate future increases in demand for utilities south of NE 8th Street. Also included is construction of a secure vault south of NE 8th Street to accommodate future direct-bury line connections.

The need to install direct-bury steam and chilled water piping from the secure vault south to a point on 7<sup>th</sup> Street has been identified. PSA Consulting Engineers, Inc., an on-call engineering firm, has prepared construction documents for the direct-bury pipe extension. Since this construction will be undertaken concurrently with the tunnel and vault, it is proposed that the work be added to the project scope of work. A revised total project budget of \$4,545,000 is proposed in order to allow incorporation of this work.

Manhattan Construction Company has assisted in organizing the construction sequence and has provided a revised guaranteed maximum price to include the additional work. A revised guaranteed maximum price of \$4,081,701 is proposed. This price includes the cost of all construction work; the cost of the CM’s direct project management services; and the CM’s fee, bonds and project-related insurance.

It is anticipated that construction of the added work will commence in December and the full project will be completed in April 2013. Funding for the project has been identified, is available and budgeted from Steam and Chilled Water Plant operating funds and general University funds.

President Boren recommended the Board of Regents:

- I. Approve a revised project budget of \$4,545,000 for the Steam and Chilled Water Tunnel and Piping Extension project; and
- II. Approve a revised guaranteed maximum price of \$4,081,701 for construction of the project.

Regent Bennett moved approval of the recommendation. The following voted yes on the motion: Regents Dunning, Clark, Stuart, Weitzenhoffer, Bennett and Humphreys. The Chair declared the motion unanimously approved.

**HEALTH SCIENCES CENTER QUARTERLY FINANCIAL ANALYSIS – HSC**  
**ACADEMIC CALENDAR 2013-2014 – NC, HSC, LAW**  
**EMERGENCY OPERATIONS PLAN ANNUAL REPORT – ALL**  
**DATA CABLE INSTALLATION SERVICE PROVIDER – ALL**  
**ON-CALL ARCHITECTS AND ENGINEERS QUARTERLY REPORT – ALL**  
**QUARTERLY REPORT OF PURCHASES – ALL**

**REGENTS FUND QUARTERLY FINANCIAL REPORT – ALL  
NONSUBSTANTIVE PROGRAM CHANGES – NC  
PRIME SUPPLIER FOR CISCO EQUIPMENT, SERVICE AND MAINTENANCE – NC  
BULK FUEL – NC  
CONVENIENCE STORE AND CONCESSIONS DISTRIBUTOR – NC  
PREFERRED SUPPLIER FOR SYMANTEC SOFTWARE, PRODUCTS AND  
MAINTENANCE – NC  
ATHLETIC TICKET PRINTING – NC  
NORMAN CAMPUS QUARTERLY FINANCIAL ANALYSIS – NC**

The listed items were identified, by the administration, in each agenda item as “For Information Only.” Although no action was required, the opportunity to discuss or consider any of them individually was provided.

**HEALTH SCIENCES CENTER QUARTERLY FINANCIAL ANALYSIS – HSC**

By request of the Board of Regents, the Health Sciences Center Statements of Net Assets as of September 30, 2012, and Statements of Changes in Net Assets for the first three months then ended and related Executive Summary are attached hereto as Exhibit I.

This item was presented for information only. No action was required.

**ACADEMIC CALENDAR - NC, HSC, LAW**

The Oklahoma State Regents for Higher Education authorize the President to approve the institution’s academic calendar each year. The calendar is then submitted to the State Regents by January 1 prior to the summer semester to which the proposed calendar applies. The academic calendar attached hereto as Exhibit J is for information only and will be submitted to the State Regents.

This item was presented for information only. No action was required.

**EMERGENCY RESPONSE PLAN ANNUAL REPORT – ALL**

Pursuant to the authority contained in the Oklahoma Emergency Management Act of 2003, O.S. 63, Section 681 through 683.24, the head of each designated department and agency shall take necessary actions to implement the Emergency Operations Plan by developing written internal procedures that detail support required by the plan and shall be prepared to put the plan into action. Section 681 also requires institutions of higher learning to make an annual report to its Board of Regents “detailing the status of emergency preparedness and identified safety needs.”

Emergency planning and response is an evolutionary process adapting to the nature of the emergency at hand. The intent of The University of Oklahoma Emergency Response Plan is to set out a foundation from which the University’s emergency response may evolve and an organization that may direct its evolution. The University will use National Incident Management System (NIMS) and Incident Command System (ICS) standards and principles for managing all emergencies on campus.

Response to and recovery from emergencies will be conducted within the framework of The University of Oklahoma Emergency Response Plan. The plan is designed to provide effective coordination of University and community resources to protect life and property during and after emergencies. The plan lays the foundation for the University’s response to emergencies. These emergencies may include prolonged power outages, extreme weather, fires, hazardous materials incidents, large-scale events, and protest actions.

Through coordination and preparedness, the University hopes to minimize the impacts of emergencies and to maximize the effectiveness of the campus community in responding to and recovering from major emergencies and catastrophic occurrences. Importantly, the plan provides an organizational structure for the continuity of campus operations in pursuit of the University's academic mission. The Emergency Response Plan is updated every six months.

This item was presented for information only. No action was required.

#### **DATA CABLE INSTALLATION SERVICE PROVIDER – ALL**

Board of Regents' policies and procedures require that acquisition contracts that merely establish unit pricing, availability and other terms and conditions but which are indefinite as to quantity and delivery must be reported to the Board of Regents if the cumulative orders against them are expected to exceed \$250,000 annually.

This item reports the anticipated activity for fiscal year 2013 for the following multiple-award contracts: Sequoyah Communications, Inc. of Oklahoma City, Telco Supply Company of Sulphur, Techsico Enterprise Solutions of Tulsa and Trans-Tel Central, Inc. of Norman, for data cable installation services for the continual upgrade of the University wide network and fiber infrastructure. The Information Technology (IT) departments for Norman, Oklahoma City and Tulsa campuses identify the outsourcing of cable installation services as the most effective and economical approach for meeting current and future demands. These just-in-time contracts provide the necessary personnel for the timely completion of data cable installation needs for all campus locations. The IT department projects expenditures for FY 2013, estimated to be \$400,000 for the Norman campus, \$400,000 for the Oklahoma City campus, and \$150,000 for the Tulsa campus.

The previous annual expenditures for fiscal year 2012 for all campuses are as follows:

Norman	\$ 80,932
HSC/Tulsa	\$ 549,099
Total	\$ 630,031

The multi-award contracts to Sequoyah Communications, Inc. of Oklahoma City, Telco Supply Company of Sulphur, Techsico Enterprise Solutions of Tulsa and Trans-Tel Central Inc. of Norman are based on a previous competitive solicitation and will be the second renewal of a five-year contract.

Funding has been identified, and is available and budgeted within the Information Technology operating account.

This item was presented for information only. No action was required.

#### **ON-CALL ARCHITECTS AND ENGINEERS QUARTERLY REPORT – ALL**

In May 2009, the Board of Regents authorized a group of architectural and engineering firms to provide professional services required for small projects. The work completed during the first quarter of fiscal year 2013 by on-call architectural and engineering firms is summarized on the attached Exhibit K.

This item was presented for information only. No action was required.

**QUARTERLY REPORT OF PURCHASES – ALL**

The Board of Regents policy governing the buying and selling of goods and services states that:

- I. Purchases and/or acquisition of goods and services over \$250,000 must be submitted to the Board for prior approval; and
- II. Purchase obligations between \$50,000 and \$250,000 must be reported quarterly to the Board as an information item. Sole source procurements in this category must also be reported and identified as such.

The quarterly report for II above is attached hereto as Exhibit L.

This item was presented for information only. No action was required.

**REGENTS FUND QUARTERLY FINANCIAL REPORT – ALL**

This summary report, attached hereto as Exhibit M, is provided in accordance with University of Oklahoma Board of Regents policy. It highlights all of the financial activity within the Regents' Fund during the three months ended September 30, 2012.

This item was presented for information only. No action was required.

**NONSUBSTANTIVE PROGRAM CHANGES – NC**

Administrative/Internal Program Change  
Approved by Academic Programs Council, November 2, 2012

Addition of Area of Concentration/Track

**WEITZENHOFFER FAMILY COLLEGE OF FINE ARTS**Music, Master of Music (RPC 173, MC M717)

Addition of Level V Area of Concentration/Track in Church Music. The objective of this new concentration is to produce OU graduates who will be qualified and prepared to be creators of 21<sup>st</sup> century church music and gain employment at major religious institutions. A total of 32 credit hours will be required for the degree. The proposed Church Music Area of Concentration differs from the existing program only in the area of electives. MM Choral Conducting Church Music students will choose their eight hours of electives from a specified list of courses designed to prepare them for work in the field of church music.

Reason for request:

This program is an opportunity to put OU in the vanguard of this growing field by giving our graduates the fundamental knowledge and experience they need to be placed at major religious institutions.

Music, Doctor of Musical Arts (RPC 174, MC D707)

Addition of Level V Areas of Concentration/Track in Choral Conducting, Wind Conducting, Orchestral Conducting, and Church Music. The current program is already separated into three different *de facto* areas of concentration: Choral Conducting, Wind Conducting, and Orchestral Conducting. The objectives of these areas will not change. The objective of the new concentration in Church Music is to fulfill the vision for an innovative and relevant church music program at OU. This new program will position OU as a national and international leader in the

area of church music. There are many employment opportunities for well-trained and creative church musicians. This program is an opportunity to put OU at the forefront by giving our graduates the fundamental knowledge and experience so that they might be placed at major religious institutions.

Reason for request:

Although current documentation groups all doctoral conducting programs under one degree code, in practice choral, wind, and orchestral conducting are distinct areas of endeavor. Each area of endeavor is overseen and advised by a different member of the faculty. Students in each area are preparing for very different careers. There is minimal interaction among the areas. Given the growth in our DMA Conducting program, recognizing four separate Areas of Concentration will allow the School of Music and the university to keep more accurate records regarding this program. Further, since the individual areas have very different needs in terms of literature, ensemble management, and ancillary areas of study, recognizing Choral Conducting, Wind Conducting, Orchestral Conducting, and Church Music as separate areas of concentrations now will make it easier to make needed changes to the individual concentrations in the future.

Music, Doctor of Musical Arts (RPC 174, MC D724)

Addition of Level V Area of Concentration/Track in Church Music. OU graduates of this program will be qualified and prepared to be creators of 21st Century church music and gain employment at major religious institutions or become professors of organ and church music at institutions of higher learning.

Reason for request:

To fulfill the vision for an innovative and relevant church music program at OU, thereby positioning OU as a leader in this area. There remain many employment opportunities for well-trained and creative church musicians. This program is an opportunity to put OU at the forefront by giving our graduates the fundamental knowledge and experience so that they might be placed at major religious institutions or institutions of higher learning.

Music, Master of Music (RPC 173, MC M724)

Addition of Level V Area of Concentration/Track in Church Music. The objective of this new concentration is to produce graduates who will be qualified and prepared to be creators of 21<sup>st</sup> century church music and gain employment at major religious institutions. A total of 32 credit hours will be required for the degree.

Reason for request:

This program is an opportunity to put OU in the vanguard of this growing field by giving our graduates the fundamental knowledge and experience they need to be placed at major religious institutions.

Deletion of Area of Concentration/Track

Music, Master of Music Education (RPC 176, MC M706)

Deletion of Level V Area of Concentration/Track in Voice Pedagogy (Q691).

Reason for request:

The Vocal Pedagogy Area of Concentration has been inactive for many years. Current faculty does not have the requisite expertise or interest in this area of concentration. It has been so long since some of the coursework required for this area of concentration has been offered that the courses are no longer part of the university's active course inventory.

Music, Master of Music (RPC 173, MC M730)

Deletion of Level V Area of Concentration/Track in Performance and Pedagogy (Q511).

Reason for request:

The Vocal Performance and Pedagogy Area of Concentration has been inactive for many years. Current faculty does not have the requisite expertise or interest in this area of concentration. It has been so long since some of the coursework required for this area of concentration has been offered that the courses are no longer part of the university's active course inventory.

Additional changes are attached hereto as Exhibit N.

This report was presented for information only. No action was required.

**PRIME SUPPLIER FOR CISCO EQUIPMENT, SERVICES AND MAINTENANCE – NC**

Board of Regents' policies and procedures require that acquisition contracts that merely establish unit pricing, availability and other terms and conditions but which are indefinite as to quantity and delivery must be reported to the Board of Regents if the cumulative orders against them are expected to exceed \$250,000 annually.

This item reports the anticipated activity of \$3,200,000 for fiscal year 2013 against a contract awarded to Presidio Networked Solutions, Inc. of Greenbelt, Maryland (Presidio), for Cisco equipment, services, and maintenance. This prime supplier contract supports the University's Information Technology Department by establishing pricing and availability of Cisco products at significant discounts. Cisco products are the campus standards for Norman campus core network.

The previous annual expenditure for fiscal year 2012 was \$1,585,407.

This contract was awarded on a best-value basis from a previous competitive solicitation. This is the third renewal of a five-year contract.

Funding has been identified, and is available and budgeted within the Information Technology operating account.

This report was presented for information only. No action was required.

**BULK FUEL – NC**

Board of Regents' policies and procedures require that acquisition contracts that merely establish unit pricing, availability and other terms and conditions but which are indefinite as to quantity and delivery must be reported to the Board of Regents if the cumulative orders against them are expected to exceed \$250,000 annually.

This item reports the anticipated activity for bulk fuels for fiscal year 2013, with estimated annual expenditures of \$780,000. The unleaded, ethanol, diesel and bio-diesel fuels are necessary for the operation of approximately 500 University owned vehicles and service equipment.

The contract to Mansfield Oil Company of Gainesville, Georgia, is available through the State of Oklahoma from a competitive bid according to state purchasing rules and complies with Board Policies and Procedures regarding competition relative to the acquisition of products and services.

Funding has been identified, and is available and budgeted within the Fleet Services operating account.

This report was presented for information only. No action was required.

### **CONVENIENCE STORE AND CONCESSIONS DISTRIBUTOR – NC**

Board of Regents' policies and procedures require that acquisition contracts that merely establish unit pricing, availability and other terms and conditions but which are indefinite as to quantity and delivery must be reported to the Board of Regents if the cumulative orders against them are expected to exceed \$250,000 annually.

This item reports the anticipated activity to provide products and supplies for the University convenience store located on Norman campus for student residents, and concession supplies for various University venues including Gaylord Family Oklahoma Memorial Stadium and Lloyd Noble Center. The multiple contracts were awarded to support the University Housing and Food Services Department to provide competitively priced market-value products for resale at the various campus food services locations.

The University issued a competitive solicitation to ensure the most competitive prices available. The following suppliers responded:

AMCON Distributing Co.	Springfield, Missouri
Blue Bell Creameries, LP	Oklahoma City
Core-Mark International	San Francisco, California
Deli Express/EA Sween Company	Eden Prairie, Minnesota
Distributors Unlimited	Edmond
Farner-Bocken Company	Carroll, Iowa
Hiland Dairy Foods	Norman
Indian Nation Wholesale	Durant
ONG Enterprises Inc.	Oklahoma City
Performance Food Group Inc. dba Vistar	Centennial, Colorado
Sara Lee Bakery	Oklahoma City
Snyder's of Hanover-Lance Inc.	Tulsa

The evaluation committee comprised the following individuals:

Nathan Baird, Manager, Purchasing  
 Kevin Barker, Cash Operations Director, Housing and Food Services  
 Shawn Henry, General Manager, Housing and Food Services  
 Keith Mackie, Concessions Director, Housing and Food Services  
 Matt Roberts, Purchasing Director, Housing and Food Services

The evaluation criteria were meeting specifications of the RFP, including product availability, marketing, service, reporting capabilities and cost.

The results were as follows:



Evaluation Criteria/ Weight	Product Availability and Pricing 40%	Inven- tory Plan 20%	Deliv- ery 10%	Invoicing Process 5%	Ordering Techno- logy 5%	Reports 10%	Service Detail 10%	Score 100%
Supplier								
Core-Mark Int.	29.0	18.0	10.0	4.0	3.0	8.0	8.0	80.0
Vistar	30.0	17.0	8.0	3.5	3.0	8.0	7.0	76.5
Amcon	26.0	16.0	5.0	3.0	3.0	8.0	6.0	67.0
Indian Nation Wholesale	20.0	12.0	8.0	2.0	2.0	5.0	4.5	53.5
Farner-Bocken	22.0	8.0	4.0	3.0	3.0	6.0	5.0	51.0

Proposals from Blue Bell Creameries, LP of Oklahoma City; Distributors Unlimited of Edmond; Hiland Dairy Foods of Norman; ONG Enterprises Inc. of Oklahoma City; and Sara Lee Bakery of Oklahoma City were accepted without evaluation inasmuch as the anticipated activity against them will not reach the Board of Regents reporting threshold. Associated contracts will be awarded.

Proposals from Snyder's of Hanover-Lance Inc. of Tulsa, and Deli Express/EA Sween Co. of Eden Prairie, Minnesota, did not meet all required specifications of the RFP and were not evaluated.

The evaluation committee determined that Core-Mark International of San Francisco, California, was the most responsive supplier relative to convenience stores, and that Vistar of Centennial, Colorado was the most responsive supplier relative to concessions. Both suppliers submitted proposals meeting the required products categories and were evaluated as representing best value to the University. Associated contracts will be awarded.

Funding has been identified, is available and budgeted within the Housing and Food Services operating account.

This report was presented for information only. No action was required.

### **PREFERRED SUPPLIER FOR SYMANTEC SOFTWARE, PRODUCTS AND MAINTENANCE – NC**

Board of Regents' policies and procedures require that acquisition contracts that merely establish unit pricing, availability and other terms and conditions but which are indefinite as to quantity and delivery must be reported to the Board of Regents if the cumulative orders against them are expected to exceed \$250,000 annually.

This item reports the anticipated activity for a Symantec brand technology supplier contract for related software, products, and ongoing maintenance support for fiscal year 2013 is estimated to be \$450,000. The preferred supplier contract is awarded to support the Information Technology (IT) department on an as-needed basis by securing discounted pricing for future solution expansion and upgrades to support the security and maintenance of University technology systems, and for technology products and services for resale mainly through the University's IT Store.

The previous annual expenditure for fiscal year 2012 was \$408,872.

The contract is based on a previous competitive solicitation and has been extended for an additional one-year period at equivalent pricing and discounts under the same terms and conditions of the original agreement.

The recommended renewal of the preferred provider contract to Lumenate Inc. of Oklahoma City represents best value to the University.

Funding has been identified, is available and budgeted within the Information Technology operating account.

This report was presented for information only. No action was required.

#### **ATHLETIC TICKET PRINTING – NC**

Board of Regents' policies and procedures require that acquisition contracts that merely establish unit pricing, availability and other terms and conditions but which are indefinite as to quantity and delivery must be reported to the Board of Regents if the cumulative orders against them are expected to exceed \$250,000 annually.

This item reports the anticipated activity for athletic ticket printing and mailing services for all home sporting events in support of Athletic Department ticket sales. The Athletic Department projects expenditures for FY2013, estimated to be \$360,000.

The University issued a competitive solicitation to the following suppliers:

Consolidated Printing Inc.	Van Buren, Arkansas
National Ticket Company	Shamokin, Pennsylvania
Weldon, Williams & Lick Inc.	Fort Smith, Arkansas

The following bid response was received:

Weldon, Williams & Lick Inc. Fort Smith, Arkansas

An evaluation team comprising the following individuals rated the response:

Brandon Hall, Director of Business Operations, Athletics Department  
Mark Keesee, Manager, Purchasing  
Luther Lee, Associate Athletic Director/CFO, Athletics Department  
McK Williams, Assistant Athletic Director, Operations, Athletics Department

The evaluation criteria were meeting specifications of the RFP, including compatibility with existing ticketing system and cost.

The evaluation team determined Weldon, Williams & Lick Inc. of Fort Smith Arkansas was responsive to the specified requirements of the RFP and represents best value to the University.

Funding has been identified, is available and budgeted within the Athletics Department operating account.

This report was presented for information only. No action was required.

## NORMAN CAMPUS QUARTERLY FINANCIAL ANALYSIS – NC

By request of the Board of Regents, the Norman Campus Statements of Net Assets as of September 30, 2012, Statements of Changes in Net Assets for the three months then ended and related Executive Summary are attached hereto as Exhibit O.

This report was presented for information only. No action was required.

## PROPOSALS, CONTRACTS, AND GRANTS

In accord with Regents' policy, a list of awards and/or modifications in excess of \$250,000 or that establish or make policy for the University, or that otherwise involve a substantial or significant service to be performed by the University are shown on the following pages. Comparative data for fiscal years 2008 through 2012 and current month and year-to-date, are shown on the graphs and tables attached hereto as Exhibit P.

The Provisions of Goods and Services policy provides that new contracts and grants in excess of \$250,000 must be referred to the Board of Regents for ratification. In addition, in the event a contract, grant, document, or arrangement involved would establish or make policy for the University, or would otherwise involve a substantial or significant service to be performed by the University, that contract, arrangement, or document shall be referred to the Board of Regents for approval.

	FY12 Total Expenditures	FY12 Year-to-Date Expenditures	FY13 Year-to-Date Expenditures
UNIVERSITY OF OKLAHOMA	\$284,011,126	\$72,678,970	72,650,327
NORMAN CAMPUS	\$157,413,381	\$41,880,614	\$42,110,522
HEALTH SCIENCES CENTER	\$126,597,748	\$30,798,356	\$30,539,805

President Boren recommended that the Board of Regents ratify the awards and/or modifications for September 2012 submitted with this Agenda Item.

Regent Dunning moved approval of the recommendation. The following voted yes on the motion: Regents Dunning, Clark, Stuart, Weitzenhoffer, Bennett and Humphreys. The Chair declared the motion unanimously approved.

## SUBSTANTIVE PROGRAM CHANGES – NC

The Oklahoma State Regents for Higher Education require that all substantive changes in degree programs be presented to the institution's governing board for approval before being forwarded to the State Regents for consideration. The changes in academic programs itemized in the attached list have been approved by the appropriate faculty, academic units and deans, the Academic Programs Council, and the Senior Vice President and Provost. They are being submitted to the Board of Regents for approval prior to submission to the State Regents.

Substantive Program Change  
Approved by Academic Programs Council, November 2, 2012

Program Deletion

COLLEGE OF ARTS AND SCIENCES

Letters, Bachelor of Arts (RPC 150, MC B636)

Program Deletion. Program deletion.

Reason for request:

The Letters-BA degree was instituted as an alternative for students who did not meet the minimum requirements to graduate with a Bachelor of Arts in Letters, but in practice it has caused more confusion than it is worth. Because so few Letters students find themselves in this situation every year, we have to resort to this option infrequently enough to cause it to be considered a "low productivity program," which necessitates an explanation to the Board of Regents every year. Having two Letters degrees in the inventory also causes confusion in other offices on campus, which explains why several Letters majors are currently listed in the wrong program. We believe that students who do not meet the minimum requirements of the Letters program have enough other options available to them that the disappearance of the Letters-BA option will not delay their graduation. Our advisers identify the low-performing students early enough to help them find another degree program that will allow them to graduate on time. It should be emphasize that we are requesting the deletion of the Letters-BA (Regents code: 150, OU major code: 1512B-B636) only; the Bachelor of Arts in Letters (Regents code: 324, OU major code 1512A-B635) and its two emphases (Standard P416 and Constitutional Studies P136) are not be affected.

Course and Degree Program Requirement Change

JEANNINE RAINBOLT COLLEGE OF EDUCATION

Instructional Leadership and Academic Curriculum, Master of Education (RPC 063, MC M545)

Program requirement change. Replace "courses on the approved list" with "courses from a list approved by the Graduate Liaison and Advisor, based on requirements of the specific area and students' professional interests and goals." This change of wording applies to each category of course the student must take to earn the degree (Studies in Teaching and Learning, Studies in Cultural Diversity, Research, and Research Synthesis). Total credit hours for the degree will not change. Additionally, the same change is being made in the wording of course requirements for each of the areas of concentration in the program.

Reason for request:

The purpose is to simplify program requirements and to allow advisors and students to choose courses that best fit with research goals.

WEITZENHOFFER FAMILY COLLEGE OF FINE ARTS

Music, Master of Music (RPC 173, MC M720, M724)

Program requirement change. Musicology option. Eliminate requirement for pre-thesis defense oral exam over readings in Musicology and/or Ethnomusicology. Total credit hours for the degree will not change. Organ option. Reduce the musicology course requirements from six hours to three hours, and add six hours of organ literature as required.

Reason for request:

Musicology option. The pre-thesis defense oral exam is redundant and does not serve any relevant pedagogical purpose. Organ option. The modifications will make the degree program more in line with peer institutions as well as competitive and relevant in preparing students entering professional careers as organists.

Music, Doctor of Musical Arts (RPC 174, MC D724)

Course requirement change. Reduce Musicology/Music Literature (MUSC/MULI) requirement of nine (9) hours to six (6) hours in Musicology (MUSC) and three (3) hours in Organ Literature (MULI); Stipulate that no course taken to remediate deficiencies in Musicology determined by the student's score on the Preliminary Exam may be used to fulfill this requirement. It may be used to fulfill electives if at the 5000- or 6000-level; Require that in order to complete the degree, the student must have completed three (3) graduate-level courses in Organ Literature and a graduate-level course in Fundamentals of Organ Building as part of the master's degree or during the DMA; and stipulate that electives must be approved by the Graduate Liaison and Program Adviser. Total credit hours for the degree will not change.

Reason for request:

The modifications to the current DMA Organ option will make the degree program more in line with peer institutions as well as competitive and relevant in preparing students entering professional careers as organists and/or the professorate.

President Boren recommended the Board of Regents approve the proposed changes in the Norman Campus academic program:

Regent Bennett moved approval of the recommendation. The following voted yes on the motion: Regents Dunning, Clark, Stuart, Weitzenhoffer, Bennett and Humphreys. The Chair declared the motion unanimously approved.

**ACADEMIC CREDIT FOR MILITARY SERVICE – NC**

The Oklahoma Legislature found that military service members, after separating from military service, are frequently delayed in getting post-military employment, even though the service member may have applicable military education, training, and experience which could qualify for an occupational license or certification, or which could provide academic credit toward college, university or technical degree requirements.

The Legislature has authorized public and private institutions of higher education to utilize the Guide to the Evaluation of Educational Experiences in the Armed Services, published by the American Council on Education (ACE), to compare and apply academic credit for education, training and experience received through military duty or service which is applicable to the selected program of study for an honorably discharged military service member who becomes a student at an institution of higher education within three years after separation from military service. The American Council on Education maintains an online, searchable listing at [www.militaryguides.acenet.edu/](http://www.militaryguides.acenet.edu/). New courses and occupations are continually being evaluated by ACE, and these entries are added on a daily basis. The Guide Online includes all evaluated courses and occupations from 1954 to the present.

The Legislature has mandated that the governing boards of all institutions of higher education adopt a policy, not later than January 1, 2013, authorizing their institutions to award educational credits to students enrolled in their institutions, who are honorably discharged from the Armed Forces of the United States within three years of initial enrollment, for courses that are part of the students' military training or service and that meet the standards of the ACE or

equivalent, if the award of educational credit is based upon the institutions' admission standards and its role, scope and mission. Additionally, the Legislature has required that each governing board adopt necessary rules and procedures to implement the provisions of this policy beginning with the 2013-2014 academic year. The policy is attached hereto as Exhibit Q.

President Boren recommended the Board of Regents adopt the attached policy to award academic credit to students who are honorably discharged from military service within three years of their enrollment.

Regent Stuart moved approval of the recommendation. The following voted yes on the motion: Regents Dunning, Clark, Stuart, Weitzenhoffer, Bennett and Humphreys. The Chair declared the motion unanimously approved.

### **HONORARY DEGREES – NC**

The University policy and the policy of the Oklahoma State Regents for Higher Education on awarding honorary degrees states that nominees and alternates must be approved by the OU Board of Regents and State Regents prior to awarding of the degrees.

President Boren recommended the nominees listed in his recent letter to the Board of Regents be approved for honorary degrees.

Regent Humphreys moved approval of the recommendation. The following voted yes on the motion: Regents Dunning, Clark, Stuart, Weitzenhoffer, Bennett and Humphreys. The Chair declared the motion unanimously approved.

### **HESTER HALL RENOVATION FOR COLLEGE OF INTERNATIONAL STUDIES – NC**

Since 2003, the Hester Hall Renovation project has been approved as a part of each annual update of the Campus Master Plan of Capital Improvement Projects for the Norman Campus. At the May 2012 meeting, the Board of Regents approved the design development phase plans and authorized preparation of construction documents for the second part of Hester Hall Renovation. This project will include construction of an addition onto the west façade of the building creating a new front door and lobby for the College of International Studies. Two new stair towers also will be constructed to improve building circulation and provide adequate emergency egress. The three-story element of the building will be renovated to house the Dean's office, staff offices and a quiet study area on the first floor, with faculty offices and small conference and seminar rooms on the second and third floors. The one-story element will house International Student Services and Education Abroad as well as three classrooms, a seminar room, a formal conference room and the college living room.

In September 2011, the Board of Regents ranked Manhattan Construction Company (the "CM") first among firms considered to provide construction management services for the project. As design and construction documents have progressed, the CM has worked with the project architects, Bockus Payne Associates, providing advice on constructability, estimating costs and organizing the project construction sequence. At this time the CM has provided a guaranteed maximum price proposal for construction. A guaranteed maximum price of \$10,300,000 is proposed. This price includes the cost of construction work; the cost of the CM's direct project management services; the CM's fee, bonds and project-related insurance; and an owner's contingency.

It is anticipated that construction will commence in early 2013 and be completed during the summer of 2014. The estimated total cost for the project is \$13,500,000, with funding identified, available and budgeted from private sources and general revenue bond proceeds.

President Boren recommended the Board of Regents:

- I. Approve a guaranteed maximum price of \$10,300,000 for construction of the Hester Hall Renovation project; and
- II. Recognize and acknowledge that the University may incur certain costs relative to the above project prior to receipt of bond proceeds and, to the extent the University utilizes currently available funds for said costs, it is intended that bond proceeds will be utilized to reimburse those outlays.

Regent Weitzenhoffer moved approval of the recommendation. The following voted yes on the motion: Regents Dunning, Clark, Stuart, Weitzenhoffer, Bennett and Humphreys. The Chair declared the motion unanimously approved.

### **DATA CENTER SERVER RACKS AND POWER DISTRIBUTION UNITS – NC**

The Information Technology (IT) department requests the acquisition of server racks and power distribution units (PDU) for the newly constructed Information Technology Shared Services Data Center located at Four Partners Place on the Norman campus. The racks and PDU's will be used to house servers that deliver IT services to the University.

This purchase is part of the ongoing Information Technology shared services strategy that spans data centers at the Norman, Oklahoma City and Tulsa campuses with a private cloud technology platform that standardizes and updates the University infrastructure providing consolidated and consistent services and enhanced resiliency and disaster recovery capabilities while achieving overall efficiencies and cost savings.

In response to a competitive solicitation, the following bids were received:

Alexander Open Systems, LLC	Oklahoma City
Anixter, Inc.	Tulsa
Dane & Associates Electric Company	Oklahoma City
Dell Marketing, LP	Round Rock, Texas
Trans-Tel Central, Inc.	Norman
United Systems, Inc.	Oklahoma City

The evaluation committee comprised the following individuals:

Aaron Bighorse, IT Analyst, Information Technology  
 Zane Gray, Manager, IT Network and Telecom, Information Technology  
 Kendall George, Manager, IT Systems, Information Technology  
 Craig Sisco, Manager, Purchasing Department  
 Matt Younkins, Director of Infrastructure, Information Technology

The evaluation criteria were meeting specifications, delivery timeframe and price.

The results of the evaluation were as follows:

(Weighted Score 0-5, 5 being the best)

Bidder	Met Specifications	Total Weighted Score
Dell Marketing, L.P.	Yes	3.80
Dane and Associates Electric Company	Yes	3.40
Anixter, Inc.	Yes	3.35

Alexander Open Systems – Option #1	Yes	3.00
Trans-Tel Central, Inc.	Yes	3.00
United Systems, Inc.	Yes	2.90
Alexander Open Systems – Option #2	Yes	2.40

The evaluation team determined that the response and offering by Dell Marketing, L.P., of Round Rock, Texas, best met the requirements of the RFP and demonstrated the best solution for the University's goals and expectations.

Funding has been identified, is available and budgeted within the Information Technology operating budget.

President Boren recommended the Board of Regents authorize the President or his designee to award a contract in an amount not to exceed \$363,485, to Dell Marketing, LP, of Round Rock, Texas, the best value bidder, for the purchase of server racks and power distribution units for the Norman campus data center.

Regent Bennett moved approval of the recommendation. The following voted yes on the motion: Regents Dunning, Clark, Stuart, Weitzenhoffer, Bennett and Humphreys. The Chair declared the motion unanimously approved.

#### **MASS SPECTROMETER – NC**

The proposed spectrometry system will offer state-of-the art research capabilities and key instrumentation to support University research in the Department of Chemistry and Biochemistry. The mass spectrometer will offer University researchers access to the latest technology to further support important research projects including anti-cancer drug discovery, natural products for pharmaceutical exploration, and the synthesis of metal organic catalyst.

The sole source acquisition is due to the unique features of the proposed system including high-energy collision-induced dissociation not available from other manufacturers and which are extremely critical for sample analyses of large biomolecules. The University's Purchasing department compared the pricing of similar equipment and the cost is considered fair and reasonable and also includes a significant discount. The acquisition represents fair value to the University.

Funding has been identified, is available, and budgeted within the Vice President of Research and Department of Chemistry accounts.

President Boren recommended the Board of Regents authorize the President or his designee to issue a purchase order in the amount of \$300,000 to Thermo Electron North America, West Palm Beach, Florida, on a sole source basis, for a mass spectrometer.

Regent Humphreys moved approval of the recommendation. The following voted yes on the motion: Regents Dunning, Clark, Stuart, Weitzenhoffer, Bennett and Humphreys. The Chair declared the motion unanimously approved.



**EVANS HALL EXTERIOR WINDOW RESTORATION – NC**

The windows of Evans Hall are deteriorating and need to be rehabilitated in order to restore and preserve the functional life of the structure. The windows are in poor condition and need to have the old lead paint removed, sanded and painted to address this deferred maintenance project. Significant scaffolding will be installed to ensure proper management and containment of the lead based paint currently on the windows.

Reiss Painting is the Facilities Management on-call contractor for painting services on the Norman Campus. The company was awarded the contract based on a competitive solicitation, which satisfies the Board of Regents' Policies and Procedures with regard to competition relative to the acquisition of products and services. Previous experience with Reiss Painting has been excellent.

Funding has been identified is available and budgeted from Facilities Management operating funds.

President Boren recommended the Board of Regents authorize the President or his designee to award a purchase order in an amount not to exceed \$350,000 to Reiss Painting of Oklahoma City, for restoration of the exterior windows of Evans Hall.

Regent Humphreys moved approval of the recommendation. The following voted yes on the motion: Regents Dunning, Clark, Stuart, Weitzenhoffer, Bennett and Humphreys. The Chair declared the motion unanimously approved.

**L. DALE MITCHELL BASEBALL PARK EXPANSION AND IMPROVEMENTS, PHASE II – NC**

At the May 2006 meeting and with each subsequently approved Campus Master Plan of Capital Improvement Projects for the Norman Campus, the Board of Regents has approved the L. Dale Mitchell Baseball Park Expansion and Improvements project. The project identifies the need for updates and improvements to spectator seating, fan amenities and team facilities. In September 2010, the Board ranked Populous, Inc. first among firms considered to provide professional architectural and engineering service for the project. A first phase of work, including backstop netting, new lower bowl seating, dugout improvements, warning track upgrades, synthetic field turf upgrades, and painting the upper concourse canopy was completed early in 2012. Phase II will include replacement of the existing ticket booth structure to closely resemble the ticket booths at the northeast and northwest corners of the Gaylord Family-Oklahoma Memorial Stadium. Also, a new architectural fence featuring brick columns and wrought iron panels will be constructed along the Imhoff Road frontage. The new fence will connect to the existing perimeter fence at the east and west ends. It is anticipated that future phases of work will include additional fence improvements.

In May 2012, the Board of Regents ranked Flintco, LLC (the CM) first among firms considered to provide construction management services for additional phases of the project. As design and construction documents for Phase II have progressed, the CM has worked with the project architects, providing advice on constructability and estimating costs. At this time, the CM has proposed a guaranteed maximum price of \$680,000 for construction. This price includes the cost of construction work; the cost of the CM's direct project management services; the CM's fee, bonds and project-related insurance; and an owner's contingency.

It is anticipated that construction will commence in January and be completed in May 2013. The estimated total cost for the Phase II project is \$850,000, with funding identified, available and budgeted from private funds within Athletics Department capital accounts. Architectural renderings are attached hereto as Exhibit R.

President Boren recommended the Board of Regents:

- I. Approve the design for the L. Dale Mitchell Baseball Park Expansion and Improvements, Phase II project;
- II. Approve a guaranteed maximum price of \$680,000 for construction of the project; and
- III. Recognize and acknowledge that the University may incur certain costs relative to the above project prior to receipt of bond proceeds and, to the extent the University utilizes currently available funds for said costs, it is intended that bond proceeds will be utilized to reimburse those outlays.

Regent Bennett moved approval of the recommendation. The following voted yes on the motion: Regents Dunning, Clark, Stuart, Weitzenhoffer, Bennett and Humphreys. The Chair declared the motion unanimously approved.

### **POST-SEASON ATHLETIC CONTEST – NC**

Arrangements necessary for the University's participation in a bowl game must be made prior to the next Regents' meeting; therefore, it is necessary to seek authorization for the President, the Athletic Director, or their designee to award purchase orders and sign contracts associated with the University's participation in a bowl game. Provisions outlined in Regents' policies regarding post-season athletic contests will be followed. Additionally, an agreement with the University of Oklahoma Foundation to advance bowl related expenses is required to facilitate the contracts, purchase orders and arrangements necessary for the University's participation in a post season bowl game.

President Boren recommended the Board of Regents:

- I. Authorize the President, the Athletic Director, or their designee to award purchase orders and sign contracts associated with The University of Oklahoma's participation in a post-season bowl game; and
- II. Authorize the President, the Athletic Director, or their designee to negotiate an agreement with The University of Oklahoma Foundation to advance bowl related expenses as required.

Regent Bennett moved approval of the recommendation. The following voted yes on the motion: Regents Dunning, Clark, Stuart, Weitzenhoffer, Bennett and Humphreys. The Chair declared the motion unanimously approved.

### **NAMING OF FACULTY SENATE OFFICE – NC**

Sonya Fallgatter currently serves as the Administrative Coordinator for the Faculty Senate. The current, immediate past, in addition to the more than two-dozen Faculty Senate Chairs who have worked with her since 1985 concur that renaming the Office in Jacobson Hall upon Ms. Fallgatter's retirement is highly appropriate. Ms. Fallgatter is the heart and soul of the Faculty Senate, who is responsible to the Regular Faculty for all action taken in its behalf. Her years of dedication to the development and welfare of the OU faculty directly supports OU's mission "to provide the best possible educational experience for our students through excellence in teaching, research and creative activity, and service to the state and society." Ms. Fallgatter's tireless efforts allow OU faculty members to fully pursue their work knowing that their best interests are in the capable hands of Ms. Fallgatter and the Faculty Senate.

Her work goes far beyond scheduling meetings, filing documents, and day-to-day correspondence, Ms. Fallgatter possesses a deep and rich institutional knowledge that propels and sustains the duties and responsibilities of the Faculty Senate. From issues about health care benefits and salary compensation, to parking and recreational facility memberships, Ms. Fallgatter has given every concern undivided attention, leaving no avenue unexplored until a viable resolution is reached. In collaboration with each of the past 28 faculty senate bodies Ms. Fallgatter has fostered a positive and stimulating environment at OU that successfully attracts and retains talented and productive faculty members from the world over. Ms. Fallgatter's commitment to the OU's faculty is reflected in the University becoming one of the top 10 public universities in the nation in terms of academic excellence as well as the more than doubling of OU's sponsored research in the past 10 years.

For these reasons plus her infinite patience with issues whether benign or tumultuous and her indefatigable good humor in times both routine and challenging, it is very fitting that the Board of Regents for The University of Oklahoma name the Faculty Senate Office in Jacobson Hall on the Norman Campus in honor of Sonya Fallgatter on the occasion of her retirement.

President Boren recommended the Board of Regents approve an exception to section 7.3.2 of the Regents' Policy Manual and name the Faculty Senate Office in Jacobson Hall on the Norman Campus as the Sonya Fallgatter Faculty Senate Office in recognition of her extraordinary contribution as the Administrative Coordinator for the Faculty Senate for the past 28 years.

Regent Stuart moved approval of the recommendation. The following voted yes on the motion: Regents Dunning, Clark, Stuart, Weitzenhoffer, Bennett and Humphreys. The Chair declared the motion unanimously approved.

#### **THE UNIVERSITY OF OKLAHOMA STUDENT ASSOCIATION NAME CHANGE – NC**

The Undergraduate Student Congress and the Graduate Student Senate passed legislation recommending a constitutional name change referendum. Subsequently, during the 2012 fall elections, the student body voted and passed a referendum to change the name of the "University of Oklahoma Student Association" (UOSA) to the "Student Government Association" (SGA) by a vote of 756 in favor and 296 opposed. The election results were approved by the UOSA Election Board and validated by the UOSA Student Superior Court.

Upon the approval of the name change, all documents referring to the "UOSA" shall be amended to reflect the University of Oklahoma "SGA."

President Boren recommended the Board of Regents approve the constitutional amendment to the University of Oklahoma Student Association constitution, changing the name from the University of Oklahoma Student Association (UOSA) to the University of Oklahoma Student Government Association (SGA).

Regent Bennett moved approval of the recommendation. The following voted yes on the motion: Regents Dunning, Clark, Stuart, Weitzenhoffer, Bennett and Humphreys. The Chair declared the motion unanimously approved.

#### **ACQUISITION AND SALE OF PROPERTY, JOHN SAXON BOULEVARD – NC**

The University administration recommends that it be authorized to pursue acquisition of the property listed above located at Highway 9 and John Saxon Boulevard. The 134,024 square foot light industrial facility and additional fifteen acres of vacant land will provide high bay light industrial space and office space for University entities which makes this a strategic and desirable acquisition for the University.

The University has a contract for purchase contingent upon approval by the Board of Regents. The purchase price is supported by an independent third party appraisal, and the proposed acquisition complies with Regents' policy. Both the purchase contract and appraisal are on file in the Board of Regents Office. A location map is attached hereto as Exhibit S.

Funding has been identified, is available and budgeted within Real Estate Operations.

President Boren recommended the Board of Regents authorize the University administration to acquire property located at 2450 John Saxon Boulevard.

Regent Humphreys moved approval of the recommendation. The following voted yes on the motion: Regents Dunning, Clark, Stuart, Weitzenhoffer, Bennett and Humphreys. The Chair declared the motion unanimously approved.

## **ACADEMIC PERSONNEL ACTIONS – HSC & NC**

### Health Sciences Center:

#### LEAVE(S) OF ABSENCE:

Bidichandani, Sanjay I, Professor of Biochemistry and Molecular Biology and Adjunct Professor of Pediatrics, return from leave of absence with full pay, November 1, 2012.

Borders, Emily Buegler, Assistant Professor of Pharmacy Clinical and Administrative Sciences, medical leave of absence with pay extended, August 16, 2012 through October 2, 2012; return from medical leave of absence with full pay, October 3, 2012.

Coy, Ken, Professor of Dental Services Administration, military leave of absence with pay, October 15, 2012 through April 15, 2013.

Iandolo, John J., Vice President for Research, Office of Research Administration, and Professor of Microbiology and Immunology, leave of absence without pay, January 2, 2013 through April 1, 2013.

Shah, Anjan Mahendra, Assistant Professor of Pediatrics, return from military leave of absence with full pay, October 15, 2012.

Shalhoop, Holly Marie, Instructor in Internal Medicine, Tulsa, return from leave of absence with full pay, October 8, 2012.

Wegner, Kenneth F., Assistant Professor of Radiological Sciences, leave of absence with pay, October 25, 2012 through January 7, 2013.

#### NEW APPOINTMENT(S):

Arrington, Daniel K., M.D., Assistant Professor of Neurology, annualized rate of \$90,000 for 12 months (\$7,500.00 per month), October 22, 2012 through June 30, 2013. New consecutive term appointment.

Dentino, Andrew Neal, M.D., Professor and Vice Chair of Geriatrics and The Donald W. Reynolds Chair in Geriatric Medicine, annualized rate of \$195,000 for 12 months (\$16,250.00 per month), November 1, 2012 through June 30, 2013. New tenure track appointment. Tenurable base \$85,000; departmental salary \$110,000.

Douvoyiannis, Miltiadis, M.D., Assistant Professor of Pediatrics, Tulsa, annualized rate of \$70,000 for 12 months (\$5,833.33 per month), October 10, 2012 through June 30, 2013. New consecutive term appointment.

Fitts, Steven Wesley, M.D., Assistant Professor of Pediatrics, Tulsa, annualized rate of \$70,000 for 12 months (\$5,833.33 per month), October 31, 2012 through June 30, 2013. New consecutive term appointment.

Guy, Carrie J., Clinical Assistant Professor of Pediatrics, annualized rate of \$37,724 for 12 months (\$3,143.67 per month), 0.50 time, October 29, 2012 through June 30, 2013.

Hall, Brian Geoffrey, M.D., Assistant Professor of Pediatrics, Tulsa, annualized rate of \$70,000 for 12 months (\$5,833.33 per month), October 30, 2012 through June 30, 2013. New consecutive term appointment.

Johnson, Carole Elizabeth, Ph.D., Professor and Chair of Communication Sciences and Disorders, annualized rate of \$142,500 for 12 months (\$11,875 per month), December 31, 2012 through June 30, 2013. Tenure credential under review. Tenurable base \$130,000. Includes an administrative supplement of \$12,500 while serving as Chair, Department of Communication Sciences and Disorders.

Stasko, Thomas, M.D., Professor and Chair of Dermatology, annualized rate of \$200,000 for 12 months (\$16,666.67 per month), January 1, 2013 through June 30, 2013. New consecutive term appointment. University base \$120,000. Includes an administrative supplement of \$80,000 while serving as Chair, Department of Dermatology.

Valle, Laura Jeanne, Clinical Assistant in Obstetrics and Gynecology, annualized rate of \$56,000 for 12 months (\$4,666.60 per month), 0.70 time, November 4, 2012 through June 30, 2013.

#### CHANGE(S):

Bidichandani, Sanjay I, title changed from Professor of Biochemistry and Molecular Biology to Professor of Pediatrics; given additional title Adjunct Professor of Biochemistry and Molecular Biology and The CMRI/Claire Gordon Duncan Endowed Research Chair in Pediatric Medical Genetics; title Adjunct Professor of Pediatrics, deleted; salary changed from agreed contract rate to annualized rate of \$177,600 for 12 months (\$14,800.00 per month), November 1, 2012 through June 30, 2013. University base \$80,000; departmental salary \$97,600.

Blakey, Gregory, Assistant Professor of Pathology, given additional title The Oklahoma State Association of Pathologists Professorship, October 1, 2012.

Dbouk, Hassan Ali, title changed from Assistant Professor to Clinical Assistant Professor of Pediatrics, salary changed from annualized rate of \$70,000 for 12 months (\$5,833.33 per month) to agreed contract rate, July 1, 2012 through June 30, 2013. Correction to previous action approved by the Board of Regents on September 19, 2012.

Deak, Ferenc, Assistant Professor of Geriatrics, title The Donald W. Reynolds Chair in Aging Research, deleted, July 24, 2012. Departmental input error.

Deal, Amy L., Assistant Professor of Communication Sciences and Disorders, salary changed from annualized rate of \$71,200 for 12 months (\$5,933.33 per month) to annualized rate of \$61,200 for 12 months (\$5,100.01 per month), October 1, 2012 through June 30, 2013. Removal of an administrative supplement for serving as Allied Health Clinics Co-Administrator.

Gildon, Bradford W., title changed from Clinical Assistant Professor to Assistant Professor of Medical Imaging and Radiation Sciences, salary changed from annualized rate of \$53,040 for 12 months (\$4,420.00 per month) to annualized rate of \$56,040 for 12 months (\$4,670.00 per month), October 1, 2012 through June 30, 2013. New consecutive term appointment.

Hamilton, Toby B., Assistant Professor of Rehabilitation Sciences, salary changed from annualized rate of \$66,565 for 12 months (\$5,547.07 per month) to annualized rate of \$69,065 for 12 months (\$5,775.40 per month), November 1, 2012 through June 30, 2013. Retention.

John III, Kenneth Robert, Professor of Health Promotion Sciences, title Chair of Health Promotion Sciences, deleted, October 1, 2012.

Kimball, Suzanne Howlett, Assistant Professor of Communication Sciences and Disorders, salary changed from annualized rate of \$56,100 for 12 months (\$4,675.00 per month) to annualized rate of \$66,100 for 12 months (\$5,508.33 per month), October 1, 2012 through June 30, 2013. Includes an administrative supplement of \$10,000 while serving as Allied Health Clinics Co-Administrator.

Shalhoop, Holly Marie, Instructor in Internal Medicine, Tulsa, salary changed from annualized rate of \$61,530 for 12 months (\$5,127.50 per month), full time, to annualized rate of \$56,724 for 12 months (\$4,727.00 per month), 0.80 time, October 8, 2012 through June 30, 2013. Includes an administrative supplement of \$8,724 while serving as Admissions Director PA Program. University base \$48,000.

Sternlof, Steven A., Assistant Professor of Research, Department of Pediatrics, salary changed from annualized rate of \$56,129 for 12 months (\$4,677.42 per month), 0.76 time, to annualized rate of \$60,560 for 12 months (\$5,046.69 per month), 0.82 time, October 1, 2012 through June 30, 2013. Change in FTE.

Street, Daron G., Clinical Assistant Professor of Obstetrics and Gynecology, Tulsa, salary changed from annualized rate of \$45,305 for 12 months (\$3,775.42 per month), 0.50 time, to annualized rate of \$500 for 12 months (\$41.67 per month), 0.01 time, October 1, 2012 through June 30, 2013.

Swisher, Lisa, Clinical Associate Professor of Pediatrics and Adjunct Clinical Associate Professor of Psychiatry and Behavioral Sciences, salary changed from annualized rate of \$69,927 for 12 months (\$5,827.25 per month), 0.85 time, to annualized rate of \$65,814 for 12 months (\$5,484.47 per month), 0.80 time, October 1, 2012 through June 30, 2013. Change in FTE.

Yeh, Fawn, Associate Professor of Research, Department of Biostatistics and Epidemiology, salary changed from annualized rate of \$6,472 for 12 months (\$539.34 per month), 0.10 time, to annualized rate of \$3,236 for 12 months (\$269.67 per month), 0.05 time, October 1, 2012 through June 30, 2013. Change in FTE.

Zhang, Ying, Assistant Professor of Research, Department of Biostatistics and Epidemiology, salary changed from annualized rate of \$6,369 for 12 months (\$530.76 per month), 0.10 time, to annualized rate of \$84,000 for 12 months (\$7,000.00 per month), full time, September 30, 2012 through June 30, 2013.

#### NEPOTISM WAIVER(S):

Rodgers, William, Ph.D., Assistant Professor of Research, Department of Biochemistry and Molecular Biology. Dr. William Rodgers is the spouse of Dr. Karla Rodgers, Associate Professor, Department of Biochemistry and Molecular Biology, and who serves as the principal investigator of the research studies. Dr. William Rodgers is an expert on using fluorescence microscopy methods to visualize protein localization and dynamics in living cells. He and Dr. Karla Rodgers have collaborated on using these methods and his expertise would be an invaluable asset to her research studies. Performance evaluations, recommendations for compensation, promotion, and awards for Dr. William Rodgers will be conducted by the department chair, Dr. Paul Weigel. Dr. Karla Rodgers is removed from any and all financial and supervisory matters related to Dr. William Rodgers.

#### RESIGNATION(S) AND/OR TERMINATION(S):

Horn, Frances M., Clinical Assistant Professor of Family Medicine, Tulsa, October 1, 2012.  
Le, Hamilton S., Assistant Professor of Surgery, October 31, 2012.

Mattson, Rodger Curtis, Assistant Professor of Family and Preventive Medicine, November 30, 2012. Accepted position out of state.

Nix, Sean Allen, Assistant Professor of Surgery, November 15, 2012.

Sachdev, Goverdhan Pal, Professor Emeritus of Pharmaceutical Sciences, November 1, 2012.

#### RETIREMENT(S):

Broyles, Robert Wayne, Professor of Health Administration and Policy. Named Professor Emeritus of Health Administration and Policy, October 11, 2012. Approval of Emeritus title only. Retirement previously approved by the Board of Regents' on September 12, 2012.

Sacra, John, Clinical Associate Professor of Emergency Medicine, Tulsa. Named Professor Emeritus of Emergency Medicine, Tulsa, September 25, 2012. Approval of Emeritus title only. Retirement previously approved by the Board of Regents' on September 12, 2012.

#### Norman Campus:

#### LEAVE(S) OF ABSENCE:

Coodin, Sara, Assistant Professor of Classics and Letters, leave of absence without pay, January 1, 2013 through May 15, 2013.

Ju, Jiandong, Professor of Economics, family and medical leave of absence, August 16, 2012 through November 8, 2012; leave of absence with partial pay, November 9, 2012 through December 31, 2012, salary changed from annualized rate of \$72,251 for 9 months (\$8,027.86 per month), 0.65 time, to annualized rate of \$111,155 for 9 months (\$12,350.56 per month), 1.00 time, January 1, 2013.

Loke, Jaime, Assistant Professor of Journalism and Mass Communication, family and medical leave of absence, October 1, 2012 through October 15, 2012.

Schwandt, John, Associate Professor of Music, sabbatical leave of absence with full pay from January 1, 2013 through May 15, 2013, changed to sabbatical leave of absence with full pay from August 16, 2013 through December 31, 2013.

Swan, Daniel C., Associate Professor of Anthropology and of Oklahoma Museum of Natural History, and Curator of Ethnology, Sam Noble Oklahoma Museum of Natural History, sabbatical leave of absence with full pay from January 1, 2013 through May 15, 2013, changed to sabbatical leave of absence with full pay from January 1, 2013 through June 30, 2013. Correction to September 2012 agenda.

#### NEW APPOINTMENT(S):

Bian, Qiaoyan, Scholar, Electrical and Computer Engineering, annualized rate of \$13,200 for 12 months (\$1,100.00 per month), 0.22 time, October 9, 2012. Paid from grant funds; subject to availability of funds.

Davidson, Maria D., Ph.D., Assistant Professor of Marketing and Supply Chain Management, annualized rate of \$56,500 for 9 months (\$6,277.78 per month), January 1, 2013 through May 15, 2015. 2 ½ year renewable term appointment. Transferring from African and African-American Studies Program to Marketing and Supply Chain Management.

Hufnagel, Glenda, Ph.D., Assistant Professor of Human Relations, annualized rate of \$51,500 for 9 months (\$5,722.22 per month), August 16, 2012 through May 15, 2017. Changing from temporary faculty to five-year renewable term appointment.

Randorff, Jack E., Ph.D., Adjunct Lecturer of Architecture, annualized rate of \$15,000 for 12 months (\$1,250.00 per month), November 1, 2012.

Young, Robb A., Lecturer of Religious Studies, rate of \$18,000 for 4.5 months (\$4,000.00 per month), 0.25 time, January 1, 2013 through May 15, 2013.

Zheng, Bin, Ph.D., Professor of Electrical and Computer Engineering, annualized rate of \$150,000 for 9 months (\$16,666.67 per month), January 1, 2013. New tenured faculty.

#### REAPPOINTMENT(S):

Bosse, Eric E., reappointed to a five-year renewable term as Lecturer of Expository Writing Program, annualized rate of \$42,024 for 9 months (\$4,669.33 per month), August 16, 2012 through May 15, 2017.

Cusack, George T., reappointed to a five-year renewable term as Lecturer and Director of the Expository Writing Program, annualized rate of \$81,370 for 12 months (\$6,780.83 per month), July 1, 2012 through June 30, 2017.

Franklin, Lori D., Graduate Liaison of Anne and Henry Zarrow School of Social Work at Tulsa, reappointed to a five-year renewable term as Clinical Assistant Professor of Social Work at Tulsa, annualized rate of \$57,783 for 12 months (\$4,815.25 per month), July 1, 2012 through June 30, 2017.

Haas, Ron M., reappointed to a five-year renewable term as Lecturer of Expository Writing Program, annualized rate of \$42,024 for 9 months (\$4,669.33 per month), August 16, 2012 through May 15, 2017.

Love, Bridget K., reappointed to a five-year renewable term as Lecturer of Expository Writing Program, annualized rate of \$42,024 for 9 months (\$4,669.33 per month), August 16, 2012 through May 15, 2017.

Miller, Frederick H., reappointed as Professor Emeritus of Law, rate of \$15,000 for 4.5 months (\$3,333.33 per month), 0.45 time, January 1, 2013 through May 15, 2013.

Smith, Robert B., reappointed as Professor Emeritus of Law, rate of \$20,000 for 4.5 months (\$4,444.44 per month), 0.45 time, January 1, 2013 through May 15, 2013.

Spector, Robert G., reappointed as Professor Emeritus of Law, rate of \$10,000 for 4.5 months (\$2,222.22 per month), 0.33 time, January 1, 2013 through May 15, 2013.

Steele, Kathryn L., reappointed to a five-year renewable term as Lecturer of Expository Writing Program, annualized rate of \$42,024 for 9 months (\$4,669.33 per month), August 16, 2012 through May 15, 2017.

Weldon, Stephen P., reappointed to a five-year renewable term as Assistant Professor of History of Science and History of Science Society Bibliographer, annualized rate of \$56,460 for 9 months (\$6,273.31 per month), August 16, 2012 through May 15, 2017.

#### CHANGE(S):

Abra, Gordon J., Assistant Professor of Sociology, annualized rate of \$51,500 for 9 months (\$5,722.22 per month), additional stipend of \$4,500 for increased teaching duties in the Department of Sociology, January 1, 2013 through May 15, 2013.



Al-Masri, Mohammad S.H., Assistant Professor of Modern Languages, Literatures and Linguistics, Assistant Professor of International and Area Studies, Director of the Language Flagship Program in Arabic, amend title ConocoPhillips Petroleum Company Professor of International and Area Studies #1 to ConocoPhillips Petroleum Company Professor of Arabic Language, Literature and Culture, salary remains at annualized rate of \$61,800 for 9 months (\$6,866.67 per month), January 1, 2013.

Bemben, Debra A., Professor of Health and Exercise Science, annualized rate of \$77,652 for 9 months (\$8,627.97 per month), additional stipend of \$5,100 for increased teaching duties in the Department of Health and Exercise Science, January 1, 2013 through May 15, 2013.

Bemben, Michael G., Professor and Chair of the Department of Health and Exercise Science, and C. B. Hudson/Torchmark Presidential Professor, annualized rate of \$117,967 for 12 months (\$9,830.55 per month), additional stipend of \$5,100 for increased teaching duties in the Department of Health and Exercise Science, January 1, 2013 through May 15, 2013.

Berkowitz, Robert A., Professor of Biology, salary changed from annualized rate of \$78,302 for 9 months (\$8,700.18 per month) to annualized rate of \$82,302 for 9 months (\$9,144.65 per month), August 16, 2012. Compression increase.

Braun, Erik C., Assistant Professor of Religious Studies, annualized rate of \$59,000 for 9 months (\$6,555.56 per month), additional stipend of \$4,500 for increased teaching duties in the Religious Studies Program, January 1, 2013 through May 15, 2013.

Broughton, Richard E., Associate Professor of Biology and of Oklahoma Biological Survey, salary changed from annualized rate of \$66,119 for 9 months (\$7,346.51 per month) to annualized rate of \$69,619 for 9 months (\$7,735.40 per month), August 16, 2012. Compression increase.

Byers, Lisa G., Associate Professor of Social Work, annualized rate of \$64,586 for 9 months (\$7,176.22 per month), additional stipend of \$4,800 for increased teaching duties in the Anne and Henry Zarrow School of Social Work, January 1, 2013 through May 15, 2013.

Carstarphen, Meta G., Associate Professor of Journalism and Mass Communication, delete title Gaylord Family Professor #6, salary changed from annualized rate of \$94,010 for 9 months (\$10,445.50 per month) to annualized rate of \$83,564 for 9 months (\$9,284.89 per month), January 1, 2013.

Carvallo, Mauricio R., Assistant Professor of Psychology, annualized rate of \$63,036 for 9 months (\$7,004.00 per month), additional stipend of \$5,000 for increased teaching duties in the Department of Psychology, January 1, 2013 through May 15, 2013.

Curiel, Herman, Professor of Social Work, annualized rate of \$74,031 for 9 months (\$8,225.61 per month), additional stipend of \$5,100 for increased teaching duties in the Anne and Henry Zarrow School of Social Work, January 1, 2013 through May 15, 2013.

Dawson II, Daniel T., Research Scientist, changed from Cooperative Institute for Mesoscale Meteorological Studies to Center for Analysis and Prediction of Storms, salary remains at annualized rate of \$60,000 for 12 months (\$5,000.00 per month), January 1, 2013. Paid from grant funds; subject to availability of funds.

d'Humieres, Ghislain, Director and Chief Curator of the Fred Jones Jr. Museum of Art, The Wylodean and Bill Saxon Chair, and Associate Professor of the Art Museum, salary changed from annualized rate of \$199,408 for 12 months (\$16,617.33 per month) to annualized rate of \$209,408 for 12 months (\$17,450.67 per month), November 1, 2012.

Durica, David S., Professor of Biology, salary changed from annualized rate of \$78,778 for 9 months (\$8,753.15 per month) to annualized rate of \$80,278 for 9 months (\$8,919.81 per month), August 16, 2012. Compression increase.

Fincke, Ola M., Professor of Biology, salary changed from annualized rate of \$77,643 for 9 months (\$8,626.95 per month) to annualized rate of \$79,143 for 9 months (\$8,793.61 per month), August 16, 2012. Compression increase.

Goble, Carla B., Research Fellow, Early Childhood Education Institute at Tulsa, salary changed from annualized rate of \$27,000 for 12 months (\$2,250.00 per month), 0.45 time, to annualized rate of \$30,000 for 12 months (\$2,500.00 per month), 0.50 time, November 1, 2012.

Grillot, Suzette R., Professor of International and Area Studies, delete titles Interim and Associate Dean of College of International Studies, and Max Berry International Programs Center Chair; given additional titles Vice Provost of International Programs, Dean of College of International Studies, and William J. Crowe, Jr. Chair in Geopolitics, salary changed from annualized rate of \$177,013 for 12 months (\$14,751.08 per month) to annualized rate of \$194,714 for 12 months (\$16,226.17 per month), December 15, 2012.

Harper, Jon Kyle, Associate Professor of Classics and Letters and Director of the Institute for the American Constitutional Heritage, given additional title Senior Vice Provost – Norman Campus, salary changed from annualized rate of \$98,440 for 12 months (\$8,203.33 per month) to annualized rate of \$160,000 for 12 months (\$13,333.33 per month), January 1, 2013. Additional title and responsibilities.

Hobson, Kenneth R., Associate Professor of Biology, salary changed from annualized rate of \$56,006 for 9 months (\$6,222.89 per month) to annualized rate of \$58,006 for 9 months (\$6,445.11 per month), August 16, 2012. Compression increase.

Hope, Trina L., Associate Professor of Sociology, annualized rate of \$69,500 for 9 months (\$7,722.22 per month), additional stipend of \$4,800 for increased teaching duties in the Department of Sociology, January 1, 2013 through May 15, 2013.

Jiang, Ning, Associate Professor of Electrical and Computer Engineering, given additional title Oklahoma Gas & Electric Co. Professor of Electrical Engineering, salary changed from annualized rate of \$87,998 for 9 months (\$9,777.56 per month) to annualized rate of \$97,998 for 9 months (\$10,888.67 per month), October 1, 2012.

Jones, Curtis R., Associate Professor and Graduate Liaison of the School of Art and Art History, given additional title Coordinator of the MFA Programs, School of Art and Art History, salary remains at annualized rate of \$57,000 for 9 months (\$6,333.39 per month), August 16, 2012.

Kaspari, Michael E., Professor of Biology and President's Associates Presidential Professor, salary changed from annualized rate of \$94,368 for 9 months (10,485.32 per month) to annualized rate of \$102,868 for 9 months (\$11,429.76 per month), August 16, 2012. Compression increase.

Kelly, Jeffrey F., Associate Professor of Biology and of Oklahoma Biological Survey, and Associate Heritage Zoologist of Oklahoma Biological Survey, salary changed from annualized rate of \$76,891 for 12 months (\$6,407.61 per month) to annualized rate of \$80,391 for 12 months (\$6,699.28 per month), August 1, 2012. Compression increase.

Kerr, Robert L., Professor of Journalism and Mass Communication and Edith Kinney Gaylord Presidential Professor, given additional title Gaylord Family Professor #2, salary changed from annualized rate of \$75,447 for 9 months (\$8,383.01 per month) to annualized rate of \$83,830 for 9 months (\$9,314.46 per month), January 1, 2013.

Ketchum, Heather R., Associate Professor of Biology, salary changed from annualized rate of \$56,006 for 9 months (\$6,222.89 per month) to annualized rate of \$60,536 for 9 months (\$6,726.22 per month), August 16, 2012; additional stipend of \$6,800 for increased teaching duties in the Department of Biology, January 1, 2013 through May 15, 2013.

Kimball, Charles A., Professor and Director of Religious Studies Program and President's Associates Presidential Professor, annualized rate of \$180,250 for 12 months (\$15,020.83 per month), additional stipend of \$5,100 for increased teaching duties in the Religious Studies Program, January 1, 2013 through May 15, 2013.

Knapp, Rosemary, Associate Professor of Biology and Adjunct Associate Professor of Women's and Gender Studies, salary changed from annualized rate of \$72,097 for 9 months (\$8,010.74 per month) to annualized rate of \$76,597 for 9 months (\$8,510.74 per month), August 16, 2012.  
Compression increase.

Knox, Robert C., Professor and Director of the School of Civil Engineering and Environmental Science, Ted A. Kritikos Professor of Civil Engineering, and Samuel Roberts Noble Presidential Professor, salary changed from annualized rate of \$153,964 for 12 months (\$12,830.31 per month) to annualized rate of \$163,964 for 12 months (\$13,663.65 per month), October 1, 2012.

Kujawa, Jonathan, Associate Professor of Mathematics, salary changed from annualized rate of \$70,821 for 9 months (\$7,869.00 per month) to annualized rate of \$84,000 for 9 months (\$9,333.33 per month), January 1, 2013. Retention increase.

Maiden, Jeffrey, Professor of Educational Leadership and Policy Studies, annualized rate of \$71,079 for 9 months (\$7,897.68 per month), additional stipend of \$8,000 for increased teaching duties in the Department of Educational Leadership and Policy Studies at Tulsa, August 16, 2012 through December 31, 2012.

Marsh-Matthews, Edith C., Associate Professor of Biology, Associate Curator of Ichthyology and Associate Professor of Sam Noble Oklahoma Museum of Natural History, salary changed from annualized rate of \$93,912 for 12 months (\$7,826.02 per month) to annualized rate of \$95,912 for 12 months (\$7,992.69 per month), August 1, 2012. Compression increase.

Masly, John P., Assistant Professor of Biology, salary changed from annualized rate of \$67,980 for 9 months (\$7,553.33 per month) to annualized rate of \$70,980 for 9 months (\$7,886.67 per month), August 16, 2012. Compression increase.

Metcalf, R. Warren, Associate Professor of History, annualized rate of \$61,164 for 9 months (\$6,795.99 per month), additional stipend of \$4,800 for increased teaching duties in the Department of History, January 1, 2013 through May 15, 2013.

Peppler, Randy A., Research Scientist, Cooperative Institute for Mesoscale Meteorological Studies, given additional title Lecturer of Geography and Environmental Sustainability, salary remains at annualized rate of \$139,000 for 12 months (\$11,583.33 per month), January 1, 2013. Appointment split .75 FTE in Cooperative Institute for Mesoscale Meteorological Studies and .25 in Geography and Environmental Sustainability.

Refai, Hazem H., Professor of Electrical and Computer Engineering and Director of EMC Test Lab, given additional title Williams Professor of Telecommunications Networking, salary changed from annualized rate of \$110,021 for 9 months (\$12,224.56 per month) to annualized rate of \$115,000 for 9 months (\$12,777.78 per month), October 1, 2012.

Rice, Charles V., Associate Professor of Chemistry and Biochemistry, annualized rate of \$84,364 for 9 months (\$9,373.83 per month), additional stipend of \$5,000 for increased teaching duties in the Department of Chemistry and Biochemistry, August 16, 2012 through December 31, 2012.

Safiejkomrocza, Barbara, Associate Professor of Biology, salary changed from annualized rate of \$57,890 for 9 months (\$6,432.24 per month) to annualized rate of \$59,890 for 9 months (\$6,654.46 per month), August 16, 2012. Compression increase.

Schlupp, Ingo B., Professor of Biology and Brian E. and Sandra O'Brien Presidential Professor, salary changed from annualized rate of \$109,836 for 9 months (\$12,203.94 per month) to annualized rate of \$115,336 for 9 months (\$12,815.06 per month), August 16, 2012. Compression increase.

Sharp, Susan F., Professor of Sociology and L.J. Semrod Presidential Professor, annualized rate of \$104,524 for 9 months (\$11,613.83 per month), additional stipend of \$5,100 for increased teaching duties in the Department of Sociology, January 1, 2013 through May 15, 2013.

Shi, Zhisheng, Professor of Electrical and Computer Engineering and Gerald Tuma Presidential Professor, salary changed from annualized rate of \$118,949 for 9 months (\$13,216.50 per month) to annualized rate of \$145,000 for 9 months (\$16,111.11 per month), October 1, 2012.

Southerland, Joshua B., Research Associate, Computer Science, salary changed from annualized rate of \$50,050 for 12 months (\$4,170.83 per month), 0.77 time, to annualized rate of \$65,000 for 12 months (\$5,416.66 per month), 1.00 time, December 1, 2012. Paid from grant funds; subject to availability of funds.

St. John, Craig A., Professor and Chair of the Department of Sociology, annualized rate of \$134,078 for 12 months (\$11,173.17 per month), additional stipend of \$5,100 for increased teaching duties in the Department of Sociology, January 1, 2013 through May 15, 2013.

Trachtenberg, Zev M., Associate Professor of Philosophy, annualized rate of \$61,249 for 9 months (\$6,805.39 per month), and additional stipend of \$4,800 for increased teaching duties in the Department of Sociology, August 16, 2012 through December 31, 2012; and \$4,800 for increased teaching duties in the Department of Sociology, January 1, 2013 through May 15, 2013.

Tsetsura, Yekaterina Y., Associate Professor of Journalism and Mass Communication, given additional title Gaylord Family Professor #1, salary changed from annualized rate of \$67,087 for 9 months (\$7,454.11 per month) to annualized rate of \$74,541 for 9 months (\$8,282.34 per month), January 1, 2013.

Tull, Monte P., Professor Emeritus of Electrical and Computer Engineering, salary changed from rate of \$10,000 for 4.5 months (\$2,222.22 per month), 0.25 time, to rate of \$12,000 for 4.5 months (\$2,666.67 per month), 0.25 time, November 1, 2012 through December 31, 2012.

Wellborn, Gary A., Associate Professor of Biology and Director of Oklahoma Biological Station, salary changed from annualized rate of \$95,408 for 12 months (\$7,950.67 per month) to annualized rate of \$99,408 for 12 months (\$8,284.00 per month), August 1, 2012. Compression increase.

#### NEPOTISM WAIVER(S):

Zhu, Ye, Research Scientist, Chemistry and Biochemistry, annualized rate of \$72,000 for 12 months (\$6,000.00 per month), January 1, 2013. Ms. Ye Zhu is the wife of Dr. Chuanbin Mao, Professor of Chemistry and Biochemistry. Ms. Zhu has expertise in using biotemplates to grow nanomaterials and will use those skills in Dr. Mao's lab. She will also facilitate Dr. Mao's collaboration with other faculty working on nano-device. Mr. Zhu will report directly to Dr. George Richter-Addo, Chair of the Department of Chemistry and Biochemistry. Dr. Richter-Addo will determine her salary raise/cut, evaluate her performance, and manage the situation if potential conflicts arise. A Nepotism Waiver Management Plan has been reviewed and approved to ensure that Dr. Mao is removed from any and all financial and supervisory matters related to Ms. Zhu.

RESIGNATION(S)/TERMINATION(S):

Chesley, Patrick J., Assistant Professor of Law, January 1, 2013.

Lu, Juan, Research Scientist, Chemistry and Biochemistry, November 17, 2012.

RETIREMENT(S):

Robbins, Betty J., Assistant Professor of Marketing and Supply Chain Management and Adjunct Assistant Professor of Women's and Gender Studies, November 1, 2012.

President Boren recommended the Board of Regents approve the academic personnel actions shown above.

Regent Bennett moved approval of the recommendation. The following voted yes on the motion: Regents Dunning, Clark, Stuart, Weitzenhoffer, Bennett and Humphreys. The Chair declared the motion unanimously approved.

President Boren regretted to report the following death(s):

Mankin, Charles J., retired Director of Oklahoma Geological Survey and Regent's Professor of Geology and Geophysics, November 13, 2012.

Whinery Sr., Leo H., Professor Emeritus of Law, November 11, 2012.

**ADMINISTRATIVE AND PROFESSIONAL PERSONNEL ACTIONS – NC & HSC**

Health Sciences Center:

APPOINTMENT(S):

Bubb, Karen Sue, Cardiac Sonographer, OU Physicians Faculty Clinics, College of Medicine, annualized rate of \$75,000 for 12 months (\$6,250.00 per month), October 29, 2012. Technical/Paraprofessional.

George, Regina, Nurse Practitioner, Medicine Gastroenterology, College of Medicine, annualized rate of \$75,000 for 12 months (\$6,250.00 per month), December 1, 2012. Professional Nonfaculty.

Hays, Lisa J., Nurse Practitioner, Obstetrics and Gynecology, College of Medicine, annualized rate of \$77,000 for 12 months (\$6,416.67 per month), October 15, 2012. Professional Nonfaculty.

Hebensperger, Ashley J., Nurse Practitioner, Pediatrics, College of Medicine, annualized rate of \$89,000 for 12 months (\$7,416.67 per month), October 29, 2012. Professional Nonfaculty.

REAPPOINTMENT(S):

Carson, Bree D., Business Manager, Nursing Office of the Dean, College of Nursing, annualized rate of \$66,000 for 12 months (\$5,500.00 per month), November 19, 2012. Managerial Staff.

Dawson, Marisha L., Clinic Nurse Manager, Cancer Center Clinical Services, College of Medicine, annualized rate of \$68,000 for 12 months (\$5,666.67 per month), November 5, 2012. Managerial Staff.

Holderread, Bethany Paige, Clinical Pharmacist, Pharmacy Management Consultant, College of Pharmacy, annualized rate of \$88,901 for 12 months (\$7,408.45 per month), November 16, 2012. Professional Nonfaculty.

Standage, Sheryl A., Nurse Practitioner, Peggy and Charles Stephenson Cancer Center, College of Medicine, annualized rate of \$90,000 for 12 months (\$7,500.00 per month), November 1, 2012. Professional Nonfaculty.

Wells III, Lyle Avery, Data Management Analyst III, CMT Medical Informatics, College of Medicine - Tulsa, annualized rate of \$69,597 for 12 months (\$5,799.75 per month), October 1, 2102. Professional Nonfaculty.

#### CHANGE(S):

Birdwell, Pamela, Director of Quality & Credentialing, OU Physicians, College of Medicine, salary changed from an annualized rate of \$105,396 for 12 months (\$8,783.03 per month) to an annualized rate of \$107,504 for 12 months (\$8,958.67 per month), October 1, 2012. Administrative Staff. Merit.

Boss, Evynn V., Nurse Practitioner, department changed from Pediatrics, College of Medicine, to Obstetrics and Gynecology, College of Medicine, salary changed from an annualized rate of \$83,467 for 12 months (\$6,955.59 per month) to an annualized rate of \$84,000 for 12 months (\$7,000.00 per month), November 1, 2012. Professional Nonfaculty. Departmental transfer with pay increase.

Greenway, Claudette S., title changed from Director of Enterprise Support Center, Medicine Office of the Dean, College of Medicine, to Associate Director of Clinical Operations, OU Physicians, College of Medicine, salary changed from an annualized rate of \$124,236 for 12 months (\$10,353.00 per month) to an annualized rate of \$120,000 for 12 months (\$10,000.00 per month), November 12, 2012. Administrative Staff. Departmental transfer.

Le, Christendoza Kim, title changed from Pharmacist Coordinator, Pharmacy Management Consultant, College of Pharmacy, to Pharmacist Manager, Pharmacy Management Consultant, College of Pharmacy, salary changed from an annualized rate of \$96,866 for 12 months (\$8,072.20 per month) to an annualized rate of \$103,500 for 12 months (\$8,625.00 per month), October 1, 2012. Managerial Staff. Promotion.

Malone, Linda, Director of OU Physicians Contracting, OU Physicians, College of Medicine, salary changed from an annualized rate of \$106,282 for 12 months (\$8,856.83 per month) to an annualized rate of \$108,407 for 12 months (\$9,033.92 per month), October 1, 2012. Administrative Staff. Merit.

Miller, Teresa Beth, Physician Assistant I, Obstetrics and Gynecology, College of Medicine, salary changed from an annualized rate of \$86,700 for 12 months (\$7,225.00 per month) to an annualized rate of \$73,695 for 12 months (\$6,141.25 per month), November 1, 2012. Professional Nonfaculty. FTE decrease from 100% to 85%.

Rahal, Patricia Staires, title changed from Senior Human Resources Analyst, Tulsa Human Resources, Administrative Affairs Tulsa, to Director of Human Resources Tulsa, Tulsa Human Resources, Administrative Affairs Tulsa, salary changed from an annualized rate of \$50,927 for 12 months (\$4,243.92 per month) to an annualized rate of \$80,000 for 12 months (\$6,666.67 per month), December 1, 2012. Administrative Staff. Promotion.

Redmond, Kathleen Marie, title changed from Registered Research Nurse, Pediatrics, College of Medicine, to Clinical Research Nurse II, Pediatrics, College of Medicine, salary changed from an annualized rate of \$55,702 for 12 months (\$4,641.83 per month) to an annualized rate of \$60,702 for 12 months (\$5,058.50 per month), November 1, 2012. Professional Nonfaculty. Promotion.

Sund, Paul, Marketing Director, OU Physicians, College of Medicine, salary changed from an annualized rate of \$112,200 for 12 months (\$9,350.00 per month) to an annualized rate of \$114,444 for 12 months (\$9,537.00 per month), October 1, 2012. Administrative Staff. Merit.

TERMINATION(S):

Hutton, Michael Dennis, Data Management Analyst II, CMT Medical Informatics, College of Medicine - Tulsa, November 28, 2012. Resignation-other position.

Sanders, Judy Carolyn, Nurse Practitioner, OU Physicians Health @ Work, College of Medicine - Tulsa, November 10, 2012. Resignation-other position.

Valentine, Buddy D., Assistant to the Director of the OUHSC Research Resources, Comparative Medicine, College of Medicine, November 1, 2012. Resignation.

RETIREMENT(S):

Rettig, Sana S., Sponsored Program Coordinator, Pediatrics, College of Medicine, February 1, 2013.

Norman Campus:

NEW APPOINTMENT(S):

Alford, William, Development Associate II, Athletic Department, salary at annualized rate of \$180,000 for 12 months (\$15,000 per month), November 12, 2012. Managerial Staff.

Brooks, Fletcher, Coach/Sports Professional II, Athletic Department, salary at annualized rate of \$70,000 for 12 months (\$5,833.33 per month), October 22, 2012. Managerial Staff.

Corbett, Christopher W., Scientist/Researcher III, Technology Transfer, salary at annualized rate of \$96,500 for 12 months (\$8,041.67 per month), January 2, 2013. Professional Staff.

Leach, Holly Ann, Assistant Manager, IT Store [Managerial Associate I], Information Technology, salary at annualized rate of \$70,000 for 12 months (\$5,833.33 per month), November 19, 2012. Managerial Staff.

Lodge-Guttery, Chelle'M, Director (Administrative Officer), Disability Resource Center, salary at annualized rate of \$75,000 for 12 months (\$6,250.00 per month), November 1, 2012. Administrative Officer.

Meade, Michael, Associate Athletics Director for Academics (Academic Counseling Professional III), salary at the annualized rate of \$125,000 for 12 months (\$10,416.67 per month), December 10, 2012. Administrative Staff.

Sheriff, Jeb, Information Technology Analyst II, salary at annualized rate of \$68,000 for 12 months (\$5,666.67 per month), November 26, 2012. Managerial Staff.

Welch, Scott M., Architectural/Engineering Professional III, Engineering, salary at annualized rate of \$70,000 for 12 months (\$5,833.33 per month), November 19, 2012. Professional Staff.

CHANGES(S):

Arthur, Larry, Auditor III, Internal Auditing, salary changed from annualized rate of \$74,970 for 12 months (\$6,247.50 per month) to annualized rate of \$77,500 for 12 months (\$6,458.33 per month), December 1, 2012. Managerial Staff. Market salary adjustment.

Ashmore, Steven S., Staff Attorney, Office of Legal Counsel, salary changed from annualized rate of \$104,069 for 12 months (\$8,672.00 per month) to annualized rate of \$115,000 for 12 months (\$9,583.33 per month), December 1, 2012. Administrative Staff. Additional job responsibilities

Berry, Stanley A., Architectural/Engineering Professional III, Engineering, salary changed from annualized rate of \$66,300 for 12 months (\$5,525.00 per month) to annualized rate of \$70,000 for 12 months (\$5,833.33 per month), November 1, 2012. Professional Staff. Additional duties.

Bighorse, Aaron L., title changed from Information Technology Analyst III to Shared Services Private Cloud Engineering Manager [Information Technology Architect I], Information Technology, salary changed from annualized rate of \$68,942 for 12 months (\$5,745.20 per month) to annualized rate of \$85,000 for 12 months (\$7,083.33 per month), November 1, 2012. Managerial Staff. Promotion.

Braun, Janet K., Scientist/Researcher IV, Oklahoma Museum of Natural History, salary changed from annualized rate of \$95,777 for 12 months (\$7,981.42 per month) to annualized rate of \$100,000 for 12 months (\$8,333.33 per month), September 1, 2012. Professional Staff. Increased responsibilities.

Campbell, Nancy S., Financial Associate I, Meteorology, salary changed from annualized rate of \$60,530 for 12 months (\$5,044.17 per month) to annualized rate of \$65,978 for 12 months (\$5,498.17 per month), November 1, 2012. Managerial Staff. Internal equity.

Clements, Dusty, Assistant Athletics Director (Development Associate I) salary changed from annualized rate of \$70,000 for 12 months (\$5,833.33 per month) to annualized rate of \$80,000 for 12 months (\$6,666.67 per month), December 1, 2012. Managerial Staff. Increased responsibilities and merit.

Clink, Carolyn, Auditor III, Internal Auditing, salary changed from annualized rate of \$74,970 for 12 months (\$6,247.50 per month) to annualized rate of \$78,500 for 12 months (\$6,541.67 per month), December 1, 2012. Managerial Staff. Market salary adjustment.

Cook, Christopher, title changed from Information Technology Analyst II, Oklahoma Climate Survey to Information Technology Analyst III, Center for Analysis and Prediction of Storms and Research Associate, Electrical and Computer Engineering, salary changed from annualized rate of \$52,000 for 12 months (\$4,333.33 per month) to annualized rate of \$72,600 for 12 months (\$6,050.00 per month), November 10, 2012. Managerial Staff. Accept other job on campus – split appointment – 90% IT Analyst III and 10% Research Associate.

Czaplewski, Nicholas J., Scientist/Researcher IV, Oklahoma Museum of Natural History, salary changed from annualized rate of \$80,223 for 12 months (\$6,685.25 per month) to annualized rate of \$90,223 for 12 months (\$7,518.58 per month), September 1, 2012. Professional Staff. Increased responsibilities.

Dagg, David L., Administrator II, Oklahoma Museum of Natural History, salary changed from annualized rate of \$55,724 for 12 months (\$4,643.65 per month) to annualized rate of \$65,000 for 12 months (\$5,416.67 per month), September 1, 2012. Administrative Staff. Increased responsibilities.

Davidson, Melanie G., Administrator III, Oklahoma Museum of Natural History, salary changed from annualized rate of \$83,799 for 12 months (\$6,983.25 per month) to annualized rate of \$95,000 for 12 months (\$7,916.67 per month), September 1, 2012. Administrative Staff. Increased responsibilities.

Elizondo Cecena, Francisco J., Information Technology Analyst III, Center for Educational and Community Renewal, salary changed from annualized rate of \$77,250 for 12 months (\$6,437.50 per month) to annualized rate of \$81,750 for 12 months (\$6,812.50 per month), November 1, 2012. Managerial Staff. Internal Promotion.



George, Kendall A., title changed from Information Technology Analyst III to Information Technology Advisor IV, Information Technology, salary remains at annualized rate of \$85,000 for 12 months (\$7,083.33 per month), November 1, 2012. Managerial Staff. Internal transfer.

Goodspeed, Suzanne Y., Information Technology Specialist III, Information Technology, salary changed from annualized rate of \$67,227 for 12 months (\$5,602.25 per month) to annualized rate of \$70,227 for 12 months (\$5,852.25 per month), October 1, 2012. Managerial Staff. Increased responsibilities.

Greer, Susan, Information Technology Specialist II, Development Office, salary changed from annualized rate of \$52,384 for 12 months (\$4,365.33 per month) to annualized rate of \$64,384 for 12 months (\$5,365.33 per month), January 1, 2013. Managerial Staff. Increased responsibilities.

Hennessey, John R., Information Technology Specialist II, Library Systems, salary changed from annualized rate of \$56,000 for 12 months (\$4,666.67 per month) to annualized rate of \$62,500 for 12 months (\$5,208.33 per month), December 1, 2012. Managerial Staff. Market salary adjustment.

Herron, Anthony, Auditor III, Internal Auditing, salary changed from annualized rate of \$73,500 for 12 months (\$6,125.00 per month) to annualized rate of \$77,500 for 12 months (\$6,458.33 per month), December 1, 2012. Managerial Staff. Market salary adjustment.

Kelly, Beth A., Financial Associate II, Athletic Department, salary changed from annualized rate of \$59,174 for 12 months (\$4,931.20 per month) to annualized rate of \$62,000 for 12 months (\$5,166.67 per month), October 1, 2012. Managerial Staff. Increased responsibilities and merit.

Key, Nicholas B., title changed from Administrator II to Director of Community Experience [Administrator III], Information Technology, salary remains at annualized rate of \$109,000 for 12 months (\$9,083.33 per month), November 1, 2012. Administrative Staff. Job re-classification.

Leach, Kevin R., Program Specialist III, Risk Management Director's Office, salary changed from annualized rate of \$104,930 for 12 months (\$8,744.17 per month) to annualized rate of \$80,000 for 12 months (\$6,666.67 per month), September 20, 2012. Managerial Staff. Interim appointment ended.

Lee, Luther, Associate Athletics Director/Chief Financial Officer (Managerial Associate II) salary changed from annualized rate of \$90,000 for 12 months (\$7,500.00 per month) to annualized rate of \$100,000 for 12 months (\$8,333.33 per month), December 1, 2012. Administrative Staff. Increased responsibilities and merit.

Livingood, Susannah B., title changed from Assistant Director [Administrator II] to Associate Provost and Director [Administrator IV], Institutional Research and Reporting, salary changed from annualized rate of \$61,200 for 12 months (\$5,100.00 per month) to annualized rate of \$119,246 for 12 months (\$9,937.15 per month), January 2, 2013. Administrative Staff. Job reclassification.

Luczycki, Thomas J., Program Specialist II, Oklahoma Museum of Natural History, salary changed from annualized rate of \$58,403 for 12 months (\$4,866.90 per month) to annualized rate of \$65,000 for 12 months (\$5,416.67 per month), September 1, 2012. Managerial Staff. Increased responsibilities.

Marley, Tim, Auditor III, Internal Auditing, salary changed from annualized rate of \$85,000 for 12 months (\$7,083.33 per month) to annualized rate of \$90,000 for 12 months (\$7,500.00 per month), December 1, 2012. Managerial Staff. Market salary adjustment.

Martin, Brandon, Senior Associate Athletics Director (Administrator III) salary changed from annualized rate of \$124,000 for 12 months (\$10,333.33 per month) to annualized rate of \$130,000 for 12 months (\$10,833.33 per month), December 1, 2012. Administrative Staff. Increased responsibilities and merit.

McCombs, Rachel, Director, Open Records Office, salary changed from annualized rate of \$66,300 for 12 months (\$5,525.00 per month) to annualized rate of \$73,000 for 12 months (\$6,083.33 per month). December 1, 2012. Administrative Staff. Additional job responsibilities

Meier, Brandon, Assistant Athletics Director (Media Specialist II) salary changed from annualized rate of \$105,000 for 12 months (\$8,750.00 per month) to annualized rate of \$110,000 for 12 months (\$9,166.67 per month), December 1, 2012. Administrative Staff. Increased responsibilities and merit.

Menard, Katrina L., Scientist/Researcher II, Oklahoma Museum of Natural History, salary changed from annualized rate of \$50,000 for 12 months (\$4,166.67 per month) to annualized rate of \$60,000 for 12 months (\$5,000.00 per month), December 1, 2012. Professional Staff. Increased responsibilities.

Mossman, Kenneth, Senior Associate Athletics Director (Administrator III) salary changed from annualized rate of \$150,000 for 12 months (\$12,500.00 per month) to annualized rate of \$160,000 for 12 months (\$13,333.33 per month), December 1, 2012. Administrative Staff. Increased responsibilities and merit.

Mumma, Randy C., Information Technology Analyst II, Information Technology, salary changed from annualized rate of \$78,540 for 12 months (\$6,545.00 per month) to annualized rate of \$79,716 for 12 months (\$6,643.01 per month), October 1, 2012, Managerial Staff. Increased responsibilities.

Naifeh, Lawrence, Executive Associate Athletics Director, salary changed from annualized rate of \$185,000 for 12 months (\$15,416.67 per month) to annualized rate of \$195,000 for 12 months (\$16,250.00 per month), December 1, 2012. Administrative Staff. Increased responsibilities and merit.

Nicar, Nicolette D., Financial Associate II, Honors College, salary changed from annualized rate of \$60,000 for 12 months (\$5,000.00 per month) to annualized rate of \$72,000 for 12 months (\$6,000 per month), October 1, 2012. Managerial Staff. Merit and equity.

Rankin, Charles E., Administrator II, University Press, salary changed from annualized rate of \$101,580 for 12 months (\$8,464.98 per month) to annualized rate of \$113,580 for 12 months (\$9,464.98 per month), October 1, 2012. Administrative Staff. Additional responsibilities.

Redden, Amy D., Information Technology Analyst II, Information Technology Merrick, salary changed from annualized rate of \$71,400 for 12 months (\$5,950.00 per month) to annualized rate of \$73,400 for 12 months (\$6,116.67 per month), October 1, 2012. Managerial Staff. Increased responsibilities and merit.

Reiss, Fredrick A., Information Technology Analyst II, Library Systems, salary changed from annualized rate of \$61,132 for 12 months (\$5,094.33 per month) to annualized rate of \$67,000 for 12 months (\$5,583.33 per month), December 1, 2012. Managerial Staff. Market salary adjustment.

Roberts, Lindy, Associate Athletics Director (Managerial Associate II) salary changed from annualized rate of \$95,000 for 12 months (\$7,916.67 per month) to annualized rate of \$105,000 for 12 months (\$8,750.00 per month), December 1, 2012. Administrative Staff. Increased responsibilities and merit.

Si, Tae H., Information Technology Analyst II, Center for Educational and Community Renewal, salary changed from annualized rate of \$66,950 for 12 months (\$5,579.17 per month) to annualized rate of \$70,850 for 12 months (\$5,904.17 per month), November 1, 2012. Managerial Staff. Internal promotion.

Strong, Walter B., title changed from Administrator II to Director (Administrative Officer), Airport Administration Office, salary remains at annualized rate of \$88,841 for 12 months (\$7,403.44 per month), November 1, 2012. Job re-classification.

Swaminathan, Gayathri, title changed from Information Technology Analyst II to Information Technology Analyst III, Information Technology, salary remains at annualized rate of \$75,000 for 12 months (\$6,250.00 per month), November 1, 2012. Managerial Staff. Job re-classification.

Thomas, Alison G., Director, HSC Food Court [Administrator II], Food Services Administration, salary changed from annualized rate of \$65,000 for 12 months (\$5,416.67 per month) to annualized rate of \$70,000 for 12 months (\$5,833.33 per month), November 1, 2012. Administrative Staff. Merit.

Tipton, Greg, Associate Athletics Director (Managerial Associate II) salary changed from annualized rate of \$95,000 for 12 months (\$7,916.67 per month) to annualized rate of \$105,000 for 12 months (\$8,750.00 per month), December 1, 2012. Administrative Staff. Increased responsibilities and merit.

Tomas, Lisa D., title changed from Managerial Associate I to Managerial Associate II, Information Technology, salary remains at annualized rate of \$72,000 for 12 months (\$6,000.00 per month), November 1, 2012. Job re-classification.

Turkington, Breck B. title changed from Director, Registration and Classroom Scheduling [Administrator III] to Associate Registrar and Director of Enrollment and Academic Records Services [Administrator III], Registration and Classroom Scheduling, salary changed from annualized rate of \$85,038 for 12 months (\$7,086.54 per month) to annualized rate of \$95,000 for 12 months (\$7,916.67 per month), November 1, 2012. Administrative Staff. Additional duties and responsibilities.

Williams, Leslie A., delete titles Associate Director and Research Associate Professor of K20 Center for Educational and Community Renewal, given additional title Director of K20 Center for Educational and Community Renewal [Administrator III], salary remains at annualized rate of \$97,850 for 12 months (\$8,154.17 per month), November 1, 2012. Job-reclassification

Wilson, Geoffrey, Information Technology Analyst, Information Technology, salary changed from annualized rate of \$81,600 for 12 months (\$6,800.00 per month) to annualized rate of \$83,232 for 12 months (\$6,936.00 per month), October 1, 2012. Managerial Staff. Increased responsibilities and merit.

#### RESIGNATION(S)/TERMINATION(S):

Cremeans, Brian L., Information Technology Analyst II, Information Technology, November 1, 2012. Resignation-accepted position outside OU.

Foss Bradford, Karen L., Trainer/Health Services Associate II, Goddard Health Center, December 5, 2012. Resignation – accepted position out of state.

Hamm, Elaine E., Administrator III, Technology Transfer, November 1, 2012. Resignation-other position.

Hart, Brian R., Information Technology Analyst II, Center for Spatial Analysis, November 10, 2012. Resignation – accepted position outside OU.

Kinnard, Robin D., Technical Project Management Specialist III, Southwest Prevention Center, September 19, 2012. Resignation.

Oakley, Michael T., Information Technology Analyst II, Information Technology, November 13, 2012. Resignation.

RETIREMENT(S):

Jorgenson, Cheryl K., Associate Provost and Director [Administrator IV], Institutional Research and Reporting, January 2, 2013.

Tulsa Campus:

RESIGNATION(S)/TERMINATION(S):

Seibold, Kathy N., Director (Administrative Officer), President, Tulsa, December 1, 2012.  
Resignation-accepted position outside OU.

President Boren recommended the Board of Regents approve the administrative and professional personnel actions shown above.

Regent Stuart moved approval of the recommendation. The following voted yes on the motion: Regents Dunning, Clark, Stuart, Weitzenhoffer, Bennett and Humphreys. The Chair declared the motion unanimously approved.

There being no further business, the meeting adjourned at 9:51 a.m.

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Chris A. Purcell, Ph.D.  
Executive Secretary of the Board of Regents

#### 2.6.5 – ACADEMIC CREDIT FOR MILITARY SERVICE

All students who are honorably discharged from the military services of the United States within three years of their enrollment at the Rogers State University or Cameron University are entitled to an award of academic credit for courses that are part of the students' military training or service and that meet the standards of the American Council on Education or equivalent standards. The award of credit shall be based on the University's admission standards and role, scope and mission, and supported by appropriate documentation of the military training or service, such as a form DD214, DA Form 1059, or other.



CAMERON UNIVERSITY  
FY 2012/2013 STIPEND RECOMMENDATION  
PROVIDED TO  
THE UNIVERSITY OF OKLAHOMA BOARD OF REGENTS  
DECEMBER 6, 2012

**Cameron University**  
**FY 2013 Stipend**  
**Administrative Positions Greater than \$60,000 and All Faculty (1)**

<u>Department</u>	<u>Position</u>	<u>Employee Name</u>	<u>Recommended Stipend</u>
Theatre Arts	Assistant Professor	Eric Abbott	874
Communications	Assistant Professor	Stephen Adams	914
Computing & Technology	Associate Professor	Donald Aguilar	1,400
School of Business	Professor	Syed Ahmed	1,400
Psychology	Associate Professor	Ralph Alexander	1,122
Communications	Associate Professor	Tony Allison	1,400
Mathematical Sciences	Professor	Ioannis K. Argyros	1,334
English & Foreign Languages	Assistant Professor	Marie-Ginette Baillargeon	874
Art	Assistant Professor	Andrew Baker	1,123
Criminal Justice & Sociology	Professor	Robert Bausch	1,290
Library	Assistant Professor	Catherine L. Blackman	950
Health & Physical Education	Instructor	Stephanie Boss	1,080
Mathematical Sciences	Instructor	Calandra R. Brazile	706
Physical Sciences	Professor	Clinton D. Bryan	1,299
Physical Sciences	Professor	Gary S. Buckley	1,400
Provost	Associate Vice President	Sylvia Burgess	1,400
Duncan Campus	Director	Susan L. Camp	1,331
English & Foreign Languages	Assistant Professor	William A. Carney	874
Computing & Technology	Associate Professor	Johnny Carroll	1,400
Business Office	Controller	Ninette Carter	1,400
History & Government	Associate Professor	William D. Catterall	1,003
Psychology	Assistant Professor	Jenel Cavazos	958
History & Government	Instructor	Travis M. Childs	749
Mathematical Sciences	Instructor	Sharon M. Christensen	810
History & Government	Assistant Professor	Justin R. Clardie	874
Education	Assistant Professor	Marco Columbus	962
Mathematical Sciences	Instructor	Irene C. Corriette	706
Music	Assistant Professor	Roy L. Couch	874
History & Government	Professor	Suzanne J. Crawford	1,215
Physical Sciences	Associate Professor	Paritosh K. Das	1,113
Education	Associate Professor	Jennifer Dennis	1,123
Computing & Technology	Assistant Professor	Pedro Diaz-Gomez	1,248
Agriculture	Professor	Jerry Dodd	1,400
Mathematical Sciences	Assistant Professor	James Dover	920
Computing & Technology	Associate Professor	Jawad Drissi	1,286
Music	Associate Professor	Alfred C. Duckett	1,248
Criminal Justice & Sociology	Assistant Professor	Martha Dudash	955
Information Tech Services - 11	Assistant Director	Gregory G. Duncan	1,363
Biological Sciences	Associate Professor	Michael Dunn	1,136
Admissions	Director	Zoe DuRant	1,278
Psychology	Professor	Mary Dzindolet	1,344
Mathematical Sciences	Assistant Professor	Rebecca Easley	1,081
Mathematical Sciences	Assistant Professor	Wayne Eby	957
Computing & Technology	Associate Professor	Michael Estep	1,328
Agriculture	Professor	Marvin Fischer	1,370
Biological Sciences	Associate Professor	Dennis Frisby	1,146
Biological Sciences	Assistant Professor	Tahzeeba Frisby	938
Biological Sciences	Instructor	Loree Gaines	816
Biological Sciences	Assistant Professor	Ronald Gaines	832
English & Foreign Languages	Instructor	Ashley N. Garrett	600
Psychology	Associate Professor	John Geiger	1,136
Education	Associate Professor	Courtney Glazer	1,082

**Cameron University**  
**FY 2013 Stipend**  
**Administrative Positions Greater than \$60,000 and All Faculty (1)**

<u>Department</u>	<u>Position</u>	<u>Employee Name</u>	<u>Recommended Stipend</u>
Assoc Vice Pres - Enrollment Mgmt	Associate Vice President	Jamie L. Glover	1,400
English & Foreign Languages	Assistant Professor	Bayard G. Godsave	874
English & Foreign Languages	Instructor	Felicia D. Godwin	726
School of Business	Associate Professor	Roxanne Gooch	1,400
Information Tech Services - 11	Director	Deborah E. Goode	1,400
English & Foreign Languages	Instructor	Marian E. Grooms	612
Communications	Instructor	Jackie Gunn	653
Biological Sciences	Professor	Carla Guthridge	1,211
Financial Assistance	Director	Donald Hall	1,240
Education	Associate Professor	Ramona Hall	1,043
English & Foreign Languages	Assistant Professor	Susan Hall	874
Administration & Supervision	Interim Director	Robert Hanefield	1,400
Reach Higher	Assistant Professor	Karen Hardin	1,019
Education	Assistant Professor	James Hawkins	962
Communications	Associate Professor	James Heflin	1,144
Mathematical Sciences	Assistant Professor	Gregory Herring	1,019
Computing & Technology	Instructor	Teresa Hickerson	694
Education	Assistant Professor	Dana Hilbert	910
School of Business	Instructor	J Beth Hinkle	1,120
School of Business	Assistant Professor	Dwight Hite	1,400
English & Foreign Languages	Associate Professor	John Hodgson	971
Music	Professor	Gregory F. Hoepfner	1,151
Vice President - Student Services	Vice President	Jennifer L. Holland	1,400
Education	Instructor	Pamela Holland	707
Education	Assistant Professor	Jennifer Holloway	957
English & Foreign Languages	Instructor	Brenda Honeycutt	827
Health & Physical Education	Instructor	Andra Hunt	800
Biological Sciences	Associate Professor	Michael Husak	1,174
Athletic Director	Director	James Jackson	1,400
History & Government	Professor	Robert Janda	1,400
History & Government	Professor	Sarah E. Janda	1,157
Mathematical Sciences	Professor	Dragan Jankovic	1,195
Computing & Technology	Assistant Professor	Muhammad Javed	1,144
Communications	Professor	Mattison Jenkins	1,400
Criminal Justice & Sociology	Assistant Professor	Sheri Jenkins Keenan	912
Psychology	Associate Professor	Ricardo Jerez	1,084
Computing & Technology	Professor	Abbas Johari	1,384
Vice President - Univ Advancement	Vice President	Albert Johnson	1,400
English & Foreign Languages	Assistant Professor	Hardy Jones	874
Communications	Associate Professor	Christopher Keller	1,074
English & Foreign Languages	Instructor	Heather S. King	860
English & Foreign Languages	Professor	Margery Kingsley	1,400
Theatre Arts	Professor	Scott Richard Klein	1,300
Criminal Justice & Sociology	Assistant Professor	Gary Kowaluk	898
Education	Assistant Professor	Frank Kuchta	956
Criminal Justice & Sociology	Associate Professor	Maxwell Kwenda	978
Music	Professor	Thomas A. Labe	1,227
Music	Professor	James Lambert	1,330
Psychology	Associate Professor	Antonio Laverghetta	1,040
Criminal Justice & Sociology	Associate Professor	Su Lee	971
Public Affairs	Senior Director	Josh Lehman	1,248
Mathematical Sciences	Assistant Professor	Hong Li	957



**Cameron University**  
**FY 2013 Stipend**  
**Administrative Positions Greater than \$60,000 and All Faculty (1)**

<u>Department</u>	<u>Position</u>	<u>Employee Name</u>	<u>Recommended Stipend</u>
Computing & Technology	Assistant Professor	Tachun Lin	1,100
Art	Associate Professor	Monika Linehan	1,064
Art	Professor	Katherine Liontas-Warren	1,248
English & Foreign Languages	Assistant Professor	Yingqin Liu	874
History & Government	Assistant Professor	Richard T. Longoria de Voltair	840
School of Business	Instructor	Bernadette Lonzanida	1,100
English & Foreign Languages	Professor	Teresa M. Lubrano	1,310
School of Business	Associate Professor	Ken Masters	1,400
Provost	Provost	John M. McArthur	1,400
Education	Instructor	Kelly McClure	886
English & Foreign Languages	Instructor	George McCormick	612
Biological Sciences	Instructor	Brandon McDonald	726
English & Foreign Languages	Instructor	Theresa L. McGrath	645
Physical Sciences	Professor	Danny McGuire	1,345
Information Tech Services - 11	Network Administrator	Keith M. McIsaac	1,243
Art	Associate Professor	Edna McMillan	1,054
History & Government	Assistant Professor	Jeffrey Metzger	874
Mathematical Sciences	Instructor	Barbara F. Meyers	831
Computing & Technology	Associate Professor	Feridoon Moinian	1,356
English & Foreign Languages	Assistant Professor	Hisham Monassar	1,040
History & Government	Assistant Professor	Edris Montalvo	857
Physical Sciences	Associate Professor	Ramiro A. Moro	1,086
English & Foreign Languages	Professor	John G. Morris	1,308
Physical Sciences	Professor	Elizabeth A. Nalley	1,400
School of Business	Assistant Professor	Ankur Nandedkar	1,400
Library	Professor	Judy O. Neale	1,400
Education	Instructor	Cova Newman	775
Criminal Justice & Sociology	Professor	Jonathan Odo	1,400
School of Business	Dean	Oris Odom	1,400
Institutional Research & Assessment	Director	Karla J. Oty	1,400
Reach Higher	Assistant Professor	Mary Penick	1,121
Registrar	Registrar	Linda Phillips	1,400
Library	Associate Professor	Barbara L. Pickthorn	1,213
Vice President - Business & Finance	Vice President	Glen P. Pinkston	1,400
Physical Sciences	Instructor	Mark C. Polson	897
Communications	Associate Professor	Ronald Price	1,083
School of Business	Assistant Professor	Muhammad Qayyum	1,400
Education	Assistant Professor	Holly Rice	860
Education	Associate Professor	Lynda Robinson	1,143
School of Business	Assistant Professor	Pamela Rogers	1,400
President's Office	President (2)	Cynthia S. Ross	1,400
Psychology	Assistant Professor	Joanni Sailor	977
English & Foreign Languages	Instructor	Misael Santiago	730
Psychology	Assistant Professor	Jeff Seger	900
Health & Physical Education	Instructor	Terry V. Shannon	816
Criminal Justice & Sociology	Instructor	Charles Smith	740
Library	Instructor	Jasorn B. Smith	853
Computing & Technology	Instructor	Kenneth Smith	1,007
Library	Instructor	Mandi J. Smith	894
Education	Associate Professor	Michelle Smith	1,053
School of Business	Assistant Professor	Ali Soylu	1,400
History & Government	Professor	Mark J. Stegmaier	1,238

(1) Must Have Performance Rating Satisfactory or Above to Receive a Stipend

(2) Stipend Recommended by Board of Regents' Chairman

**Cameron University**  
**FY 2013 Stipend**  
**Administrative Positions Greater than \$60,000 and All Faculty (1)**

<u>Department</u>	<u>Position</u>	<u>Employee Name</u>	<u>Recommended Stipend</u>
School of Business	Associate Professor	Theunis Steyn	1,400
Biological Sciences	Instructor	Amy Stockman	733
School of Business	Professor	Abdulhamid Sukar	1,400
Mathematical Sciences	Professor	Mohammad A. Tabatabai	1,400
English & Foreign Languages	Professor	Vivian Thomlinson	1,280
CETES	Director	Arun Tilak	1,352
School of Business	Instructor	Gregory Treadwell	1,177
Music	Assistant Professor	Kirsten F. Underwood	966
Provost	Dean	Von E. Underwood	1,400
Provost	Dean	Ronna J. Vanderslice	1,400
Physical Sciences	Professor	Keith R. Vitense	1,278
History & Government	Professor	Richard A. Voeltz	1,223
School of Business	Assistant Professor	Aubree Walton	1,400
Communications	Associate Professor	Justin Walton	1,027
Library	Associate Professor	Wensheng Wang	1,008
Art	Professor	Leslie Warren	1,357
School of Business	Assistant to the Dean	Mark Washburn	1,400
Education - RSU	Instructor	Lisa H. Weis	880
Education	Instructor	Gabriele R. Wethern	707
Music	Professor	Hyunsoon Whang	1,400
Agriculture	Associate Professor	Frankie White	1,241
Education	Instructor	Stephanie R. White	852
Education	Assistant Professor	Deborah J. Williams	860
Academic Research	Director	Anton Wohlers	1,400
Computing & Technology	Associate Professor	Linda Wright-Smith	1,362
Library	Director	Sheridan Young	1,400
Mathematical Sciences	Instructor	Sheila E. Youngblood	693
English & Foreign Languages	Instructor	Kim V. Younger	723
Computing & Technology	Associate Professor	Chao Zhao	1,400
Communications	Assistant Professor	Yanjun Zhao	960
Legal Counsel	General Counsel (2)	Anil Gollahalli	1,400
Legal Counsel	Associate General Counsel (2)	Jaime Hammer	1,400
Legal Counsel	Associate General Counsel (2)	Jeb Joseph	1,400
Legal Counsel	Associate General Counsel (2)	Shawnae Robey	1,400
Regents Office	Staff Assistant II (2)	Christa Bowles	676
Regents Office	Managerial Associate I (2)	Erin Hoffman	949
Regents Office	Vice President for University Governance (2)	Chris Purcell	1,400
Regents Office	Assistant Secretary, Board of Regents (2)	Elizabeth Roberts	1,178
Regents Office	Assistant Secretary, Board of Regents (2)	Debra Skinner	1,400

(1) Must Have Performance Rating Satisfactory or Above to Receive a Stipend  
(2) Stipend Recommended by Board of Regents' Chairman



OKLAHOMA STATE REGENTS FOR HIGHER EDUCATION  
 Institution: CAMERON UNIVERSITY  
 ACADEMIC CALENDAR FOR 2013-14

Summer Session (2013):

Semester begins (first day of 8-week classes)	<u>May 30, 2013</u>
1 <sup>st</sup> 4-week session (begins and ends)	<u>May 30-June 26, 2013</u>
2 <sup>nd</sup> 4-week session (begins and ends)	<u>June 27-July 25, 2013</u>
Please list dates of all holidays and breaks	
INDEPENDENCE DAY	<u>July 4, 2013</u>
Semester ends (including final exams)	<u>July 25, 2013</u>
Commencement date (graduation ceremony)	<u>May 9, 2014</u>

Fall Semester (Fall 2013):

Semester begins (first day of 16-week classes)	<u>August 14, 2013</u>
1 <sup>st</sup> 8-week session (begins and ends)	<u>Aug. 14-Oct. 9, 2013</u>
2 <sup>nd</sup> 8-week session (begins and ends)	<u>Oct. 10-Dec. 14, 2013</u>
LABOR DAY	<u>September 2, 2013</u>
FALL BREAK	<u>October 17-18, 2013</u>
THANKSGIVING	<u>November 27-29, 2013</u>
Semester ends (including final exams)	<u>December 14, 2013</u>
Commencement date (graduation ceremony)	<u>May 9, 2014</u>

Spring Semester (Spring 2014):

Semester begins (first day of 16-week classes)	<u>January 8, 2014</u>
1 <sup>st</sup> 8-week session (begins and ends)	<u>Jan. 8-March 5, 2014</u>
2 <sup>nd</sup> 8-week session (begins and ends)	<u>March 7-May 9, 2014</u>
Please list dates of all holidays and breaks	
MARTIN LUTHER KING	<u>January 20, 2014</u>
SPRING BREAK	<u>March 17-23, 2014</u>
Semester ends (including final exams)	<u>May 9, 2014</u>
Commencement date (graduation ceremony)	<u>May 9, 2014</u>

Intersessions (classes that meet between regularly scheduled semesters or that meet between summer session and fall semester, between fall semester and spring semester, or between spring semester and summer session):

	Fall 2013	Spring 2014	Summer 2013
Intersession begins	<u>December 16, 2013</u>	<u>May 12, 2014</u>	<u>July 29, 2013</u>
Intersession ends (including final exams)	<u>January 7, 2014</u>	<u>May 30, 2014</u>	<u>Aug. 13, 2013</u>

Summer 2013 (if applicable):

Final add/drop date 8 week/first 4 week classes:	<u>8-wk June 5</u>
	<u>4wk June 4, 2013</u>
Final add/drop date 2 <sup>nd</sup> 4 week classes:	<u>2<sup>nd</sup> 4-wk July 2, 2013</u>

Fall 2013 (if applicable):

Final add/drop date 16 week/first 8 week classes:

16-wk add August 21, 2013  
16-wk drop August 27, 2013  
1<sup>st</sup>-8 wk add/drop Aug. 20, 2013

Final add/drop date 2<sup>nd</sup> 8 week classes:

2<sup>nd</sup>-8 wk add/drop Oct. 16, 2013

Spring 2014 (if applicable):

Final add/drop date 16 week/first 8 week classes:

16-wk add January 15, 2014  
16-wk drop January 22, 2014  
1<sup>st</sup>-8 wk add/drop Jan. 14, 2014

Final add/drop date 2<sup>nd</sup> 8 week classes:

2<sup>nd</sup>-8 wk add/drop March 13, 2014

Alternative Schedules (please describe any alternative schedules)

- A. An 8-week session within the Fall and Spring semesters.
- B. A 12-week session within the Fall and Spring semesters.
- C. Four-week sessions within the Summer session.
- D. Friday-Saturday courses.
- E. Weekend courses.
- F. Three- and four-weekend format courses in some disciplines.
- G. Three-week format courses in some disciplines.
- H. Eight-week and sixteen-week weekend courses in some disciplines.

## COURSE ADDITIONS

<u>Prefix /Number</u>	<u>Title</u>
PE 1091	Total Fitness
PE 1161	Recreational Basketball
PE 1171	Volleyball
PE 1181	Racquet Sports
PE 1231	Walking and Jogging I
PE 1241	Walking and Jogging II
PE 1271	Weight Training
PE 1301	Kettlebell
PE 1311	Step Aerobics I
PE 1321	Step Aerobics II
PE 1331	Step Circuit
PE 1341	Body Pump
PE 1351	Body Flow
PE 1361	Spin
PE 1371	Boxaerobics
PE 1381	Cardio Kickboxing
PE 1391	Kung Fu
PE 1401	Tai Chi
PE 1411	Yoga/Pilates
PE 1501	Ballroom Dance I
PE 1511	Ballroom Dance II
PE 1521	Country Swing
PE 1531	Line Dancing
PE 1601	Intro to Hiking
PE 1611	Hiking/Bouldering

UNIV 2001 Strategies for Academic Success

COURSE MODIFICATIONS

<u>Prefix /Number</u>	<u>Title</u>	<u>Comments</u>
HIST 2133	An Introduction to Historical Research and Writing	Change in prerequisites
ORGL 5713	Leadership and Knowledge Management	Change in prerequisites
ORGL 5893	Master's Project/Research Paper	Change in description
PE 1111	Intermediate Swimming	Change in description, prerequisites, and title
PHIL 1113	Introduction to Philosophy	Change in description

# Academic Policies and Procedures Manual

## Rogers State University



January 2013



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# INTRODUCTION

The *Academic Policies and Procedures Manual* serves as a reference for University faculty and is a supplement to the *Personnel Policies and Procedures Manual* and the *Board of Regents Policy Manual*. This Manual is intended for informational purposes only and does not constitute an employment contract. It contains information about employment conditions, opportunities, policies, and procedures. It is to be used as a working guide throughout employment at Rogers State University (RSU). In the event of a conflict between this Manual and the *Personnel Policies and Procedures Manual*, the *Academic Policies and Procedures Manual* controls, as to faculty issues. In the event of a conflict between this Manual and the *Board of Regents Policy Manual*, the *Board of Regents Policy Manual* controls. While policies and procedures have been established to provide guidance for University administrators and employees, the policies herein shall not be construed to limit or abrogate the rights of Rogers State University or its employees under the employment-at-will relationship.

In the event of disagreement or misunderstanding of any item presented in this manual, the official interpretation rests with the President of Rogers State University, or if the item is a Board of Regents' policy, with the Board of Regents.

The University retains the right to revise or update any of the provisions in this Manual at any time. Any portion of this Manual which is determined to be invalid is severable from the other policies and statements in the Manual and does not invalidate the entire Manual.

For purposes of this document, references to Rogers State University, RSU, the University, and the Institution should be considered one and the same.

The State of Oklahoma is an at-will employer, and the University, as a constitutionally created entity of higher education of the State, also employs at-will. The contents included in this manual in no way modify or amend the right of the University as an at-will employer in originating or terminating employment of human resources. At-will employment is for no specified term and is terminable at the will of either the employee or employer. Further, promises or representations made by anyone concerning the conditions of employment, express or implied, do not negate the right of the University to terminate employment at any time, with or without cause.

All references to "Board" listed in this manual refer to the Board of Regents of The University of Oklahoma unless specified otherwise.

## 1.1 GOVERNANCE

The Oklahoma State Regents for Higher Education coordinate the Oklahoma State System of Higher Education, including all Oklahoma institutions of higher education supported wholly or in part by legislative appropriation. The board's nine members are appointed by the Governor with the approval of the Oklahoma Senate for nine-year terms, one expiring each year. This board has broad powers to determine courses of study, establish standards, confer degrees and other forms of academic recognition for the completion of prescribed courses, present to the legislature the budget recommendations of each state institution, and allocate funds to these institutions.

The official governing body of Rogers State University is the Board of Regents of the University of Oklahoma. The Board of Regents is comprised of seven citizens appointed by the Governor with the advice and consent of the State Senate. Each Regent serves a seven-year term. This Board acts upon personnel, operations, and financial matters submitted by the University President.

## **1.2 ACCREDITATION**

Rogers State University is accredited by the Higher Learning Commission of the North Central Association of Colleges and Schools.

## **1.3 MISSION**

### **1.3.1 Mission Statement and Objectives**

Our mission is to ensure students develop the skills and knowledge required to achieve professional and personal goals in dynamic local and global communities.

Our objectives, which support the RSU mission, are as follows:

1. To provide quality associate, baccalaureate, and graduate degree opportunities and educational experiences which foster student excellence in oral and written communications, scientific reasoning, and critical and creative thinking.
2. To promote an atmosphere of academic and intellectual freedom and respect for diverse expression in an environment of physical safety that is supportive of teaching and learning.
3. To provide a general liberal arts education that supports specialized academic programs and prepares students for lifelong learning and service in a diverse society.
4. To provide students with a diverse, innovative faculty dedicated to excellence in teaching, scholarly pursuits, and continuous improvement of programs.
5. To provide University-wide student services, activities, and resources that complement academic programs.
6. To support and strengthen student, faculty, and administrative structures that promote shared governance of the institution.
7. To promote and encourage student, faculty, staff, and community interaction in a positive academic climate that creates opportunities for cultural, intellectual, and personal enrichment for the University and the communities it serves.

### **1.3.2 Mission and Outcomes for General Education**

#### **Mission of General Education:**

General Education at Rogers State University provides a broad foundation of intellectual skills, knowledge, and perspectives to enable students across the University to achieve professional and personal goals in a dynamic local or global society.

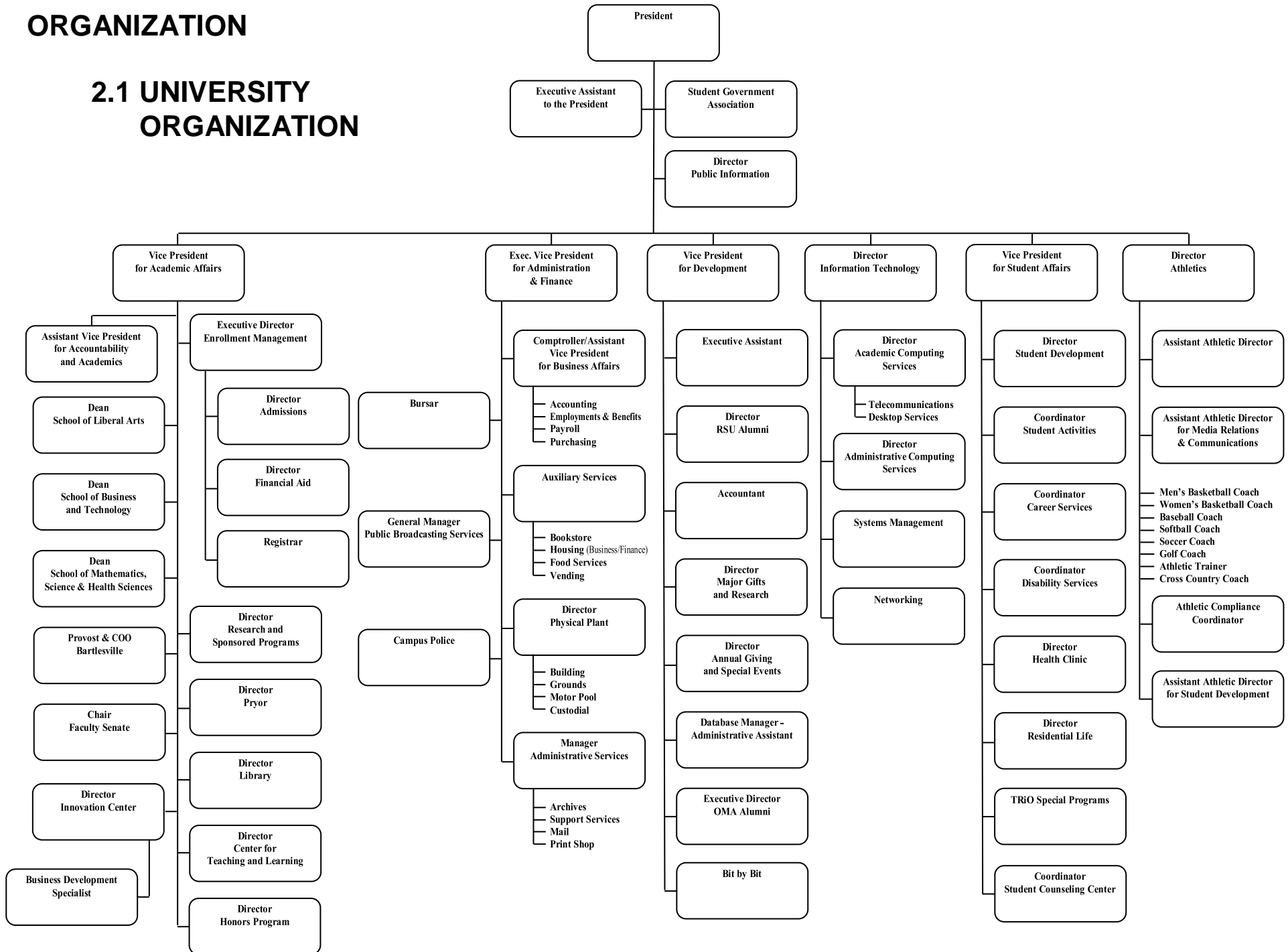
**General Education Outcomes:**

Acknowledging that critical and creative thinking are encouraged by all of the following, the specific student outcomes for General Education are to:

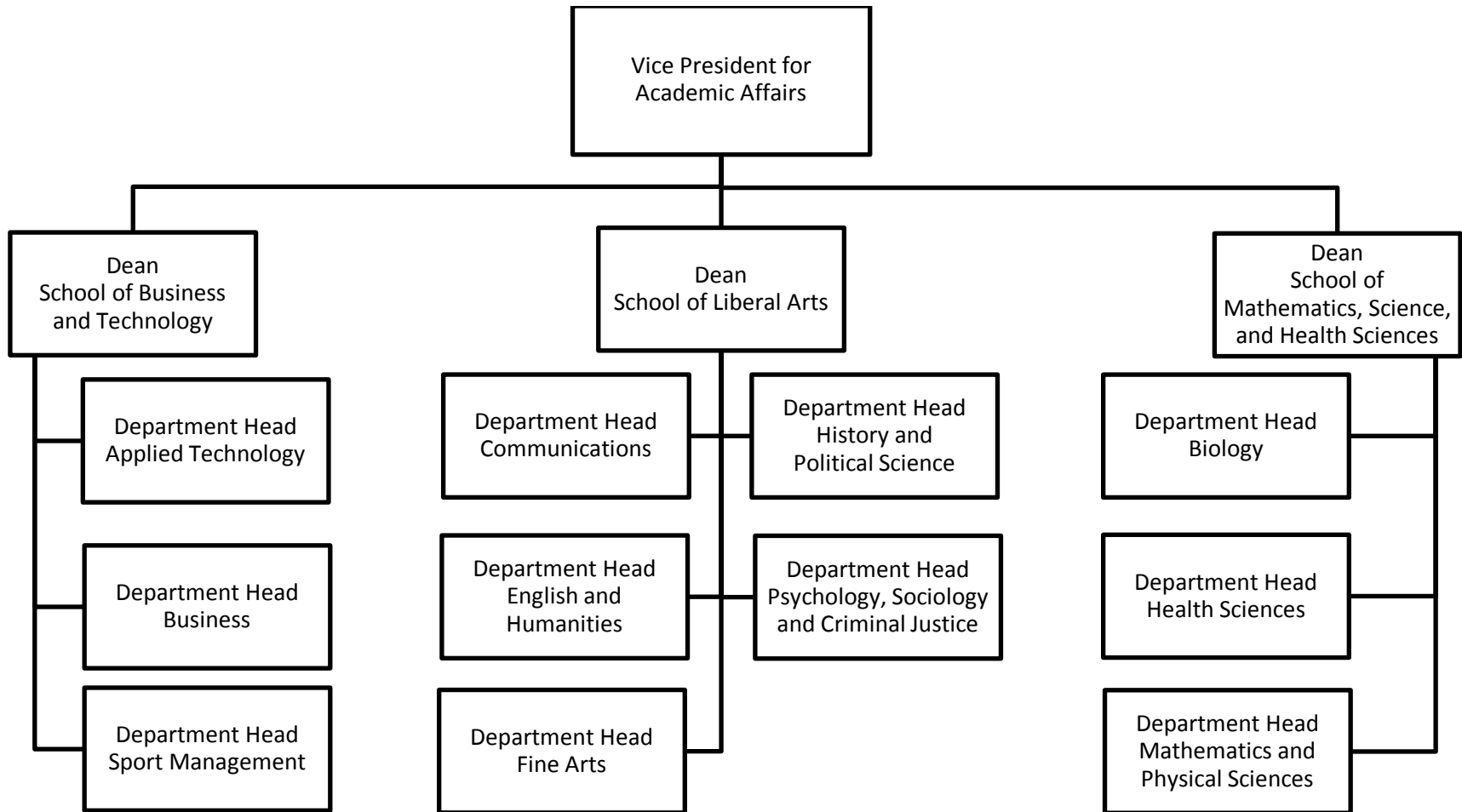
1. Acquire and evaluate information
2. Analyze and integrate knowledge
3. Develop perspectives and an understanding of the human experience
4. Communicate effectively

# ORGANIZATION

## 2.1 UNIVERSITY ORGANIZATION



## 2.2 ACADEMIC ORGANIZATION





## 2.3 UNIVERSITY COMMITTEES

### 2.3.1 STANDING COMMITTEES

Faculty membership on standing University committees will be determined on a yearly basis by the Faculty Senate's Committee on Committees (hereinafter the "Committee") in accordance with these broad philosophical guidelines: each School will be represented on each committee, except as specified in the following descriptions; each faculty member will be allowed to express preferences for membership on committees; each faculty representative will be a full-time faculty member (Department Heads are eligible for appointment); faculty will serve on no more than two University committees. Service on a University, school or department committee is an important component of service to the University.

Committees will select a day and time for their meetings. Any faculty not able to meet at a time or place agreed upon by the majority will ask their dean or senator to recommend another person to the committee and inform the Faculty Senate.

Membership on committees is three years. To facilitate scheduling, all terms for a given School will expire in rotation. At the first meeting of each year, the committee members will select a chair, secretary, and other officers as they deem appropriate.

Each committee chair will ensure that correct procedures are followed, based upon *Robert's Rules of Order* and will forward minutes to the Secretary of the Faculty Senate, and to the university webmaster.

#### Selection Procedure

University committee assignments for the following academic year will be made in the spring. Faculty hired subsequent to the process will be assigned membership in the fall.

- In February, the Senate will ask each faculty member for a statement on which committee(s) he/she prefers membership.
- In March, the "Committee" will meet to select members for University committees, basing that selection on its own guidelines (see below) and on the skills, experience, expertise, and preferences of the faculty member and the needs of each committee.
- Between April 15 and May 1, members of committees will be notified of seating in writing.

#### 2.3.1.1 Academic Policies Review Committee

Function: Receive, initiate and review all academic policies, including those contained in the *Academic Policies and Procedures Manual*.

Membership: At least six appointed senior School faculty, ideally three Faculty Senate members.

Recommendations: Through the Faculty Senate to the Vice President for Academic Affairs.

Meetings: Per 2.3.1 above.

#### **2.3.1.2 Assessment Committee**

Function: Design and implement an assessment process that will ensure quality instruction.

Membership: A representative from each department and the Assistant Vice President for Accountability and Academics, who will serve as ex-officio member of the committee.

Recommendations: Through the Faculty Senate to the Vice President for Academic Affairs.

Meetings: Per 2.3.1 above.

#### **2.3.1.3 School Curriculum Committees**

Function: Review and make recommendations regarding proposed curriculum and/or program changes.

Membership: One member per department as identified by the department head.

Recommendations: Through the Dean to the Vice President for Academic Affairs.

Meetings: Per 2.3.1 above.

#### **2.3.1.4 Library Committee**

Function: Advise the Schools, Library Services, and the Vice President for Academic Affairs as to the library needs as they fit into the academic program, as to the development of library resources, and as to means of integrating the library function into a total University program.

Membership: At least six appointed School faculty and the Director of Library Services. The Director of Library Services will be a voting member of the committee.

Recommendations: Through the Faculty Senate to the Vice President for Academic Affairs.

Meetings: Per 2.3.1 above.

#### **2.3.1.5 Faculty Development Committee**

Function: Investigate, plan, and implement faculty activities in order to provide opportunities for the enhancement of teaching and professional skills.

Membership: At least six appointed School faculty and the Director for the Center for Teaching and Learning. The Director for the Center for Teaching and Learning will be a voting member of the committee.

Recommendations: Through the Faculty Senate to the Vice President for Academic Affairs.

Meetings: Per 2.3.1 above.

#### **2.3.1.6 Committee on Student Conduct**

Function: Hear appeals of non-academic misconduct cases resulting in interim suspension, suspension, or expulsion. Issues concerning non-academic student conduct will be addressed in accordance with the provisions set forth in the *Student Code of Responsibilities and Conduct*, Title 14, Non-Academic Code of Conduct.

Any act by a properly constituted committee, where at least five members of the committee (one of whom must be a student) are present, will be binding.

Membership: The committee will be composed of three faculty members (including one from each school) appointed by the Faculty Senate, two staff members appointed by the University President, and two students recommended by the Student Government Association and approved by the Vice President for Student Affairs.

Recommendations: To the University President.

Meetings: As called by the Vice President for Student Affairs.

#### **2.3.1.7 Committee on Academic Integrity**

Function: Promote academic integrity by: 1) providing members to serve on the Academic Misconduct Board and the Grade Appeal Board (see Student Code Title 12 and Title 13), 2) consulting with faculty and students about matters pertaining to academic integrity; and 3) reviewing the Code of Academic Conduct and proposing changes as needed. Issues concerning Academic Integrity will be addressed in accordance with the provisions set forth in the Code of Academic Conduct.

Membership: Full-time faculty members, two from each School, and three students recommended by the Student Government Association and approved by the Vice President for Student Affairs

Recommendations: The Vice President for Academic Affairs is responsible for all forms, files and administrative activities related to this Committee.

Meetings: As called by the Vice President for Academic Affairs.

#### **2.3.1.8 Faculty Appellate Committee**

Function: Hear appeals from faculty members 1) whose application for promotion has been disapproved by the Vice President for Academic Affairs, or 2) who believe that tenure procedures were violated or 3) who appeal a pending severe sanction. The recommendation of the committee will be based on majority vote. The committee chair will have the right to vote only in order to break a tie.

Membership: Nine tenured faculty members, three from each School, appointed by the Faculty Senate. A quorum will be five members or a majority of qualified members of the committee.

Recommendations: To the Vice President for Academic Affairs.

Meetings: As needed to consider appeals filed by faculty.

#### **2.3.1.9 Enrollment Management Committee**

Function: Make recommendations regarding policies and procedures related to marketing, recruitment, admissions, registration, financial aid, and retention.

Membership: At least three faculty as appointed by the Faculty Senate (one from each School), the Executive Director of Enrollment Management, the Director of Admissions, the Director of Financial Aid, and one representative each from the Bartlesville and Pryor campuses as appointed by the senior campus officer. All will be voting members.

Recommendations: To the Vice President for Academic Affairs.

Meetings: Per 2.3.1 above.

#### **2.3.1.10 Strategic Planning Committee**

Function: Design and implement a process to ensure the University identifies and maintains an optimal alignment with the most important elements of its environment. The strategic planning process will result in: 1) recommended basic short and long range goals for RSU, and 2) objectives to achieve the identified goals.

Membership: The President will appoint all members to the committee, including at least three full-time faculty members, one per School, as recommended by the Faculty Senate.

Recommendations: To the University President

Meetings: As called by the President.

#### **2.3.1.11 Academic Technology Committee**

Function: Make recommendations on the evaluation, acquisition, and use of technology in scholarship and instruction. The committee will consider policies and procedures pertaining to the areas of distance learning technology, telecommunications, campus network, university computer labs, computer hardware and software, and other technology.

Membership: At least six appointed School faculty and a representative from each of the following areas will be appointed by the administrator of the area to serve as a voting member of the committee: Center for Teaching and Learning, Library, Pryor Campus, and Bartlesville Campus. The Director of Academic Computing Services will serve as an ex-officio member.

Recommendations: To the Vice President for Academic Affairs

Meetings: Per 2.3.1 above.

### **2.3.1.12 Scholarly Activities Committee**

Function: Encourage research and creative activities among members of the faculty and students. The committee will review research and creative activity proposals in order to determine recommendations for internal grant funding.

Membership: At least six appointed faculty, two per School

Recommendations: To the Vice President for Academic Affairs.

Meetings: Per 2.3.1 above.

### **2.3.1.13 Distance Education Committee**

Function: Make recommendations for policies and procedures regarding all aspects of distance education

Membership: At least six appointed faculty, two per School and the Director for The Center for Teaching and Learning. The Director for the Center for Teaching and Learning will serve as a voting member.

Recommendations: Through the Faculty Senate to the Vice President for Academic Affairs.

Meetings: Per 2.3.1 above.

## **2.4 ACADEMIC COUNCIL**

Function: The Academic Council is the principal advisory body for the Vice President for Academic Affairs on academic and other matters of importance to the University. When recommendations are forwarded to the Vice President for Academic Affairs by the Faculty Senate or a standing faculty committee, the Vice President will bring the recommendation before the Academic Council for consideration. In that case, the appropriate committee chair may be asked to attend and present the recommendation to the Academic Council, provide background, and engage in dialogue with the Academic Council membership during its deliberation. All recommendations accepted by the Academic Council and the Vice President for Academic Affairs will be forwarded to the President for consideration. The Academic Council may consider and make recommendations to the Vice President for Academic Affairs concerning any academic matter that is not an assigned function of one of the faculty committees.

Membership: The Academic Council's membership will include all School deans, all academic department heads, the Chair of the Faculty Senate, the Executive Director of Enrollment Management, the Director of the Center for Teaching and Learning, the Director of the Stratton Taylor Library, the Director of the Pryor campus, the Provost of the Bartlesville campus, the Assistant Vice President for Accountability and Academics, and the Vice President for Academic Affairs. The Vice President for Academic Affairs will chair the Council.

Procedures: Upon receipt of a recommendation and after presentation by the respective chair of the committee, the Academic Council will engage in dialogue and give due consideration to said recommendation. The Academic Council will consider said recommendation and decide on its recommendation to the Vice President on the basis of a simple majority vote. The chair of the respective committee will not participate in the vote.

If the Academic Council and the Vice President agree with the recommendation, the Vice President for Academic Affairs will attach comments to the recommendation and forward these items to the President.

If the recommendation is rejected, a conference committee will be formed consisting of three members of the Academic Council as selected by the Vice President for Academic Affairs and three members of the recommending committee selected by the appropriate committee chair. The conference committee will select a chair and will take the recommendation under advisement. The committee will review the recommendations for alterations, additions, and deletions.

Should the conference committee approve an amended version of the recommendation, it will be sent back to the initiating committee to be accepted or rejected by a majority vote. If accepted, it will be forwarded once again, through the Faculty Senate as appropriate, to the Vice President for Academic Affairs. If rejected, the recommendation will not be forwarded.

Should a majority of the conference committee fail to approve an amended version of the recommendation, the conference committee will report in writing the impasse to both the Academic Council and the initiating committee.

Should the conference committee fail to reach a compromise, or should either the initiating committee or Academic Council fail to accept the amended version from the conference committee, the initiating committee has two alternatives:

- 1) Terminate the recommendation OR
- 2) Refer the original recommendation through the Faculty Senate as appropriate to the Vice President for Academic Affairs, who will then review with the Academic Council and forward to the President with all comments for acceptance or rejection. This action requires a two-thirds majority vote of the originating committee. Such action must be completed within 15 days from the date that the originating committee or the Academic Council rejected the conference committee's recommendation, or 15 days from the date that the conference committee reported an impasse. The originating committee's recommendation to the President will be accompanied by comments and recommendations by the conference committee, the originating committee, and the Academic Council. The President will then make the final decision on the recommendation.

# FACULTY PERSONNEL POLICIES

The Board of Regents of the University of Oklahoma (OU) is vested with the governance of the University. Within its authority is the governance of all faculty personnel matters, including without limitation, appointments, evaluations, academic misconduct, grievances, and academic appeals.

It is the policy of Rogers State University to recognize and implement the functions assigned to it by the Oklahoma State Regents for Higher Education. These functions include teaching; research and other creative/scholarly activity; and professional and University service and community engagement. The responsibility for carrying out this policy is shared by the Board of Regents, administrative officers, and the regular faculty.

## 3.1 FACULTY MEMBERSHIP

The faculty is composed of the regular faculty and the supplemental faculty. These individuals have an instructional or research relationship to the University, either direct or supervisory. The faculty includes permanent and temporary, full-time and part-time personnel.

### 3.1.1 Regular Faculty

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

Appointments to the regular faculty are made by the OU Board of Regents. Consideration for appointment by the Board is given after recommendation by the University President.

#### 3.1.1.1 Types of Regular Faculty Appointments

The regular faculty holds one of four types of appointments:

**Tenured** - A tenured appointment is reserved for those regular faculty members who have been granted tenure by the Board of Regents upon recommendation of the President. In granting tenure to a faculty member, the University makes a commitment to the faculty member's continued employment, subject to certain qualifications. The procedures for granting tenure and dismissal of tenured faculty are covered in this manual. Tenured faculty members appointed to administrative positions retain the tenure and rank that was previously granted when they were non-administrative faculty members. An administrator may not hold tenure by virtue of an appointment to an administrative position, unless specifically granted by the Board of Regents, but may attain and hold tenure as a member of the regular faculty.

**Tenure Track** - Regular faculty holding the rank of professor, associate professor, or assistant professor may be tenure track appointments.\* Tenure track appointments are for one (1) academic year beginning August 1 and ending May 30. Action on reappointment is initiated by the academic department head through the respective dean to the Vice President for Academic Affairs,

President, and Board of Regents. Notification of non-reappointment shall be given in writing by the Vice President for Academic Affairs no later than March 1.

\* Faculty members transitioning to Rogers State University from its predecessor institution, Rogers University, were allowed to elect a non-tenure track appointment irrespective of their academic rank by doing so not later than February 1, 2000 for the academic year beginning August 1, 2000 and succeeding years. Faculty may achieve the rank of assistant professor and remain non-tenure track.

**Non-Tenure Track** - A non-tenure track appointment is one in which the faculty member is appointed to the regular faculty but is not eligible to receive tenure. Faculty members below the rank of assistant professor have non-tenure track appointments (instructor is a non-tenure track appointment). Non-tenure track appointments are for one (1) academic year beginning August 1 and ending May 30. Action on reappointment is initiated by the academic department head through the respective dean to the Vice President for Academic Affairs, President, and Board of Regents. Notification of non-reappointment shall be given in writing by the Vice President for Academic Affairs no later than March 1.

**Temporary** - A temporary appointment is one in which the faculty member is appointed to the regular faculty for a period of one year or less. Upon completion of the temporary appointment, the position, if continued, will be opened and advertised.

### 3.1.2 Supplemental Faculty

The President or the President's designee makes appointments to the supplemental faculty as required to meet the University's needs. Appointments to the supplemental faculty may not require Board approval. These appointments are limited to specific duties and a specific period of time. Supplemental faculty are not entitled to notification of non-reappointment.

#### 3.1.2.1 Types of Supplemental Faculty Appointments

The supplemental faculty consists of:

**Adjunct Faculty** - Adjunct faculty hold part-time, temporary appointments for a semester or session. The rank of such faculty may be adjunct instructor or lecturer. Adjunct faculty will be limited to teaching nine (9) hours or less per semester or session.

**Visiting Faculty** - Visiting faculty are employed by the University to teach or perform research for a limited time and are on leave of absence from another institution of higher education or professional practice. Visiting faculty may be appointed at any rank.

**Volunteer Faculty** – a person, who has special talents or expertise, and whose time and services are donated, may be appointed to the University volunteer faculty. Volunteer faculty who meet the educational qualifications may hold academic rank.



**Clinical Supervisors** - Clinical supervisors are not employees of the University. They are practitioners who are assigned regular and continuing responsibilities in the clinical setting.

### **3.1.3 Summer Teaching Faculty**

The University President or the President's designee makes appointments for the Summer Session as required to meet the University's needs. These appointments do not require Board approval. An appointment to the summer faculty is limited to the specific summer for which the appointment is made.

### **3.1.4 Full- and Part-Time Appointments**

**Full-Time Appointments** - Full-time faculty have instructional and non-instructional duties as assigned by the University. Instructional duties include but are not limited to the teaching of assigned classes, evaluating the students in the classes, and meeting with those students who require assistance in their classes. Non-instructional duties include but are not limited to conducting research and other creative/scholarly activities, advising students, serving on committees, sponsoring organizations, continuing certification and participating in professional and University service and community engagement. A full-time faculty member should generally carry an instructional load of twelve (tenure-track) to fifteen (nontenure-track) hours per semester and a non-instructional equivalent load of three to six hours per semester so that the full-time load is the equivalent of eighteen hours per semester. Any exceptions are to be approved through appropriate channels.

**Joint Appointments** - Appointments between two or more academic units or colleges or universities are encouraged when they are of mutual benefit. However, they (a) must not total more than 1.0 Full-Time Equivalent (FTE) and (b) must be approved by all the units and colleges or universities involved. Such appointments must have the approval of the appropriate administrative officials of all units involved and one academic unit and college shall have primary responsibility for promotion and tenure consideration. Faculty cannot receive remuneration from two institutions when it will result in an assignment greater than 1.0 FTE.

**Adjunct Appointments** - Adjunct appointments are temporary appointments made for one semester or session only and involve instructional duties for certain course sections only. Compensation is determined at the University level. Adjunct faculty will be limited to nine hours per semester or session.

## **3.2 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 teaching; research and other creative/scholarly activity; and professional and University service and community engagement. Each academic unit has an obligation to contribute to each of these. Faculty members play a central role in the realization of 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.

### **3.2.1 Teaching**

Effective teaching is demonstrated through mastery of a current knowledge base in subject matter taught at an appropriate student level. Such teaching stimulates achievement and practical personal applications by students. A continual review of current literature, research, and strategies is necessary for effective teaching. An effective teacher evidences mastery by thoroughly integrating skills and knowledge, sensitivity, and perception with the presentation of subject matter.

Effective teaching is characterized by (1) subject matter mastery, (2) curriculum development, (3) course design, (4) delivery of instruction, (5) assessment of instruction and revision as necessary, (6) availability to students, and (7) fulfillment of instructional administrative responsibilities.

Effectiveness will be documented by department head and dean evaluations, and student evaluation of instruction as well as other methods such as peer evaluation and program assessment of majors.

### **3.2.2 Research and Other Creative/Scholarly Activity**

Research and other creative/scholarly activity are demonstrated by the active involvement of a faculty member in the pursuit of new knowledge in his/her academic field or discipline. While the scope and nature of faculty research and other creative/scholarly activity will vary among departments, University faculty will be involved in creative/scholarly activities, individually and collaboratively, which advance the knowledge base and performance levels of their respective fields. Both the pursuit of new knowledge and the application and dissemination of knowledge in creative ways are valued. Both the quality and quantity of productivity are considered in assessing the contributions and performances.

Examples of research and creative/scholarly activity are adaptations of knowledge to the learning environment, development of marketable instructional materials, creative artistic works evaluated by juries or panels, invitation for professional presentations or performances, articles in refereed or editor-evaluated publications, successful grantsmanship, selected unpublished research, books, monographs, inventions, patented or copyrighted products, etc.

### **3.2.3 Professional and University Service and Community Engagement**

Professional and University service and community engagement occur when faculty members apply professional expertise to advance the University and profession. Professional and University service include contributions to the institution and to the profession. These contributions should be consistent with the educational needs of the student body and the mission and objectives of the University.

University service may consist of academic student advisement, departmental management, public relations, classroom, studio, or other physical facility management, personnel management, equipment and supplies management, fiscal management, time management, sponsorship of student organizations, membership on ad hoc and

standing committees, consultation to other areas of the University, participation in institutional or program self-study activities, and special assignments or responsible participation in activities which advance the academic programs of the University.

Professional service includes involvement in various professional organizations in a manner that accrues favorable notice to the individual and the University. Evidence of such contributions may consist of memberships in professional organizations appropriate to a faculty member's teaching field or area of responsibility, attendance at meetings, holding of offices, and serving on committees at local, state, regional, and national levels of said professional organizations.

Community engagement occurs when a faculty member contributes professional expertise, *pro bono*, to the activities of government, schools, or other public and service agencies. The contribution may be in the following roles: consultant, program participant, member of a board or task force, speaker, or advisor.

### **3.3 ACADEMIC RANK AND PROMOTION OF FACULTY**

Academic rank or promotion in academic rank is granted by the Board of Regents of the University of Oklahoma upon recommendation of the University President. Determination of merit and recommendation for granting promotion in rank shall be in accordance with the promotion policies and procedures of the University as stated in this manual.

#### **3.3.1 Principal Academic Ranks of the University**

The principal academic ranks of the University shall be Professor, Associate Professor, Assistant Professor, and Instructor. Faculty members generally remain at the same rank for a minimum of four (4) full years prior to application for promotion. The educational and experience requirements delineated below do not imply that attainment of given educational qualifications and/or experience requirements shall be the sole criteria for granting rank or promotion in rank. Minimum qualifications for these ranks shall be as follows:

##### **Professor**

- Earned terminal degree relevant to the teaching field awarded by a regionally accredited or internationally recognized institution
- Ten (10) full years of higher education teaching experience in full-time appointment(s) at Rogers State University or other accredited institutions prior to application
- Four (4) full years of experience at the associate professor rank prior to application
- Commendable achievement of all of the following categories: effective teaching; research and creative/scholarly activity; and professional and University service and community engagement

##### **Associate Professor**

- Earned terminal degree relevant to the teaching field awarded by a regionally accredited or internationally recognized institution

- Five (5) full years of higher education teaching experience in full-time appointment(s) at Rogers State University or other accredited institutions prior to application
- Four (4) full years of experience at the assistant professor rank prior to application
- Demonstrated record of effective teaching; research and creative/scholarly activity; and professional and University service and community engagement
- Commendable achievement in teaching and in at least one other criterion: research and creative/scholarly activity; and professional and University service and community engagement

### **Assistant Professor (One of the following options)**

#### **Option A**

- Earned terminal degree relevant to the teaching field awarded by a regionally accredited or internationally recognized institution
- Academic credentials which indicate the potential for effective teaching; research and creative/scholarly activity; and professional and University service and community engagement

#### **Option B**

- Earned master's degree relevant to the teaching field awarded by a regionally accredited or internationally recognized institution
- Four (4) full years of successful higher education teaching experience in full-time appointment(s) at Rogers State University or other accredited institutions prior to application
- Academic credentials which document effective teaching and indicate the potential for research and creative/scholarly activity; and professional and University service and community engagement

### **Instructor**

Earned master's degree relevant to the teaching field awarded by a regionally accredited or internationally recognized institution. For selected fields in Associate in Applied Science degree programs, a baccalaureate degree awarded by a regionally accredited or internationally recognized institution is sufficient.

### **Others**

The University may classify instructional personnel who are not subject to assignment of rank by such titles as special instructors, lecturers, graduate assistants, adjunct instructors, part-time instructors, or by other title.

## **3.3.2 Concepts and Understandings Regarding Rank and Promotion Policies**

- The highest interests of the University will best be served through a spirit of cooperation and a sense of mutual confidence among the faculty, the department heads, the academic deans, the Vice President for Academic Affairs, and the President of the University. The procedure for recommending promotion in rank is designed to systematize as well as to encourage such cooperation and mutual confidence.

- The determination of professional training and/or experience to meet the criteria for assignment of rank will be the responsibility of the Vice President for Academic Affairs (“VPAA”). The VPAA will consult with peers or supervisors of those who are being considered for changes in rank.
- The Vice President for Academic Affairs may recommend an instructor for promotion to the rank of assistant professor upon completion of all degree requirements for one of the options in section 3.2.1 and upon presentation of official documentation from the granting institution. Approval of the President and the Board of Regents of the University of Oklahoma is required.
- For promotion to the ranks of Associate Professor and Professor, the number of years specified for higher education teaching experience and the number of years of experience at a given rank must be completed before requesting promotion in rank.
- A faculty member must complete at least two (2) years of full time employment at Rogers State University before requesting promotion to the rank of Associate Professor or Professor.
- Any exception to the policy on promotion in rank may be granted by the President of the University consistent with policies of the Board of Regents of the University of Oklahoma. Copies of these exceptions must be kept in the faculty members’ personnel files.

### 3.3.3 Criteria for Promotion in Rank

Providing that the candidate meets the educational and experience requirements, promotion in rank is based upon the professional activities of the faculty as outlined in Section 3.2 (teaching; research and creative/scholarly activity; and professional and University service and community engagement).

### 3.3.4 Promotion Process

It is the responsibility of the individual faculty member to initiate the request for a promotion in rank and to prepare the portfolio of materials. If the faculty member requests promotion as well as tenure, then the portfolio of materials may be used for both processes. The department head and dean will advise the faculty member in preparation of this request. The following steps outline the procedures in the promotion process. A *Portfolio Transmittal Form* to certify the receipt dates and transmittal dates at each step of the promotion process must accompany the request and is available from the department head. In the event that one of the deadlines in the promotion process falls on a weekend or holiday, the deadline becomes the next working date of the University. The individual faculty member may monitor the flow of materials through the process. At any step in the process, the faculty member may withdraw a request for promotion in rank.

**Step 1 – By November 15**, the faculty member files a written request for promotion with the department head. The request must be accompanied by a portfolio exhibiting documentation of effective teaching; research and creative/scholarly activity; and

professional and University service and community engagement. Professional and University service includes contributions to the institution and to the profession. The portfolio must include copies of all available annual faculty development and evaluation documents.

**Step 2 – By December 15**, the department head reviews the portfolio, evaluates each performance criterion, and provides the faculty member a written notification of his/her recommendation (approval/disapproval) and the basis for the recommendation. The department head then forwards all documents to the dean of the school.

**Step 3 – By January 15**, the dean of the school reviews the portfolio and attached recommendations, evaluates each performance criterion, and provides the department head and the faculty member a written notification of his/her recommendation (approval/disapproval) and the basis for the recommendation. The dean then forwards all documents to the Vice President for Academic Affairs.

**Step 4 – By February 15**, the Vice President for Academic Affairs reviews the portfolio and attached recommendations, evaluates each performance criterion, and provides the dean of the school, the department head, and the faculty member a written notification of either his/her decision of denial of promotion or his/her recommendation of approval and the basis for the denial/approval recommendation.

If the Vice President for Academic Affairs recommends approval of the request, he/she forwards all documents to the President.

If the Vice President for Academic Affairs denies the promotion request, the faculty member may appeal the action to the Faculty Appellate Committee.

**Step 5 - By March 1**, if appealing a denial by the VPAA, the faculty member must provide written notification to the Vice President for Academic Affairs that the right of appeal is being exercised, along with the specific grounds for the appeal.

**Step 6 – By March 7**, upon receiving notification of appeal, the Vice President for Academic Affairs will provide this notification and all documentation to the chair of the Faculty Appellate Committee. Each committee member will be furnished all documentation relevant to the process including, the faculty member's original request and portfolio evaluations of the portfolio by the Vice President for Academic Affairs, the dean, and the department head and annual faculty evaluations. Strictest confidence pertaining to the information and proceedings will be maintained. The faculty member and the academic officers will be permitted to provide additional testimony supporting their respective positions. New documentation which was not considered by the Vice President for Academic Affairs, the dean and the department head may not be added at this point. The faculty member may, however, add his/her own testimony that clarifies or assists the committee with the evaluation of the request.

The Faculty Appellate Committee will consider all documentation and testimony, vote by secret ballot, and provide the Vice President for Academic Affairs, the dean of the school, the department head, and the faculty member a written notification of its recommendation and the basis for the recommendation.

**Step 7 – By April 1**, the Faculty Appellate Committee must make its recommendation. If the Faculty Appellate Committee recommends approval of the request, the Vice President for Academic Affairs will review his/her original recommendation and the recommendation of the Faculty Appellate Committee. The Vice President will then provide his/her final written recommendation (approval/disapproval) to the Faculty Appellate Committee, the dean of the school, the department head, and the faculty member. The Vice President for Academic Affairs then forwards all documents to the President.

If the Faculty Appellate Committee recommends disapproval of the request, the promotion is denied. The Vice President for Academic Affairs then provides written notification to the Faculty Appellate Committee, the dean of the school, the department head, and the faculty member that the promotion request has concluded with the denial of the promotion.

**Step 8 – By May 1**, upon receiving a positive recommendation from the Vice President for Academic Affairs, the President either approves or disapproves the request.

If the President approves the request for promotion, he/she recommends the granting of promotion to the Board of Regents of the University of Oklahoma normally at the May meeting. The President then reports the Regents' action to the Vice President for Academic Affairs, who then provides written notification to the Faculty Appellate Committee (if applicable), the dean of the school, the department head, and the faculty member.

If the President disapproves the request for promotion, he/she provides written notification to the Vice President for Academic Affairs, along with a basis of the decision. The Vice President for Academic Affairs will then provide written notification to the dean of the school, the department head, and the faculty member.

## **3.4 ACADEMIC TENURE**

Tenure is a privilege and a distinctive honor. Tenure is defined as continuous reappointment, which may be granted to a faculty member in a tenure-track position, subject to the terms and conditions of appointment. Tenure is granted by the Board of Regents of the University of Oklahoma upon recommendation of the President. Determination of merit and recommendation for granting tenure shall be in accordance with the tenure policies and procedures of the University as detailed in this manual.

### **3.4.1 Concepts and Understandings Regarding Tenure Policies**

- Only full-time faculty members holding academic rank of assistant professor, associate professor, or professor may be granted 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 Regents' approval must be granted. Qualified professional librarians shall be considered faculty members if they are accorded academic rank.

- The highest interests of the University will best be served through collegiality, a spirit of cooperation and a sense of mutual confidence among the faculty, the department heads, the academic deans, the Vice President for Academic Affairs, and the President of the University. The procedure for recommending tenure is designed to systematize as well as to encourage such cooperation and mutual confidence.
- 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.
- Faculty members accorded tenure will normally commence their tenure appointments in the academic year immediately following the Board of Regents' action.
- Tenure shall be granted only by written notification after approval by the Board. Since only the Board of Regents of the University of Oklahoma may grant tenure based upon a recommendation from the University President, de facto tenure is nonexistent at Rogers State University.
- In each case where tenure is awarded, there must be assurance that continuing financial support can reasonably be anticipated. The President shall determine whether funds are sufficiently secure to support the awarding of tenure.
- A maximum of seventy (70) percent of the full-time faculty at the University may hold tenure at any one time. In the event the seventy (70) percent limit is reached, there will be no additions to the tenured faculty at Rogers State University. However, the tenure process on campus will continue. Faculty members recommended for tenure will be placed in a priority-hold status by year pending vacancies and the standard seven (7) year probationary period listed in 3.4.2 will be suspended. As tenured positions become available, faculty members will be removed from priority-hold status and granted tenure according to the following criteria in descending order of importance: longest time on priority-hold status, longest service to the University, highest rank, and longest tenure-eligible service.
- Any exception to the policy on tenure may be granted by the President of the University consistent with policies of the Board of Regents of the University of Oklahoma.

### **3.4.2 Probationary Period**

Faculty members shall be on probation for a minimum of four (4) years after date of first being employed by Rogers State University in a tenure track position. Years of experience in a non-tenure track position may be used towards years of the probationary period only if approved by the Vice President for Academic Affairs. After the four-year probationary period, faculty members holding the rank of assistant professor, associate professor, or professor may request tenure. Faculty members will remain on probation until either tenure is granted or seven years have elapsed. Seven (7) years shall be the maximum probationary period for the eligible faculty member to receive tenure. If, at the



end of seven (7) years any faculty member has not attained tenure, there will be no renewal of appointment for the faculty member unless a specific request for a waiver of policy is approved by the President.

For the purpose of determining probationary employment of faculty members for tenure consideration, sabbatical leave is included as a part of the period of probationary employment, and a leave of absence is not included as part of the probationary period.

### **3.4.3 Criteria for Tenure**

Providing that candidates meet the academic rank eligibility requirements for tenure, the tenure decision shall be based on a thorough evaluation of the candidate's total contribution to the mission of the University, including the maintenance of collegial relations with other faculty, staff, students, administration and the community. 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 areas of professional activities, as outlined in Section 3.2 (teaching; research and creative/scholarly activity; and professional and University service and community engagement).

### **3.4.4 Tenure Process**

It is the responsibility of the individual faculty member to initiate the request for tenure and to prepare the portfolio of materials. If the faculty member is requesting promotion as well as tenure, the portfolio of materials may be used for both processes. Tenure track faculty may apply for tenure two times, during their fifth, sixth, or seventh year of the probationary period. If, however, application is made during the seventh year and not granted, that is still the terminal year. The department head and the dean will advise the faculty member in preparation of this request. The following steps outline the procedures in the tenure process. A *Portfolio Transmittal Form* to certify the receipt dates and transmittal dates at each step of the tenure process must accompany the request and is available from the department head. In the event that one of the deadlines in the tenure process falls on a weekend or holiday, the deadline becomes the next working date at the University. It is the right of the individual faculty member to monitor the flow of materials through the process. At any step in the process, the faculty member may withdraw a request for tenure, but it will count as one of the two opportunities to apply for tenure following the decision of the tenure review committee.

**Step 1 – By November 15**, the faculty member files a written request for tenure with the department head. The request must be accompanied by a portfolio exhibiting documentation of excellence in teaching; research and creative/scholarly activity; and professional and University service and community engagement. Professional and University service include contributions to the institution and to the profession. The portfolio must include all available signed annual faculty development and evaluation documents.

A Tenure Review Committee is then formed. All tenured faculty members within the department serve as the Tenure Review Committee. In the event that the number of tenured faculty members in the department is fewer than five (5), the tenured faculty within the department plus additional tenured faculty members appointed by the dean of

the school to form a group of five (5) tenured faculty members serves as the Tenure Review Committee.

The department head calls a meeting of the Tenure Review Committee to initiate discussion of the request. After each member of the Tenure Review Committee critiques the portfolio and each performance criterion, the faculty member's performance is reviewed, discussed, and evaluated by the Tenure Review Committee. This review shall be conducted in a manner that allows for input from non-tenured colleagues, tenured colleagues from outside the department, students, alumni, and administrative information from the department head or dean. This will be accomplished in the following manner: By November 16<sup>th</sup>, each Department Head will forward through their respective Dean to the Vice President for Academics, a list of applicants for tenure. The office of the VPAA will disseminate the list to the university community, soliciting comments. All comments, if any, must be received by the Tenure Review Committee prior to November 21<sup>st</sup>. After completion of the review, a poll by secret ballot of the Tenure Review Committee is taken to determine whether a recommendation for the granting of tenure will be made. A simple majority rule prevails. The Tenure Review Committee then sends the portfolio, the tenure evaluation form, the committee's vote, and their recommendation to grant or to deny to the department head. The committee will also provide a statement in writing of their action to the candidate. All ballots are retained by the chair of the Tenure Review Committee until a final decision is reached concerning the tenure request. The ballots are then destroyed.

**Step 2 – By December 15**, the department head reviews the Tenure Review Committee's vote and recommendation, reviews the portfolio, and evaluates each performance criterion. The department head will consult with the Tenure Review Committee regarding their recommendation. Once this consultation is completed s/he provides the Tenure Review Committee and the faculty member a written notification of his/her recommendation (approval/disapproval). The department head then forwards all documents to the dean of the school.

**Step 3 – By January 15**, the dean of the school reviews the portfolio and attached recommendations, and evaluates each performance criterion. The dean must consult with the department head and/or Tenure Review Committee regarding their recommendation. Once this consultation is completed, s/he provides the department head, the Tenure Review Committee, and the faculty member a written notification of his/her recommendation (approval/disapproval). The dean then forwards all documents to the Vice President for Academic Affairs.

**Step 4 – By February 15**, the Vice President for Academic Affairs reviews the portfolio and attached recommendations, and evaluates each performance criterion. The Vice President for Academic Affairs must consult with the dean and/or department head and/or the Tenure Review Committee regarding their recommendation. Once this process is completed s/he provides the dean of the school, the department head, the Tenure Review Committee, and the faculty member a written notification of either his/her decision of denial of tenure with reasons or his/her recommendation of approval.

If the Vice President for Academic Affairs recommends approval of the request, he/she forwards all documents to the President.

If the Vice President for Academic Affairs denies the tenure request and the faculty member believes that tenure review procedures were not followed, he/she may appeal the action to the Faculty Appellate Committee. The appeal request must pertain solely to tenure review procedures.

**Step 5 – By March 1**, the faculty member must provide written notification to the Vice President of Academic Affairs that the right of appeal is being exercised, along with the specific grounds for the appeal.

**Step 6 – By March 7**, upon receiving notification of appeal, the Vice President for Academic Affairs will provide this notification and the grounds for the appeal to the chair of the Faculty Appellate Committee. Pertinent testimony from all parties involved may be heard, but must be limited to ~~due process issues~~ tenure review procedures only. The Faculty Appellate Committee will consider all documentation and testimony, vote by secret ballot, and provide the Vice President for Academic Affairs a written notification of their decision. The Faculty Appellate Committee must complete its action by March 20.

**Step 7 - By April 1**, if the Faculty Appellate Committee rules that tenure review procedures were not followed, the process will resume at the point where the violation occurred. The Vice President for Academic Affairs shall be responsible for monitoring the subsequent process to ensure that correct review procedures are followed, and that the process is completed by April 20.

If the Faculty Appellate Committee rules that the tenure review procedures were followed, then appeal is denied. The process will resume at the point where the appeal occurred

**Step 8 – By May 1**, upon receiving a recommendation from the Vice President for Academic Affairs, the President either approves or disapproves the request for tenure.

If the President approves the request for tenure, he/she recommends the granting of tenure to the Board of Regents of the University of Oklahoma, normally at the May meeting. The President then reports the Regents' action to the Vice President for Academic Affairs, who then provides written notification to the dean of the school, the department head, and the faculty member.

If the President disapproves the request for tenure, he/she provides written notification to the Vice President for Academic Affairs. The Vice President for Academic Affairs will then provide written notification to the dean of the school, the department head, and the faculty member.

**Step 9 -** The process is completed by the following actions:

- All recommendations will be placed in the personnel file of the candidate.
- The portfolio and a copy of all recommendations will be returned to the candidate.
- All confidential, relevant records leading to tenure will be kept in the VPAA's office for a period of five (5) years and then destroyed unless further recordkeeping of the same is required by either the State of Oklahoma's "General Records Disposition Schedule for State Universities and Colleges," or other legal requirements.

### **3.4.5 Post-Tenure Review**

Post-tenure review at the University 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 through two processes:

- 1) A retrospective review of faculty performance in teaching; research and creative/scholarly activity; and professional and University service and community engagement over the three 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.

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 evaluation. Post-tenure review will be based on the criteria for annual review established by the faculty of the unit and approved by the administration. Specific provisions prescribing post tenure reviews are set forth in Section 3.8.2 of this Manual.

### **3.4.6 Non-Tenured Regular Faculty Non-Reappointment**

Action on the reappointment of non-tenure track or tenure-track regular faculty is initiated by the academic department head through the respective dean to the Vice President for Academic Affairs, President and Board of Regents. Any final decision not to reappoint a faculty member shall be determined by the Board of Regents. The Vice President for Academic Affairs will provide written notification of non-reappointment to the faculty member no later than March 1. Failure to reappoint may be without specific or stated cause.

## **3.5 SEVERE SANCTIONS**

The University strives to exercise great care in selecting faculty appointees and to confer tenure upon only those faculty members who have demonstrated their merit for tenured appointment. For that reason, severe sanctions such as dismissal of a tenured faculty member (abrogation of tenure) or of a regular faculty member during a non-tenure track or tenure-track appointment should be an exceptional event. It is also 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; restitution; 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 upon, or dismissal 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.

### **3.5.1 Grounds for Abrogation of Tenure, Dismissal, and Other 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 regular faculty member who has tenure or whose tenure-track appointment has not expired include, but are not necessarily limited to, the following:

- a) Professional incompetence or dishonesty, including but not limited to, academic dishonesty, or misuse of University property or resources;
- 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, including but not limited to, deliberate and grave violations of the rights and freedoms of fellow faculty members, administrators, or students;
- d) Serious violations of law which are admitted or proved before a court of competent jurisdiction or the administrative body established to hear such matters, preventing 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;
- e) Action(s) involving moral turpitude.
- 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;\*

g) Financial Emergency;\*

\*Although not considered severe sanctions, (f) and (g) are proper reasons for dismissal of a faculty member who has tenure or whose tenure-track or non-tenure track term has not expired.

### **3.5.2 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. The faculty member may, on request and at the convenience 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.

### **3.5.3 Process for Dismissal of a Faculty Member for Cause**

Dismissal proceedings will begin with a conference between the faculty member and the dean of the school. The conference may result in agreement that the dismissal proceedings should be discontinued or that the best interest of the tenured faculty member and the University would be served by the faculty member's resignation. If this conference does not result in mutual agreement, the dean will submit a recommendation in writing with rationale to the faculty member and to the Vice President for Academic Affairs.

Within seven (7) days, the Vice President for Academic Affairs will have a conference with the faculty member. This conference may result in agreement that the dismissal proceedings should be discontinued or that the best interest of the tenured faculty member and the University would be served by the faculty member's resignation. If this conference does not result in mutual agreement, the Vice President for Academic Affairs will submit a recommendation of dismissal in writing with rationale to the faculty member and to the President.

A faculty member who receives a recommendation of dismissal from the Vice President for Academic Affairs may request, and will be afforded, a hearing before the Faculty Appellate Committee. Failure to make a request in writing to the Vice President of Academic Affairs within seven (7) days after receipt of recommendation of dismissal from the Vice President of Academic Affairs will constitute a waiver by such faculty member of his/her right to a hearing before the Faculty Appellate Committee

If the faculty member waives his/her right to appeal, the President will recommend dismissal of the faculty member to the Board of Regents at the next board meeting. The President will notify the faculty member of the action of the Board by registered mail with a return receipt requested. Every reasonable effort must be made by the President to ensure that the communication is delivered to the faculty member without delay.

### **3.5.4 Process for Other Severe Sanctions**

Disciplinary action will begin with a conference between the tenured faculty member, the department head, and the dean of the appropriate school. If, as a result of the conference, the dean finds that disciplinary action is warranted, a written recommendation for action and the rationale for the action will be forwarded to the faculty member and the Vice President for Academic Affairs.

If the faculty member does not agree that the recommended disciplinary action is warranted, he/she may request, and will be afforded, a conference with the Vice President for Academic Affairs. Failure to make a request in writing to the Vice President for Academic Affairs within fourteen (14) calendar days after receipt of recommendation of disciplinary action will constitute a waiver by such faculty member of his/her right to further appeal. The Vice President for Academic Affairs will forward the recommended disciplinary action and the rationale for the action to the President.

If the faculty member does timely request a conference with the Vice President for Academic Affairs, the conference will be arranged within fourteen (14) calendar days. The Vice President may then determine that the recommended disciplinary action is not necessary, or should be modified. If the Vice President for Academic Affairs approves and/or modifies the recommended disciplinary action, he/she will provide the President, dean, department head and the faculty member a recommendation of the disciplinary action.

A faculty member who receives a recommendation of disciplinary action from the Vice President for Academic Affairs may request and will be afforded a hearing before the Faculty Appellate Committee. Failure to make a request in writing to the Vice President for Academic Affairs within fourteen (14) days after receipt of recommendation of disciplinary action from the Vice President of Academic Affairs will constitute a waiver by such faculty member of his/her right to a hearing before the Faculty Appellate Committee.

If the faculty member waives his/her right to appeal, the President will recommend the plan of disciplinary action of the faculty member to the Board of Regents at the next board meeting. Upon approval of the disciplinary action by the Board of Regents, the Vice President for Academic Affairs will provide written notification to the dean, the department head, and the faculty member that the plan of disciplinary action has been approved and a copy of the disciplinary action will be placed in the faculty member's personnel file.

### **3.5.5 Appeal Procedures for Recommendations Regarding Severe Sanctions**

After a faculty member has requested a hearing before the Faculty Appellate Committee, service of notice of hearing with specific charges in writing will be made by the Vice President for Academic Affairs to the Faculty Appellate Committee and the faculty member at least twenty (20) days prior to the hearing. The faculty member may respond by waiving the hearing and filing a written brief, and if not then the matter will proceed to a hearing. If the faculty member waives hearing, but denies the charge or asserts that the charges do not support a finding of adequate cause, the Faculty Appellate Committee will evaluate all available evidence, including testimony and documentary

evidence presented by the University, and make its recommendation upon the evidence in the record.

- a) If the faculty member requests a hearing, the Faculty Appellate Committee will, with due diligence considering the interests of both the University and the faculty member, hold a hearing and report its findings and recommendations to the University President and to the faculty member.
- b) At hearings before the Faculty Appellate Committee, faculty members and the University will be permitted advisors and/or counsel. A court reporter will be retained by the University to record the proceedings. Parties will pay the cost of a copy of the transcript. The hearing will be conducted in a closed session.
- c) The faculty member will be afforded an opportunity to obtain necessary witnesses and documentary or other evidence, and the administration of the University will attempt to secure the cooperation of such witnesses and will make available necessary documents and other evidence within its control. No employee of the University, regardless of position, will be excluded or excused from appearing before the committee, if available.
- d) The faculty member and the University will have the right to cross examine all witnesses present. Depositions are admissible whenever a witness cannot appear.
- e) The committee may conclude by secret ballot: a) that adequate cause for dismissal/disciplinary action has not been established by the evidence, or; b) that adequate cause for dismissal/disciplinary action has been established, but an academic penalty less than dismissal and/or the recommended disciplinary action, including removal of tenure, would be more appropriate, or; c) that adequate cause for dismissal/disciplinary action has been established by the evidence. The committee may make any other recommendations it determines are appropriate. The committee's findings and recommendations will be made to the University President. The committee will send a copy of its findings and recommendations to the faculty member.
- f) The President will review the recommendations of the Faculty Appellate Committee and the Vice President for Academic Affairs and notify the faculty member of his/her recommendation to the Board of Regents. The faculty member will have the right to request the Board of Regents to review adverse findings and recommendations of the President. The request must be in writing and filed within fifteen (15) days after the President of the University mailed the notification to the faculty member.
- g) In the event the faculty member submits a timely request to the Board to review adverse findings and recommendations of the President, the faculty member must request a hearing of all of the evidence of the case, if desired. The Board of Regents has the discretion to determine whether the review will be a *de novo* hearing or a review of the record.



- h) Public statements and publicity about the case by the University will be avoided until the proceedings, including consideration by the Board of Regents, have concluded.

### **3.5.6 Dismissal of Tenured Faculty for Academic Unit Elimination or Financial Emergency**

A faculty member with tenure whose position is terminated based upon the elimination of an academic unit will be given five (5) months written notice if possible. 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.

If an appointment is terminated based upon academic unit elimination or financial emergency, the dismissed faculty member's position will not be filled by a replacement within a period of two years, unless the dismissed faculty member has been offered reappointment at the previous status.

## **3.6 ACADEMIC FREEDOM AND ACADEMIC RESPONSIBILITY**

### **3.6.1 Institutional Academic Freedom**

The accumulation and exchange of knowledge is 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, experimentation 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).

### **3.6.2 Academic Freedom**

The 1940 Statement of Principles on Academic Freedom and Tenure, with 1970 Interpretive 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 reflects the spirit of those stated principles. In the formulation that follows, these principles have been adopted as 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 introduce material, which 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 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 and with University policy.
- 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.
- f) The University 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 Cameron University and Rogers State 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)

### 3.6.3 Academic Responsibility

The concept of academic freedom shall be accompanied by an equally demanding concept of academic responsibility. The Board of Regents endorse (adopt) the AAUP 1987 Statement on Professional Ethics.

#### 3.6.3.1 Introduction

From its inception, the American Association of University Professors has recognized that membership in the academic profession carries with it special responsibilities. The Association has consistently affirmed these responsibilities in major policy statements, providing guidance to professors in such matters as their utterances as citizens, the exercise of their responsibilities to students and colleagues, and their conduct when resigning from an institution or when undertaking sponsored research. The *Statement on Professional Ethics* that follows sets forth those general standards that serve as a reminder of the variety of responsibilities assumed by all members of the profession.

In the enforcement of ethical standards, the academic profession differs from those of law and medicine, whose associations act to ensure the integrity of members engaged in private practice. In the academic profession the individual institution of higher learning provides this assurance and so should normally handle questions concerning propriety of conduct within its own framework by reference to a faculty group. The Association supports such local action and stands ready, through the general secretary and the Committee on Professional Ethics, to counsel with members of the academic community concerning questions of professional ethics and to inquire into complaints when local consideration is impossible or inappropriate. If the alleged offense is deemed sufficiently serious to raise the possibility of adverse action, the procedures should be in accordance with the 1940 *Statement of Principles on Academic Freedom and Tenure*, the 1958 *Statement on Procedural Standards in Faculty Dismissal Proceedings*, or the applicable provisions of the Association's *Recommended Institutional Regulations on Academic Freedom and Tenure*.

#### 3.6.3.2 The Statement

1. Professors, 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 professors 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 professors may follow subsidiary interests, these interests must never seriously hamper or compromise their freedom of inquiry.
2. As teachers, professors encourage the free pursuit of learning in their students. They hold before them the best scholarly and ethical standards of their discipline. Professors demonstrate respect for students as individuals and adhere to their proper roles as intellectual guides and counselors. Professors 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 professor 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.

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

4. As members of an academic institution, professors seek above all to be effective teachers and scholars. Although professors observe the stated regulations of the institution, provided the regulations do not contravene academic freedom, they maintain their right to criticize and seek revision. Professors 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, professors recognize the effect of their decision upon the program of the institution and give due notice of their intentions.

5. As members of their community, professors have the rights and obligations of other citizens. Professors 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, professors have a particular obligation to promote conditions of free inquiry and to further public understanding of academic freedom.

### **3.6.3.3 STUDENT APPEALS CONCERNING ENGLISH PROFICIENCY OF FACULTY**

1. It is the policy of Rogers State University that all who provide instruction at the University shall be proficient in written, aural, and spoken English so that they may adequately instruct students. Rogers State University has established procedures to ensure that faculty members have proficiency in written, aural, and spoken English.

2. A student who believes that a faculty member is not sufficiently proficient in written, aural, or spoken English may file a written complaint with the Vice President for Academic Affairs. The identity of the complainant(s) shall remain confidential. Anonymous complaints will not be accepted.

3. The Vice President for Academic Affairs shall notify the faculty member, the department head of the academic unit in which the faculty member is employed, and the dean of the school that a complaint has been received, although the identity of the complainant(s) shall remain confidential. If, after consulting with the school and department, the Vice President for Academic Affairs determines

that a formal inquiry is necessary, he/she shall appoint an independent evaluator to evaluate the English proficiency of the faculty member. The evaluator may visit the class of the faculty member named in the complaint, interview the faculty member, interview students, or engage in such other activities as necessary to evaluate the faculty member in a fair manner. The evaluator shall provide the Vice President for Academic Affairs with a written report of his/her findings as to the English proficiency of the faculty member and make recommendations of actions that should be taken.

4. The Vice President for Academic Affairs shall notify the complainant(s), the faculty member, the department head of the academic unit, and the dean of his/her findings as to the validity of the complaint. In the event that the faculty member is found not to be sufficiently proficient in English, the Vice President for Academic Affairs shall specify actions to be taken by the faculty member and/or the academic unit. Such actions may include but are not limited to: (1) reassignment of the faculty member to other duties; (2) re-evaluation of the faculty member for purposes of hiring, promotion, salary, or other personnel decisions; (3) appropriate remedial measures to assist the faculty member in improving his/her English proficiency; and (4) appropriate remedies for the affected students.

#### **3.6.3.4 Procedural Guidelines**

##### **3.6.3.4.1 Records**

Each faculty member will be responsible for maintaining accurate grade records. These records will become the primary document of students' performance in each class. The faculty is required to keep daily/biweekly records of each student's attendance, participation, and performance. The grade records should also reflect the way in which the final grade was calculated and assigned.

At the beginning of each semester, a class list will be provided to each faculty member by the Registrar's Office. This list may be used as a temporary class record, but as soon as possible, all pertinent information will be transferred to the grade records.

At the end of the semester, all adjunct faculty will submit their grade records along with their grades to the departmental administrative assistant. Full-time faculty members are required to maintain all grade records for five years, unless the grades are maintained in the computer-based course management system. In this case, the responsibility for keeping these grades lies with the University. Faculty may turn in their grade books to the department office for maintenance. Upon termination of employment, the faculty member must submit all grade records to the academic department. All grade records will be kept on file for five academic years in the academic department.

##### **3.6.3.4.2 Syllabi**

Each faculty member is responsible for the preparation of an up-to-date course syllabus. A copy of the syllabus must be provided to each student

in each class, and copies must be provided to the offices of the academic dean and the Vice President for Academic Affairs.

Each syllabus should include the following information as a minimum:

1. Course name and number, faculty member's name, phone number, e-mail address, and office number.
2. Course prerequisite and/or co-requisite.
3. Course description from the current bulletin.
4. Next course in sequence (if applicable).
5. Textbooks and other required materials. List the title, edition, author, and publisher of the textbook and supplemental workbooks, lab manuals, and any other materials that are the student's responsibility to obtain.
6. Course objectives. Inform the student about defined student outcomes and what he/she should be able to achieve upon completion of the course.
7. Teaching methods. State the teaching methods to be used, such as lecture, class discussion, guest speakers, films, lab assignments, etc.
8. Assessment techniques. Provide an explanation of how assignments and final grades are determined.
9. Grading system. State how the evaluation techniques will be used to compute the student's grade and how much grading emphasis will be assigned to each component.
10. Attendance policies. Inform the student of class attendance and late arrival policy and whether this policy will be included in the grading system.
11. Late assignment and make-up policy. Notify the student of time limits that exist for make-up work, etc.
12. General topic outline and agenda. Provide a tentative schedule of the events in class such as reading and problem assignments, due dates on reports, essays, and class projects, and tentative exam dates.
13. The Rogers State University plagiarism statement (refer to Academic Integrity Policy).
14. The most recent ADA statement.

#### **3.6.3.4.3 Curriculum Development**

All faculty members are expected to participate in course and curriculum development within their academic department. Proposals relative to new course(s), new program(s), changes in course(s), and/or changes in program(s) should be submitted on the appropriate forms available from the department head. The Curriculum Committee is responsible for reviewing and suggesting changes in the curriculum.

#### **3.6.3.4.4 Classroom Procedures**

As a professional courtesy, furniture in the classroom should be left in an orderly manner for other classes that will occupy the room. If it is necessary to rearrange the furniture for your class, please return the room to its original arrangement before leaving the classroom. The

boards should be erased before leaving the classroom, projectors turned off, and computers restarted as appropriate.

#### **3.6.3.4.5 Textbook Selection**

Generally, the selection of a text or texts for any class is the decision of the professor who teaches the class. However, individual departments that offer multiple sections of the same course may, at the discretion of the department head, form a committee comprised of the full-time faculty teaching that course. That committee will then adopt the course textbook that receives the most votes. In that case, the decision of the committee is mandatory. If the Department Head is teaching a course whose textbook is being determined by a committee, the Department Head may vote as a regular faculty member of the committee. In the case of a tie, the Department Head also votes to break the tie.

The senior (the one who has taught the course the longest) full-time faculty member teaching a course will select the texts for the sections taught by adjuncts.

Every effort should be made to minimize student costs, including adoption of less expensive editions, appropriate bundling, timely communication with the bookstore and with students, and limiting frequency of edition changes as appropriate.

Most publishers furnish desk copies of a textbook and ancillaries upon adoption of the text. Many publishers also send examination copies for consideration. Faculty should contact the publisher's representative directly to place their order for these copies.

#### **3.6.3.4.6 Classroom Supplies**

Each department is responsible for maintaining necessary standard classroom and office supplies. The faculty member should ask the departmental administrative assistant for normal supplies. Laboratory supplies should be ordered by the appropriate faculty member responsible for that laboratory, using the appropriate purchasing procedures.

#### **3.6.3.4.7 Examinations**

When appropriate, the faculty member should prepare and administer course examinations during the semester. In some instances, a departmental examination may be administered for courses with multiple sections. Special examinations may be administered to support assessment activities. Final examinations must be administered in adherence to the Final Exam Schedule published in the Schedule of Classes.

#### **3.6.3.4.8 Online Courses**

All faculty teaching online courses should include the following statement in their online syllabus:

“The materials on this course website are provided for the educational purposes of students enrolled in (name of course) at Rogers State University. These materials are subject to U.S. Copyright law and are not for further reproduction or transmission.”

Faculty teaching online courses will not require class assignments to be submitted during scheduled RSU holiday periods.

### **3.6.3.5 Procedures for the Release of Student Records and Information**

Information about students and former students gathered by Rogers State University is of two types: (1) directory, and (2) confidential. Any office gathering such information, and/or having custody of it, shall release it only in accordance with this policy.

When a student enters a university and furnishes data required for academic and personal records, there is an implicit and justifiable assumption of trust placed in the University as custodian of such information. This relationship continues with regard to any data subsequently generated during the student’s enrollment.

While the University fully acknowledges the student’s rights of privacy concerning this information, it also recognizes that certain information is part of the public record and may be released for legitimate purposes.

With these considerations in mind, Rogers State University adopts the following policy concerning the release of information contained in student records:

1. Directory Information: This is information that routinely appears in student directories and alumni publications and may be freely released. Upon written request by the student, this information will be treated as confidential and released only with the student’s written consent. Forms for withholding student “Directory Information” are available in the Office of the Registrar, second floor of Markham Hall. In accordance with the Family Educational Rights and Privacy Act of 1974, RSU identifies the following items as directory information:
  1. Academic classification
  2. Student’s current name
  3. Campus or local address
  4. Campus or local telephone number
  5. Academic major
  6. Student’s permanent address
  7. Student’s email address
  8. Current enrollment (verify or deny only)
  9. Dates of attendance at RSU
  10. Degree(s) conferred, and date(s) of graduation
2. Confidential Information: This is all other information contained in the student’s educational record and can be released only upon the written consent of the student, with the following exceptions as defined in the Family Educational Rights and Privacy Act of 1974, as amended, which waive prior student consent.



- a. Other school officials within the University who have legitimate educational interests. Other school officials are defined as:
- a person employed by the University in an administrative, supervisory, academic, research, or support staff position, including health and medical staff;
  - a person appointed to the Board of Regents;
  - a person or company with whom the University has contracted as its agent to provide a service instead of using University employees or officials (such as an attorney, auditor, or collection agent)
  - a person who is employed by the Campus Police; or
  - a student serving on an official committee such as a disciplinary or grievance committee, or who is assisting another school official in performing tasks.

A school official has a legitimate educational interest if the official is:

- performing a task related to the student's education;
- performing a task related to the discipline of a student;
- providing a service or benefit relating to the student or student's family such as health care, counseling, job placement, or financial aid; or
- maintaining the safety and security of the campus.

- b. Officials of schools to which the student seeks to transfer.
- c. The Comptroller General of the United States, the HEW Secretary, the administrative head of an educational agency, or State educational authorities.
- d. In connection with a student's application for, or receipt of, financial aid.
- e. State and local officials or authorities to whom such information is specifically required to be reported under State statute adopted prior to November 17, 1974.
- f. Organizations or educational agencies conducting legitimate research, provided no personally identifiable information about the student is made public.
- g. Accrediting organizations.
- h. Parents or legal guardians of a dependent student upon proof of dependency as defined by the Internal Revenue Code of 1954. (Parents or legal guardians of international students are excluded.)
- i. To comply with a judicial order or lawfully issued subpoena provided that the educational agency or institution makes a reasonable effort to notify the student of the order or subpoena in advance of compliance.
- j. In connection with an emergency when such information is necessary to protect the health or safety of the student or other persons.
- k. The result of any disciplinary proceeding conducted by the University against an alleged perpetrator of a crime of violence to the alleged victim of that crime.

Confidential information shall be transferred to a third party, however, only on the condition that such party will not permit any other party to have access to the information without the written consent of the student.

Original credentials with which a student applies for admission or readmission to Rogers State University become the property of the University, are assembled in a permanent student folder, and are made available only to those persons properly authorized to receive confidential information and then only in consultation with a professional staff member in the Office of Admissions.

Although the permanent academic record is a cumulative record compiled by the student, the Registrar is the officer of the University charged with the responsibility of its accuracy and safekeeping. Accordingly, the student folder and the permanent cumulative academic record are not available to anyone for removal from the Registrar's assigned depository.

While the release of an official transcript is limited to the student, or any party to whom he/she has assigned permission to request it, the student may place a hold on the release of his/her own transcript to anyone without his/her specific permission by filing a request in writing with the Registrar.

More information concerning this policy may be obtained by contacting the Office of the Registrar.

### **3.7 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 and first loyalty 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 department heads, who should maintain close and regular communication with the faculty member. Among the various mechanisms for ensuring faculty accountability, the most important include annual performance evaluations, 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.

For those cases where they are needed, the University has at its disposal the more drastic measures of severe sanctions.

## **3.8 FACULTY DEVELOPMENT AND EVALUATION POLICIES**

### **3.8.1 Introduction**

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 department head. A systematic procedure for accomplishing such evaluations shall be developed in each academic unit, with the participation and approval of the dean and the Vice President for Academic Affairs. 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 community engagement) if, in consultation with the dean and Vice President for Academic Affairs, this is determined to assist the entire University in best meeting its mission.

### **3.8.2 POST-TENURE REVIEW PROCESS**

Given the dynamic nature of the various fields of knowledge, practitioners of academic disciplines are challenged to keep abreast of changes and developments within their area of expertise. Rogers State University envisions Post-Tenure Review as a means of supporting faculty in enhancing their skills and expertise by providing opportunities for professional growth and development. To this end, the performance of tenured faculty shall be reviewed in the third year after the granting of tenure and in three year cycles thereafter. The areas reviewed shall be a faculty member's teaching; research and creative/scholarly activity; and professional and University service and community engagement. As a desired outcome, Post-Tenure Review shall identify areas of faculty development needed or desired for fulfillment of professional goals and roles within their discipline and the University.

In addition, to support this aim of professional growth and development, Post-Tenure Review is designed to support Rogers State University's primary mission as a teaching institution. In serving the needs of students, the University strongly acknowledges an obligation to ensure the quality of its instruction.

All tenured faculty members of the Rogers State University faculty will have their tenure reviewed at least every three years. Tenured faculty members are expected to perform in all applicable categories in accordance with this section. The specific timing of the review process will follow the same dates outlined in Section 3.8.8 (see Faculty Development and Evaluation Process). Faculty should prepare an updated curriculum vitae covering the period from the granting of tenure with the other required documentation. An annual review may be implemented for a tenured faculty member upon recommendation by the Department Head and Dean to the Vice President for Academic Affairs.

When the review results in a finding that a tenured faculty member's performance is unsatisfactory, the faculty member shall be notified of the deficiencies in performance and must be reviewed again within one (1) year. Two consecutive (annual)

unsatisfactory post-tenure reviews will be grounds for dismissal or suspension as outlined in section 3.5.1 of this manual.

If the initial review is unsatisfactory, the faculty member may request in writing to the Dean the formation of a Post-Tenure Review Committee no later than November 15. The committee shall consist of at least three tenured faculty members, all from the department of the one reviewed when possible. If the department has less than three tenured faculty members, the tenured faculty within the department plus additional tenured faculty members appointed by the Dean of the School to form a group of at least three tenured faculty members will serve as the committee.

The Post-Tenure Review Committee shall meet and select a chair. The committee will review all documentation submitted by the faculty member at the time of the initial review. The chair of the committee will submit a written narrative recommendation to the Dean and the Vice President for Academic Affairs no later than January 15. (The recommendation should be signed by each member of the reviewing committee. The Vice President for Academic Affairs will then communicate the results of the committee review to the faculty member.

### **3.8.3 Non-Tenured Regular Faculty Annual Evaluation**

The performance of non-tenured regular faculty members shall be evaluated by March 1 each year, and the results of the evaluation shall be placed in the personnel file of the non-tenured faculty member. The non-tenured faculty member shall be given a copy of the evaluation.

### **3.8.4 Guidelines**

Both the importance and the imperfection of a faculty development and evaluation system are duly considered in the Rogers State University scheme. It is designed within the following guidelines:

1. The Faculty Development and Evaluation System is designed to improve faculty performance.
2. The Faculty Development and Evaluation System will provide important information for promotion and tenure decisions.
3. The System utilizes several sources of data, and these sources are clearly communicated.
4. Evaluation procedures are individualized and flexible.
5. Individualization considers the institution's nature, directions, and priorities, the administrative unit's needs, and the individual's interests.
6. An annual academic performance review (Faculty Development and Evaluation Summary) is submitted for each full-time faculty member. A formal evaluation is conducted for each non-tenured member each year and for each tenured faculty member at least each fifth year.

### 3.8.5 Faculty Evaluation System

In addition to previously stated educational and experience requirements for appointment to various ranks, the Board of Regents of the University of Oklahoma has specified the following categories upon which academic rank and promotion in rank are based: 1) teaching; 2) research and creative/scholarly activity; and 3) professional and University service and community engagement.

The Faculty Development and Evaluation System of Rogers State University is designed to promote faculty development and to assess faculty performance on those prescribed criteria. Instrumentation of the system consists of four documents:

1. Faculty Development and Evaluation Criteria (Appendix A). This document lists criteria for evaluating faculty performance in the three categories
2. Catalog of Faculty Development and Evaluation Criteria (Appendix B). This document presents exemplars for each criterion. The exemplars are non-inclusive, but do provide examples and extend the definitions of the criteria. These exemplars should be used as guidelines and adapted according to the individual discipline area.
3. Faculty Development Plan (Appendix C). This document is an agreement for areas of emphasis for the forthcoming year
4. Faculty Development Plan-Report (Appendix D). This document is based on the items presented in the previous year's Faculty Development Plan and includes a summary of progress on identified objectives and additional accomplishments as appropriate.
5. Faculty Development and Evaluation Summary (Appendix E) "The Faculty Development and Evaluation Summary" is completed by the department head to list the education and experience of the faculty, rate the faculty member's performance in the categories of teaching; research and creative/scholarly activity; and professional and University service and community engagement, rate the faculty member's overall performance, and provide comments.

### 3.8.6 Evaluation Procedures

The "Catalog of Faculty Development and Evaluation Criteria" is utilized for establishing individual faculty development plans and for guiding individual faculty evaluations. Performance in each category is weighted by negotiation between the faculty member and the department head within limits as indicated below.

Institutional emphases define the weights of each category as follows:

Category 1 – Teaching	50-80%
Category 2 – Research and Creative/Scholarly Activity	5-40%
Category 3 – Professional and University Service and Community Engagement	10-45%

Category 4 – Performance of Non-teaching or Administrative Duties (if applicable)	25-50%
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All faculty are rated on negotiated criteria in Categories 1, 2, and 3, based on established limits. Those duties or assignments that result in a reduced teaching load will be considered in Category 4 and may affect the previously identified percentages. The rating on overall performance is a composite of the ratings in the categories.

The “Faculty Development and Evaluation Summary” is completed by the department head and is based upon a conference of the department head and the individual faculty member during which the relevant criteria for each category are rated. Not all criteria for each category apply to every faculty member. Relevancy of individual criteria is determined by the individual faculty member in consultation with the Department Head.

Commentary may be provided on the reverse side of the “Faculty Development and Evaluation Summary” as indicated. The “Faculty Development and Evaluation Summary” is signed by both the department head and the individual faculty member. The faculty member’s signature denotes that the evaluation has been conducted according to approved procedures. It does not necessarily mean agreement with the ratings.

A completed “Faculty Development and Evaluation Summary” and its corresponding Faculty Development Plan-Report for each full-time faculty member is submitted by the department head to the respective dean of the school for review. The dean of the school reviews the documents, provides comments, and signs both documents. The dean of the school retains a copy in the dean’s office and sends copies with all signatures to the department head. The department head retains signed copies of the documents and returns signed copies to the faculty member.

### **3.8.7 Evaluation Guidelines**

The Faculty Development and Evaluation System of Rogers State University will be administered within the following procedural principles and guidelines.

1. Each faculty member will be evaluated on all Category 1 criteria and on criteria from other categories as determined in consultation with the department head. However, the development plan to be composed at the beginning of the development-evaluation cycle will specify only areas the faculty and department head identify for development. These areas may be ones from Category 1 in which the faculty needs improvement as well as special tasks in other categories. It is assumed that performance on required criteria not listed in the development plan will remain stable over the evaluation cycle. Cycle-end evaluation will address both the areas listed in the development plan and the other required criteria.
2. The department head assumes that the faculty member is functioning at a level of “proficient” unless there is evidence to the contrary. For a rating lower than proficient, the head has the responsibility of presenting evidence; and for a rating higher than proficient, the faculty member has the responsibility of presenting evidence.

3. Faculty development and evaluation criteria are generally stated in minimum terms. Ratings on criteria vary according to the productivity of efforts.
4. The ratings on the evaluation scale are as follows:

**Outstanding:** Performance is among the best of colleagues in similar appointments in similar institutions in the respective field nationwide. On applicable criteria faculty member has recognition beyond the state.

**Commendable:** Performance is among the best of colleagues in similar appointments in similar institutions in the respective field statewide. On applicable criteria, faculty member has statewide recognition.

**Proficient:** Performance is productive, effective, and consistent with the achievement of the emphases, objectives, and interests of the institution, the administrative unit, and/or the individual.

**Needs Improvement:** Performance is less than adequate for achievement of the emphases, objectives, and interests of the institution, the administrative unit, and/or the individual.

**Critical:** Performance fails to contribute to the achievement of the emphases, objectives, and interests of the institution, the administrative unit, and/or the individual.

5. The “Faculty Development and Evaluation Summary” covers a year of performance except in certain instances; i.e., new faculty, faculty on leave, etc.
6. Activities, contributions, and involvements related to the University or to the faculty member’s educational field are of primary consideration in the evaluation.
7. While formal evaluations of tenured faculty are required at least each third year, formal evaluations may occur more frequently at the request of either the faculty member or the department head. In years when a complete evaluation is not done, a continuation form will be submitted.

### 3.8.8 Faculty Development and Evaluation Process

The faculty development and evaluation process for the year includes the following:

1. **By September 15**, the faculty member revises and updates the previous year’s “Faculty Development Plan-Report” as outlined in the following section entitled “Faculty Evaluation Guide”. It should list any activities completed the preceding year and not previously included in the “Faculty Development Plan-Report”. The faculty member forwards the revised plan to the department head.
2. **By October 1**, the faculty member and the department head meet for a year-end Evaluation. The department head should send the completed “Faculty

Development Evaluation Summary”, the associated “Faculty Development Plan-Report”, and documentation (if applicable) to the dean of the school.

3. **By October 15**, the dean should return copies of the faculty member’s evaluation documents, along with his/her comments to the department head and the faculty member.
4. **By November 1**, the faculty member and the department head complete the current year’s “Faculty Development Plan-Report”.

### **3.8.9 Faculty Evaluation Guide**

1. The following documents should be used:
  - a. Faculty Development Plan-Report
  - b. Faculty Development Evaluation Summary
2. The evaluation for the preceding year should be made during September/October on the basis of the “Faculty Development Plan-Report.”
  - a. Before the conference with the department head, the faculty member should conduct a year-end self-evaluation and succinctly describe progress for each exemplar listed in the preceding year’s “Faculty Development Plan-Report.” A brief statement indicating whether the exemplar was fully accomplished, partially accomplished, or not addressed is appropriate.
  - b. As the faculty member formulates an overall self-rating for the Faculty Development Plan-Report in the area of teaching, he/she should analyze progress on several exemplars and accurately combine these to give an overall rating. Overall self-evaluation with only one exemplar is not acceptable. Citing marks from a student evaluation, for example, is not adequate evidence for a rating in the area of teaching. The results from the student evaluations represent only one dimension of teaching effectiveness. Multiple methods should be used to formulate an overall self-rating. For example, results from peer-evaluations, student evaluations, ETS Major Field Achievement Tests, and other exemplars should be combined to support the rating for teaching effectiveness.
  - c. In the areas of research and creative/scholarly activity and professional and University service and community engagement, evidence from several exemplars should be combined to formulate the rating in each area.
3. Both the faculty member and the department head should have copies of each of the documents.
4. When the Faculty Development Plan-Report is complete, a conference should be scheduled between the department head and the faculty member.
5. In the conference, the department head should review the faculty member’s Faculty Development Plan-Report and make his/her own evaluation of the faculty member and mark it on the Faculty Development Evaluation Summary form. Documentation is required for ratings above or below proficient and should be attached to the evaluation forwarded to the dean.



## **3.9 FACULTY LOAD**

University faculty members have responsibilities in the following three areas:

- Teaching
- Research and creative/scholarly activity
- Professional and University service and community engagement

The scope and variety of professional and University service will depend upon the needs of the departments, schools, and the University at large.

Faculty load assignments will be monitored each semester by the department head, reviewed by the dean of the school, and approved by the Vice President for Academic Affairs.

### **3.9.1 Teaching**

Instructional assignments are based upon the expertise of the faculty member and needs of the academic department. The assignments are made by the department head in collaboration with the faculty member.

### **3.9.2 Research and Creative/Scholarly Activity**

Individual faculty research and creative/scholarly activities are defined by the professional interests of the faculty member. While the scope and nature of faculty research and creative/scholarly activity will vary among departments, University faculty shall be involved in those activities, individually or collaboratively, which advance the state of knowledge or performance levels of their respective fields. Both the pursuit of new knowledge or techniques and the application of knowledge in creative ways are valued.

### **3.9.3 Professional and University Service and Community Engagement**

#### **3.9.3.1 Student Advisement**

Academic advisement is a very important service responsibility for faculty. Advisors are expected to assist students with enrollment, to counsel them about career options, to provide them information about deadlines and checkpoints, and to monitor their progress through programs. A recommended maximum advisement load is approximately forty (40) students.

#### **3.9.3.2 Committees and Advisory Service**

University service activities include sponsorship of student organizations, membership on ad-hoc and standing committees, consultation to other areas of the University, and participation in activities that advance the academic programs of the University.

### **3.9.3.3 Professional Activities**

Membership in selected professional organizations appropriate to a faculty member's assignment includes involvement in professional organizations at local, state, regional, and nationwide levels, and consists of attending meetings, holding offices, and serving on committees.

### **3.9.3.4 Community Engagement**

Service to the community at large occurs when a faculty member contributes professional expertise pro bono to the activities of government, public schools, or other public and service agencies. The contribution may be in, but is not limited to, the following roles: consultant, program participant, member of a board or task force, or advisor.

## **3.10 DEPARTMENT HEAD LOAD**

The department head has the dual role of faculty member and chief administrator of the department. It is important that a proper balance be achieved between the department head's faculty assignment and administrative duties.

### **3.10.1 Teaching Load**

The teaching load for department heads is typically 6 hours per long semester and 3 hours per summer session.

### **3.10.2 Administrative Duties**

The department head is directly responsible to the dean of the respective school and has the charge of providing collegial leadership to the faculty of the academic department. This leadership is in five primary areas.

#### **3.10.2.1 Instructional Program Management**

1. Plans departmental course offerings to serve the department majors and provides appropriate service to other clientele (general education, other majors, off campus, and continuing education).
2. Prepares the departmental course schedule each regular semester and each summer term; identifies and recommends qualified faculty; coordinates the preparation and revision of syllabi and instructional objectives of the course of study.
3. Coordinates advisement of students in the department.
4. Coordinates strategic planning efforts and assessment plans for programs offered within the department.
5. Evaluates learning in the department through student evaluations of instruction, program review, and assessment of students.
6. Manages problems and attempts to resolve departmental conflicts.

7. Resolves problems related to closed classes during enrollment and manages enrollment in courses offered by the department.
8. Approves substitutes to cover classes when faculty must be absent.
9. Coordinates orders with the bookstore for textbooks and required student supplies.

#### **3.10.2.2 Personnel Management**

1. Coordinates the recruitment and selection of new faculty to maintain a balanced and diversified pool of instructional faculty.
2. Coordinates and participates in the annual faculty evaluation process and assists faculty in preparing their respective portfolio for tenure and promotion.
3. Assigns faculty responsibilities in the areas of instruction, advisement, and departmental service (facilities and equipment management, recruitment, etc.).
4. Fosters faculty development by providing appropriate feedback and assistance in obtaining professional developmental activities.
5. Acts as a communication link between the faculty and the administration.
6. Fosters good morale in the department through a positive outlook and positive relations among the members of the department.
7. Advocates appropriate recognition of faculty in the department.
8. Supervises and evaluates support staff as appropriate.
9. Recruits and supervises student workers and approves time sheets.

#### **3.10.2.3 Financial and Facilities Management**

1. Prepares and submits an annual department budget.
2. Manages and controls the department budget by allocating funds as needed, prepares requisitions, and verifies purchase receipts.
3. Supervises the use of department space and requests maintenance of space.
4. Supervises the equipment and instrumentation facilities of the department.
5. Conducts an annual inventory of the equipment and instrumentation assigned to the department.

6. Coordinates resources used jointly with other departments.

#### **3.10.2.4 Department and Program Development**

1. Coordinates the establishment of faculty and departmental goals in accordance with the University mission.
2. Coordinates departmental planning for development of quality instruction, research and creative/scholarly activities, facilities, equipment, personnel, and general progress.
3. Develops and recommends curricula for majors and minors in disciplines represented in the department.
4. Fosters good teaching by providing feedback from instructional evaluations.
5. Recruits students by collaborating with Admissions, by corresponding with prospective students, by hosting visiting students, and by preparing recruitment materials.
6. Coordinates regular program review and assessment activities in the department.
7. Supervises periodic follow-up studies of current students and graduates.

#### **3.10.2.5 Academic Leadership**

1. Encourages research and creative/scholarly activities among the faculty.
2. Encourages requests for appropriate external funding for the department.
3. Monitors and advances departmental mission and goals.
4. Communicates departmental needs within the University.
5. Engages in positive public relations by communicating information that improves the department's image and reputation.

### **3.11 DEPARTMENT HEAD SELECTION AND RETENTION**

#### **3.11.1 Selection Process**

Both departmental faculty and academic administration are involved in the process of selecting department heads. A department head may be appointed from within the University or from the result of a search and interview process as determined by the Vice President for Academic Affairs in consultation with the departmental faculty and dean. Searches outside the University will be handled in accordance with established faculty search procedures, including the role of faculty in searching for, interviewing, and recommending candidates. The steps for appointment within the University are as follows:

1. The dean will meet with the faculty of the department to discuss the role, responsibilities, and compensation of the department head. The faculty and dean will develop a written description of the qualifications necessary for a head of that department from duties and responsibilities outlined in the *Academic Policies and Procedures Manual*.
2. The dean will ask the faculty to submit nominations of candidates.
3. The dean will interview the nominees to determine their willingness to serve and their leadership philosophies.
4. The faculty of the department will meet to nominate one, two, or three acceptable candidates, identifying the strengths of each candidate and rank-ordering the nominees (if submitting more than one). The decision will be reported in writing to the dean.
5. The dean will submit a written recommendation on the faculty's nominee(s) to the Vice President for Academic Affairs.
6. Within two weeks of receipt of the dean's recommendation, the Vice President for Academic Affairs will forward the dean's recommendation and his/her written recommendation on the faculty's nominee to the President.
7. Within two weeks of receipt of the Vice President's recommendation, the President will notify the Vice President for Academic Affairs of his/her decision.
8. If the recommendation is not approved by the President, the process will be repeated, beginning with Step 4.

Any situation which is not covered in the aforementioned selection procedure will be handled cooperatively by the departmental faculty and the dean.

### **3.11.2 Terms of Appointment**

Because the University operates on a year-round basis, the head normally is appointed on a 12-month basis.

The length of the initial and subsequent appointment as department head shall be fixed at three years. Interim appointments are generally for one year and evaluated annually.

### **3.11.3 Evaluation of the Department Head**

Department Heads will be evaluated annually by their dean and departmental faculty. For evaluating the administrative effectiveness of the head, the dean solicits formal input from the entire faculty and staff of the department.

These evaluations, together with the dean's evaluation of the department head's performance, will be discussed with the department head and considered in future decisions regarding reappointment, rank, and salary.

### **3.11.4 Replacement of Department Heads for Cause**

If the departmental faculty believe a head should be replaced prior to the end of the appointment period, a request containing the signatures of sixty percent of the regular faculty who have taught in that department for three or more semesters may be submitted to the dean. After consultation with departmental faculty, the dean will determine whether or not the request is in the best interest of the department. If the dean disagrees, the decision and justification will be submitted in writing to the faculty and the Vice President for Academic Affairs. If the dean agrees, he/she will, with the written approval of the Vice President for Academic Affairs, initiate the selection process immediately.

If the department head's dean believes that the department head should be replaced prior to the end of the appointment period, the dean shall consult with the faculty and, in writing, notify the Vice President for Academic Affairs of the reasons for seeking a new department head. The written notification will state whether such action is supported by a majority of the faculty. If the Vice President for Academic Affairs concurs with the dean's recommendation, the Vice President for Academic Affairs will seek the President's approval to begin a new selection. If the President concurs, the faculty of the department will be notified that a selection process will begin.

## **3.12 POLICIES AFFECTING FACULTY AND DEPARTMENT HEAD LOAD**

### **3.12.1 Calculation of Teaching Load**

**Lecture** – 1 Carnegie clock hour per week = 1 semester hour unit

**Laboratory** – 2 Carnegie clock hours per week = 1 semester hour unit

The load status of classes listed as arranged courses, directed readings, independent studies, or departmentally specific courses will be evaluated by the department head, the dean, and the faculty member. Such courses may be judged by the same enrollment considerations applied to other courses.

Independent study courses are discouraged and no faculty member may teach more than 3 students during the entire academic year by this method. Faculty members teaching independent studies courses do not receive additional compensation. Faculty members teaching arranged courses, directed readings or departmentally specific courses will not be asked to teach a course without proper compensation. Arranged classes, departmentally specific courses, or directed readings courses will not be taught unless adequate enrollment is obtained.

### **3.12.2 Office Hours**

A full-time faculty member is required to schedule eight office hours per week. These hours will be spread over at least four days each week. In addition, a faculty member is expected to be available additional hours by appointment, if necessary.

Faculty with clinical and laboratory responsibilities may submit a request to the department head to include up to a maximum of four hours ~~five~~ toward the office hour

requirement. The department head, dean, and vice president for academic affairs must approve the request prior to the semester or academic year in which the request is to be effective.

Faculty teaching on-line classes may deduct one (1) hour of office hours for each on-line class that they teach. However, they must include in their syllabus a statement that they will answer all student e-mails from their class in an expedient manner. Most questions will be addressed within 12 hours and all should be answered within 24 hours, except for weekends, holidays, and extenuating circumstances.

During the summer semester, for each three- to five-hour class, two office hours will be posted per week. Those teaching only on-line during the summer will not be expected to keep office hours on campus. However, they must, again, include a statement in their syllabi that they will strive to answer all student e-mails from their class within 24 hours, except for weekends holidays, and extenuating circumstances.

Adjunct faculty will set aside at least one half hour either before or after class once a week in order to be available to students.

### **3.12.3 Absences from Duty**

When a faculty member is to be absent from an assigned responsibility, he/she must file a statement with the department head prior to the absence containing the reason for absence and provisions made to cover the responsibilities.

## **3.13 SABBATICAL LEAVE POLICY**

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, school, 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:

- 1) Research on significant problems and issues.
- 2) Important creative or descriptive work in any means of expression; for example, writing or painting.
- 3) Postdoctoral study at another institution to update teaching skills.
- 4) 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 Vice President for Academic Affairs, through the department head and school 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.

### **3.13.1 Conditions of Award**

A full sabbatical leave will be for one academic year at one-half salary or one semester at full salary. Persons who qualify for less than full sabbatical may be awarded a sabbatical on a proportional basis. Sabbatical leaves shall not be used as a means of augmenting personal income. The sabbatical program requires that persons on sabbatical devote full-time to the scholarly activity for which the sabbatical is granted and will receive no salary or stipend from sources other than the University, except that, with University approval, (1) persons on sabbatical at less than full salary may engage in other scholarly activity consistent with that for which the sabbatical is granted and receive salary, stipend, or honorarium from other sources in such amounts that total salary stipend, and honorarium do not exceed the annual income normally earned, and (2) persons on leave may receive grants from other sources for travel and research expenses incident to their scholarly activity.

Individuals receiving sabbatical leave shall enter into a written agreement to return to the service of the University and remain for a number of months equal to four times the number of months of full-time equivalent salary (example: One half (1/2) salary x ten (10) months = five (5) full-time months; the number of months to return to the University is five (5) full-time months x four (4) = twenty (20) months) or to repay the University the amount of salary received while on sabbatical leave, unless released from the obligation by the Board of Regents of The University of Oklahoma. If the individual returns to the University for only ~~for~~ part of the time required, the amount to be paid the University shall be proportionally reduced. The University shall require any faculty member or administrator who takes a sabbatical leave to give a bond payable to the State of Oklahoma conditional on return to the University at the close of the sabbatical.

At the termination of the sabbatical, and not later than two months after returning to the campus, the individual shall submit a report of the activities undertaken to the Vice President for Academic Affairs through the department head and the dean. The report will be used to evaluate future applications for sabbaticals of faculty members who have been granted one or more sabbaticals.



### **3.13.2 Eligibility**

Faculty members or administrators are eligible for full sabbatical leaves when they have been full-time employees of the University for six academic years. In order to qualify for a prorated sabbatical, the individual must have been a full-time employee of the University for a minimum of two academic years. For the purpose of determining eligibility for a sabbatical leave, only time spent on a sabbatical is considered as full-time employment; however, time spent on leave without pay is not considered full-time employment. A faculty member or administrator is eligible for a subsequent full sabbatical after six years following any sabbatical leave grant whether full or partial.

### **3.13.3 Application**

A faculty member or administrator shall make formal application for a sabbatical leave which includes the reasons for requesting the sabbatical leave, the activities planned during the sabbatical, and a schedule of the use of time while on the sabbatical leave. The application should be submitted to the President of the University through the appropriate department head, dean, and Vice President. The department head, dean, and Vice President shall each include a recommendation regarding the sabbatical leave. The decision for recommendation of a sabbatical leave shall be based on the following criteria:

- a) individuals presenting evidence of the highest critical need in order to maintain academic effectiveness;
- b) total years of academic or professional service at the University;
- c) potential contribution to an academic or professional discipline;
- d) length of remaining service to the University;
- e) possession of a terminal degree in the teaching field assigned; or pursuance of a terminal degree in a teaching field in which there is a shortage of qualified faculty.

## **3.14 EMERITUS STATUS**

The Board of Regents of the University of Oklahoma at its discretion may honor recommendations of presidents granting retired faculty members emeritus status and title after retirement. When members of the faculty retire under honorable conditions, they may be entitled to emeritus status and to the use of their last title emeritus (e.g., "President Emeritus," "Professor of History Emeritus," etc.). Retired faculty members' emeritus status and title shall be wholly honorary and does not entitle them to compensation of any kind. Emeritus status shall apply only in cases where the faculty member has been in the service of the University under the jurisdiction of this Board for at least ten years.

Emeritus status will entitle faculty to free library privileges.

Other University positions may be considered for emeritus status upon approval by the President.

# ACADEMIC POLICIES

## 4.1 GRADING POLICY

In accordance with the Oklahoma State Regents for Higher Education Grading Policy, the following types of grading entries with respective definitions will be used for institutional transcript notations:

### A. Grades Used in the Calculation of Grade Point Average (GPA)

<u>Grade</u>	<u>Note</u>	<u>Grade Point Per Hour</u>
A	Excellent	4
B	Good	3
C	Average	2
D	Below Average	1
F	Failing	0

### B. Other Symbols

#### I

An incomplete grade may be used to indicate that additional work is necessary to complete a course. It is not a substitute for an "F," and no student may be failing a course at the time an "I" grade is issued. To receive an "I", the student should have satisfactorily completed 70 percent of the course work for the semester but be unable to complete the remaining work due to extenuating circumstances. In order for an "I" to be awarded, a contract, signed by the student and faculty member, must be on file in the Office of the Registrar. If the contract is not fulfilled within the allotted timeframe, the instructor has the option of allowing the "I" to stand or awarding an "F". An "I" is GPA neutral.

#### AU

Audit status is used for the student not interested in obtaining a course grade, but who is enrolled simply to gain course information. An "AU" is GPA neutral. The allowable time to change an enrollment status from audit to credit or credit to audit is within the first five class days of a regular semester or within the first three days of the summer term. Students changing their enrollment status from audit to credit must meet institutional admission/retention standards.

#### N

The "N" is an indicator that the instructor did not submit the semester grade to the Registrar by the appropriate deadline. The "N" must be replaced by the appropriate letter grade prior to the end of the subsequent semester. An "N" is GPA neutral.

#### W

Withdrawals transacted during the first ten days of a regular semester or during the first five days of a summer term will not be recorded on the student transcript. A "W" will be recorded on the transcript for all withdrawals occurring during the third through the twelfth week of a regular (fall or spring) semester and during the second

through sixth week of a summer term. No course withdrawals, including complete withdrawals, are permitted during the last four weeks of the regular term or the last two weeks of the summer term. These deadlines are for regularly scheduled full-term courses. All other courses will have proportional withdrawal timelines. A “W” is GPA neutral.

**Student/s cannot be graded with a “W” unless they have initiated a withdrawal during the proper date guidelines as listed above.**

#### **AW**

Administrative Withdrawal may be assigned by the Office of Academic Affairs to indicate that a student has been “involuntarily” withdrawn from class(es) after the institution’s drop/add period for administrative or disciplinary reasons. Such withdrawals must follow formal institutional procedures. An “AW” is GPA neutral.

#### **P**

The “P” grade is neutral indicating minimal course requirements have been met and credit has been earned. It may also be used to indicate credit earned through advance standing or CLEP examinations. Although the “P” grade is neutral, it is counted in the total number of attempted hours for retention and the total number of attempted and earned hours for graduation.

#### **NP**

The “NP” grade is neutral and indicates that a student did not meet minimum requirements in a course designated for P/NP grading. Although the “NP” grade is neutral, it is counted in the total number of attempted hours for retention and the total number of attempted and earned hours for graduation.

### **4.1.1 MILITARY LEAVE**

Students called to military duty after the completion of twelve (12) weeks or more of the sixteen (16) weeks of a semester who are passing in their subjects at the time they are called shall be given credit for the full semester’s work.

## **4.2 CODE OF ACADEMIC CONDUCT**

### **4.2.1 GENERAL PROVISIONS**

#### **4.2.1.1 BASIC PRINCIPLE OF HONESTY**

Honesty is a fundamental precept in all academic activities, and those privileged to be members of a university community have a special obligation to observe the highest standards of honesty and a right to expect the same standards of all others. Academic misconduct in any form is inimical to the purposes and functions of the University and therefore is unacceptable and rigorously proscribed.

## **4.2.1.2 DEFINITIONS**

### **4.2.1.2.1 Academic Misconduct**

Any act which improperly affects the evaluation of a student's academic performance or achievement. The following terms illustrate but do not delimit or define academic misconduct:

- a) Cheating: the use of unauthorized materials, methods, or information in any academic exercise, including improper collaboration;
- b) Plagiarism: the representation of the words or ideas of another as one's own, including:
  - 1) direct quotation without both attribution and indication that the material is being directly quoted; e.g. quotation marks;
  - 2) paraphrase without attribution;
  - 3) paraphrase with or without attribution where the wording of the original remains substantially intact and is represented as the author's own;
  - 4) expression in one's own words, but without attribution, of ideas, arguments, lines of reasoning, facts, processes, or other products of the intellect where such material is learned from the work of another and is not part of the general fund of common academic knowledge;
- c) Fabrication: the falsification or invention of any information or citation in an academic exercise;
- d) Fraud: the falsification, forgery, or misrepresentation of academic work, including the resubmission of work performed for one class for credit in another class without the informed permission of the second instructor; or the falsification, forgery or misrepresentation of other academic records or documents, including admissions materials and transcripts; or the communication of false or misleading statements to obtain academic advantage or to avoid academic penalty;
- e) Destruction, misappropriation, or unauthorized possession of University property or the property of another;
- f) Bribery or intimidation;
- g) Assisting others in any act proscribed by this Code; or
- h) Attempting to engage in such acts.

#### **4.2.1.2.2 Course Dean**

The dean of the school in which the academic unit offering the course at issue is assigned.

#### **4.2.1.2.3 Code**

The Code of Academic Conduct of Rogers State University.

#### **4.2.1.2.4 Date of Service**

- a) When service is in person, the date the notice is actually delivered to the student, as noted on the return copy;
- b) When service is by mail, the date determined as follows:
  - 1) if notice is "signed for," the date the notice was "signed for" as indicated on the return mail receipt; or
  - 2) if notice is not "signed for," the date of return to the Vice President for Academic Affairs of the mail receipt, unless notice was sent to an address other than that last provided by the student to the Office of Admissions and Records as his or her current address.

#### **4.2.1.2.5 Instructor**

The faculty member or other person primarily responsible for instructing a particular course.

#### **4.2.1.2.6 Regular Class Day**

Any day, Monday through Friday, on which the University holds regularly scheduled classes, or regularly scheduled final examinations, except for Intersession classes.

#### **4.2.1.2.7 Student's Dean**

The dean of the school to which the student has been admitted.

### **4.2.1.3 RESPONSIBILITY FOR KNOWING THE CODE**

It is the responsibility of each instructor and each student to be familiar with the definitions, policies, and procedures concerning academic misconduct, and unfamiliarity with the Code shall not alter any rights or responsibilities provided herein.

## **4.2.2 REPORTING ACADEMIC MISCONDUCT**

### **4.2.2.1 WHO MAY FILE**

Any University administrative, faculty, or staff member may bring a complaint of academic misconduct by submitting a written report as provided hereafter. Students who identify an act of academic misconduct should report that act to an administrative, faculty, or staff member so that a complaint may be filed.

#### **4.2.2.2 INVESTIGATION OF MISCONDUCT**

Before imposing a grade penalty or filing a complaint of academic misconduct, the faculty or staff member shall initiate a preliminary inquiry to determine whether misconduct has occurred. During the course of this inquiry, the faculty or staff member may discuss the matter with the student suspected of misconduct and with others who may have relevant information.

#### **4.2.2.3 ACTION BY INSTRUCTOR: ADMONITION**

**4.2.2.3.1** An Instructor may conclude that an incident that meets the definition of misconduct under Sec. 4.2.1.2.1 nevertheless merits an admonition rather than a disciplinary sanction as defined in Section 7. In particular, an Instructor might conclude (but is not required to conclude) that the incident is more appropriately treated as an instructional rather than a disciplinary matter. When the Instructor concludes that an admonition is the more appropriate action, the Instructor may elect to reduce a student's grade and/or require additional, remedial academic work without first filing a charge of academic misconduct, subject to the following limitations and conditions:

- a. The admonition option is intended for assignments and examinations that do not involve a semester-long activity and when the incident in question is not of an egregious nature. The instructor may not use the admonition option for an incident of misconduct on a final examination, a term paper, or term project;
- b. An Instructor who elects to use the admonition option may impose no grade penalty greater than loss of all credit for the assignment; and,
- c. An Instructor who elects to use the admonition option must do the following before imposing the grade reduction or other requirement:
  - 1) inform the student of the nature of and basis for the misconduct;
  - 2) give the student an opportunity to explain;
  - 3) admonish the student and explain the grade reduction or other requirement to be imposed;
  - 4) where appropriate, instruct the student to resolve any confusion the student may have had regarding what constitutes proper academic conduct; and
  - 5) inform the student how to appeal the decision. Notice of procedures for appeal shall be provided in writing; such notice shall be presumed adequate if provided in the course syllabus with a reference to the information published by the Vice President for Academic Affairs on the consequences of accepting the admonition and the procedures for appeal.

**4.2.2.3.2** Unless the Vice President for Academic Affairs imposes a disciplinary sanction as described below, a student who accepts an admonition and resulting grade penalty under this subsection shall not be

deemed to have admitted guilt for an act of academic misconduct; provided, the record of the admonition may be used in any subsequent academic misconduct proceeding, as appropriate, to establish the student's prior familiarity with the fundamental rules of academic integrity.

**4.2.2.3.3** The Instructor shall notify the Vice President for Academic Affairs of the admonition, ordinarily within fifteen regular class days of discovery. The Vice President for Academic Affairs shall forward notice of the admonition to the Course Dean and the Student's Dean, ordinarily within fifteen class days of receipt of notice from the Instructor.

**4.2.2.3.4** The student may contest the admonition by contacting the Vice President for Academic Affairs within fifteen regular class days from the date of the Instructor's notice to the student and scheduling a meeting as provided in Section 4.2.3

**4.2.2.3.5** In cases of repeated offenses or otherwise as appropriate, the Vice President for Academic Affairs may announce a disciplinary penalty as provided in Section 7 . Prior to imposing such a sanction, the Vice President for Academic Affairs shall send notice to the student, ordinarily within fifteen class days of receipt of notice from the instructor but in no case more than thirty regular class days after discovery of the incident. Notice of the Vice President for Academic Affairs's intent to impose a sanction shall be treated as a "complaint" for purposes of notice and hearing as provided in Sections 4.2.3 and 4.2.4 of this Code, and the disciplinary sanction shall not be imposed until the student is permitted the opportunity to respond as provided in Sections 4.2.4 and 4.2.5 of this Code.

**4.2.2.3.6** Provided, where the Vice President for Academic Affairs announces a complaint ~~disciplinary sanction~~, the student may contest the complaint and any fact alleged therein by contacting the Vice President for Academic Affairs within fifteen regular class days of receiving notice of the proposed disciplinary sanction, notwithstanding the student's prior acceptance of the admonition.

**4.2.2.3.7** If the admonition or complaint is contested, the student retains all rights afforded under this Code to any student against whom a complaint is filed, including without limitation the right to representation, hearing, appeal, and the assignment of a neutral grade while the matter is pending.

#### **4.2.2.4 NOTIFICATION OF THE VICE PRESIDENT FOR ACADEMIC AFFAIRS**

All complaints shall be made in writing, ordinarily within fifteen regular class days of discovery, to the Vice President for Academic Affairs. This written complaint must contain the following information, and may be more specific than what was provided in Section 4.2.2.3.3. Complaints shall include the name of the student, the class in which the misconduct occurred if applicable, the date on which the incident was discovered, a brief description of the incident, and the grade penalty to be imposed if applicable.

## **4.2.3 NOTICE TO THE STUDENT**

### **4.2.3.1 NOTIFYING THE STUDENT**

Ordinarily within fifteen regular class days of receipt from the complaining party, but in no event more than thirty regular class days from discovery of the incident, the Vice President for Academic Affairs shall notify the student of the complaint in writing, which shall be served on the student in person or by mail.

#### **4.2.3.1.1 CONTENTS OF NOTICE**

The notice shall include a summary of the allegations, notification of the mandatory meeting described in Section 4.2.4.1, and a description of the student's right

- a) to a hearing with adequate notice; and
- b) to have counsel by an attorney at the student's expense;
- c) and to refrain from further discussing the matter or from making any further statement regarding the matter.

#### **4.2.3.1.2 RECEIPT OF NOTICE BY MAIL**

When service is by mail, the Vice President for Academic Affairs shall enclose the notice of charges in an envelope, postage prepaid, and mail the letter by certified mail, return receipt requested, to the student at the student's permanent or local address (as appropriate) on file in the Office of Enrollment Management the Registrar. When the above steps have been taken, the return receipt, whether signed or not, shall be deemed sufficient evidence that the student has been properly served and it shall be presumed that the student has received and read the notice.

### **4.2.3.2 SCHEDULING OF CONFERENCE WITH VICE PRESIDENT FOR ACADEMIC AFFAIRS**

Within two regular class days of the date of service, the student shall contact the Vice President for Academic Affairs and schedule a conference to discuss the matter as provided in Section 4.2.4.1.

### **4.2.3.3 DEFAULT**

If the student fails to respond within the prescribed time or fails to meet as directed, the student shall be in default and thereby waives the right to all University hearings, appeals, and challenges. In the event of a default at this point, the Vice President for Academic Affairs shall notify the Student's Dean, who shall confirm imposition of grade penalty and make recommendations for disciplinary sanctions.

### **4.2.3.4 CONTINUED ENROLLMENT PENDING RESOLUTION**

A student may continue his or her regular enrollment in the University pending administrative resolution of misconduct allegations. However, while a question of academic misconduct exists, a student may not graduate or receive a transcript without approval of the Vice President for Academic Affairs or his/ her designee,



and any transcript released during such period shall bear a notation that academic misconduct proceedings are ongoing.

## **4.2.4 RESPONSE BY STUDENT**

### **4.2.4.1 CONFERENCE BETWEEN STUDENT AND THE VICE PRESIDENT FOR ACADEMIC AFFAIRS**

A student charged with academic misconduct shall meet with the Vice President for Academic Affairs or his or her designee. The Vice President for Academic Affairs shall describe the academic misconduct process, possible sanctions, and the student's rights and responsibilities under this Code. At the conclusion of the conference, the student may:

- a) deny the charges--If the student denies the charges and wishes a hearing to contest them, the student must submit a written request for such a hearing to the Vice President for Academic Affairs within fifteen regular class days of the conference with the Vice President for Academic Affairs. The Vice President for Academic Affairs shall forward the request to the Academic Misconduct Board (AMB) within fifteen regular class days. Failure to request a hearing within the prescribed time shall waive the student's right to any University hearings, appeals, or challenges of the charges or of any sanctions imposed as a result of the academic misconduct.
- b) admit the charges--If the student admits the charges, the Vice President for Academic Affairs will inform the Student's Dean, the Course Dean, and the Instructor; also, the Department Head of the Instructor's academic unit, where applicable. The Instructor shall thereafter impose a grade penalty, and the Student's Dean shall make his or her recommendation to the Vice President for Academic Affairs for further sanctions, if any. Provided, however, that if the student admits the charges but wants to confer with the Student's Dean or to submit written statement concerning extenuating circumstances affecting disciplinary sanctions, the student may do so only if done within five regular class days of the date of admission of the charge. Failure to do so within the five regular class days will result in the Dean making his or her recommendation without such information.

### **4.2.4.2 OPTIONAL MEETING BETWEEN STUDENT AND PERSON INITIATING THE CHARGE**

Nothing herein is intended to preclude the student from discussing the incident with the person initiating the charge, if that person agrees; in fact, such a discussion is encouraged. However, once a charge is filed, such a meeting should be scheduled only after the student and the complainant confer with the Vice President for Academic Affairs, who will arrange the meeting if agreeable to the parties involved. It should be understood that any such meeting shall not extend the period of time for requesting a hearing. If, after the student meets with the charging party, the student wishes:

- a) To contest the charges and has not already done so, the student must comply with the requirements for submitting the written request to the Vice President for Academic Affairs, as set forth in Section 4.2.4.1(a) above.

- b) To admit to the charges and has not already done so, the student may do so by so informing the Vice President for Academic Affairs, who will then initiate the action as outlined in Section 4.2.4.1(b) above.

#### **4.2.4.3 WITHDRAWAL OF CHARGE**

It should be understood that the person initiating the charge of academic misconduct may withdraw the charge at any time prior to commencement of a hearing by the Academic Misconduct Board or, if no hearing is held, imposition of a final sanction. This is affected by sending written notice to the personnel who notified the Vice President for Academic Affairs of the charge in the first place. The personnel shall then inform, in writing, the Vice President for Academic Affairs and any others who need to know that the charge has been withdrawn.

### **4.2.5 ACADEMIC MISCONDUCT HEARINGS**

#### **4.2.5.1 ACADEMIC MISCONDUCT BOARD**

An Academic Misconduct Board (AMB) consisting of one student and two faculty members will hear each case. Membership of the Board shall be drawn from the Academic Integrity Committee.

#### **4.2.5.2 SCOPE OF HEARING**

The focus of inquiry shall be the guilt or innocence of those accused of academic misconduct. The AMB will consider the information and arguments presented, make findings of facts of matters in dispute, and determine whether the student did engage in academic misconduct. The AMB will also hear all evidence and argument concerning extenuating circumstances that may affect decisions about what disciplinary sanctions, if any, should be imposed.

#### **4.2.5.3 HEARING PROCEDURES**

- a) Once a request for a hearing has been received by the Vice President for Academic Affairs, the AMB shall convene within twenty regular class days, excluding Intersession, except that the Vice President for Academic Affairs or his or her designee may grant extensions of this time upon receipt of a request from the student, the complainant, or the Course Dean.
- b) If the Vice President for Academic Affairs grants the request, release of transcripts during the extension shall be permitted as follows:
  - 1) If the request was made by the student, the provisions of Section 4.2.3.4 regarding graduation and the release of transcripts shall remain in effect.
  - 2) If the request was made by the complainant or the school, notwithstanding the provisions of Section 4.2.3.4, during the extension period the student may receive transcripts without notation of the pending case.
- c) Written notification of a hearing must be distributed to by the Vice President for Academic Affairs to the AMB, Dean, and parties involved in the hearing at

least five regular class days in advance of the hearing date, and should include:

- 1) The authority for the hearing and the hearing body;
  - 2) Reference to the specific rule or rules involved;
  - 3) Date, time, nature, and place of the hearing;
  - 4) A brief factual statement of the charges and issues involved.
- d) Students who fail to appear after proper notice will be deemed to have admitted guilt to the charges against them.
- e) Parties must provide, upon request by the Vice President for Academic Affairs, the AMB, or the opposing party, the name of any counsel who will be present at the hearing and a list of witnesses to be called in the hearing, along with the nature of their expected testimony, and must allow examination of any documents to be submitted in the hearing. Failure to disclose such information in a reasonable and timely manner may be grounds for delaying the hearing, suspending the provisions of this section concerning transcripts and graduation, and, in the case of repeated or egregious noncompliance, dismissing the case or declaring guilt by default. The AMB holding the hearing may adopt such other procedural rules as it deems necessary and proper to expedite hearings and promote fairness.
- f) Hearings will be closed to the public and shall be confidential, although an open hearing may be held at the discretion of the AMB, if agreed by all parties.
- g) The presiding officer of each AMB shall exercise control over the hearing to avoid needless consumption of time and to prevent harassment or intimidation.
- h) Hearings shall be recorded.
- i) At the beginning of the hearing, any party may challenge any AMB member, one at a time, on the grounds that he or she is unable to give the student a fair and impartial hearing. The remaining members of the hearing body shall decide the challenge by secret ballot. However, if the entire AMB is challenged, the entire AMB shall rule on the challenge. The hearing will continue if at least two faculty members and one student remain.
- j) Witnesses shall be asked to affirm that their testimony is truthful.
- k) Prospective witnesses other than the complainant and the student may be excluded from the hearing during the testimony of other witnesses. All parties, the witnesses, and the public shall be excluded during AMB deliberations.

- l) The burden of proof shall be upon the complainant, who must establish the guilt of the respondent by a preponderance of the evidence.
- m) Formal rules of evidence shall not be applicable in these proceedings. The presiding officer of each AMB shall give effect to the rules of confidentiality and privilege.
- n) The AMB shall not receive or consider arguments about the legality of any provision under which a charge has been brought or the legality of the procedures under which the hearing is proceeding. Such questions should be presented in writing to the Vice President for Academic Affairs.
- o) All parties shall have reasonable opportunity to question witnesses and present information and argument deemed relevant by the AMB.
- p) Final decisions of the AMB shall be by majority vote of the members present and voting. The final decision of the AMB shall contain a written statement setting forth with reasonable particularity, findings of fact, the decision on each of the charges, its recommendations for disciplinary sanctions, and the reasoning behind these decisions. These materials shall be transmitted as described in Section 4.2.5.4, together with the AMB's record of the proceedings and a summary.
- q) Depending upon the gravity of the case, the AMB, at its discretion, may require the parties to submit written briefs and responses, including supporting documents, setting forth the respective positions dealing with all issues.

#### **4.2.5.4 RESULTS OF THE HEARING**

##### **4.2.5.4.1 DISMISSAL OF CHARGES BY THE AMB**

If the AMB finds that the facts do not support the allegation, the charges will be dismissed. The chair of the AMB shall transmit the decision in writing to the appropriate deans and the Vice President for Academic Affairs within fifteen regular class days of the conclusion of the hearing. All other AMB records of the case shall be destroyed after twenty regular class days of such transmittal. The Vice President for Academic Affairs shall then notify the student in writing of the decision of the AMB. The matter is then ENDED.

##### **4.2.5.4.2 WHEN FACTS SUPPORT ALLEGATIONS AGAINST THE STUDENT**

###### **4.2.5.4.2.1 AMB ACTION**

If the AMB finds that the facts support the allegations against the student, the student shall be found guilty. After a finding of guilt, it is the duty of the AMB to recommend appropriate disciplinary sanctions. Some relevant factors the AMB may consider in determining a sanction recommendation include, but are not limited to:

- a) The facts that have been presented to the AMB at the hearing;

- b) Any mitigating or extenuating circumstances that have been presented by any party during the hearing;
- c) Prior academic misconduct on the part of the student.

After weighing all factors it considers relevant, the AMB shall recommend disciplinary sanctions to the Student's Dean. The AMB's findings and recommendations shall be made in writing within fifteen regular class days of the conclusion of the hearing.

#### **4.2.5.4.2.2 DEAN'S ACTION**

Based upon the facts of the case and any relevant factors, the Student's Dean shall determine if any disciplinary sanction is to be recommended to the Vice President for Academic Affairs. If the recommendation of the Student's Dean differs from that of the AMB, the Student's Dean shall provide in writing the reasoning for his or her recommendation.

The Student's Dean shall, within fifteen regular class days of receipt of the AMB's report, send to the Vice President for Academic Affairs in writing:

- 1) the AMB's record of proceedings, including a summary;
- 2) the written decision and recommendation of the AMB holding any hearing; and
- 3) the recommended sanction of the Student's Dean.

Within fifteen regular class days of receipt of the AMB's report, the Student's Dean shall also notify the appropriate parties of the AMB's findings and recommendations. These parties may include the student, the counsel for the student (if any), the Course Dean, (if different from the Student's Dean), the faculty or staff member who notified the Course Dean of the incident, the counsel for the University, and the Vice President for Academic Affairs.

## **4.2.6 GRADE PENALTIES**

### **4.2.6.1 IMPOSITION OF GRADE PENALTIES**

An Instructor has an obligation to impose grade penalties once the charge is upheld. These penalties may include, but are not limited to:

- a. Requiring the student to complete a substitute assignment or examination.
- b. Awarding the student a failing grade on the examination or paper or on those portions of it on which the student was engaged in academic misconduct.

- c. Lowering the student's final grade in the course or award a failing grade of "F" in the course.

The weight of the grade penalty as calculated in the final grade may exceed the weight of the work in which the misconduct occurred.

## **4.2.7 DISCIPLINARY SANCTIONS**

The disciplinary sanctions noted below may be recommended by the AMB and/or the Student's Dean to the Vice President for Academic Affairs. The examples are illustrative of each category of disciplinary sanctions, are not intended to be totally inclusive, and omission of a particular act shall not be construed as indicating that such an act is acceptable or appropriate. Furthermore, the acts described do not need to result in the disciplinary sanctions noted if judgment suggest otherwise.

### **4.2.7.1 CENSURE**

A written reprimand for violation of acceptable standards of academic conduct. This action takes formal notice of the student's act of academic misconduct and provides a formal warning that a further act of academic misconduct ~~will~~ may result in ~~far more~~ severe action. Censure shall not be noted on a student's transcript, but will be noted in the Student Affairs Office. Copies of the letter of censure shall be provided to the student, the Student Affairs Office, the Student's Dean, the Course Dean (if different than the Student's Dean), and, if applicable, the head of the department in which the course is taught, and the Instructor. The sort of academic misconduct which might result in censure might be a case in which a student has copied on an examination and in which it seems that the cheating was the result of momentary panic. There would be no reason to suppose that the student had planned to cheat and there would be no prior record of academic misconduct.

### **4.2.7.2 COMMUNITY SERVICE ALTERNATIVE**

In appropriate cases, a student may be allowed to perform voluntary community service in lieu of suspension and may, upon satisfactory completion, receive a lesser sanction. No student may be compelled to perform community service as part of any sanction imposed under this Code. In the event that a student refuses community service the student will receive the harsher sanction of limited or permanent notation suspension. In the event that a student accepts a community service alternative, the terms and duration of such service shall be approved by the Vice President for Academic Affairs. The sort of academic misconduct which would result in the offer of the community service option would be a case in which mitigating factors counsel against the imposition of a limited notation suspension.

### **4.2.7.3 LIMITED NOTATION SUSPENSION**

Suspension from classes and other privileges for a period of not less than one full semester. A notation of suspension for academic misconduct shall be made on the student's transcript. However, in the case of limited notation, such transcript notation shall be removed upon the student's graduation from the University or four years from the date of the suspension, whichever comes first.

The sort of academic misconduct that might result in limited notation suspension might be a case of classroom cheating involving some prior planning, or some cases of plagiarism in which it seems that the plagiarism may have occurred partially because of mitigating circumstances.

#### **4.2.7.4 PERMANENT NOTATION SUSPENSION**

Suspension from classes and other privileges for a period of not less than one full semester. A notation of suspension for academic misconduct shall be made on the student's transcript. In the case of permanent notation, there will be no time limit to such transcript notation. The sort of academic misconduct which might result in permanent notation suspension might be a case in which knowing and substantial plagiarism has occurred, or a case of classroom cheating in which it is determined that extensive collaboration or planning was involved, or other cases substantially involving one or more aggravating factors such as planning, collaboration, or concealment.

#### **4.2.7.5 EXPULSION**

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. Such notation shall be a permanent notation. If a student is reinstated after an expulsion, it is only after a complete reconsideration of his or her case. The sort of academic misconduct which might result in expulsion might be a case in which the student has been involved in a prior incident of academic misconduct; the student has submitted to the University forged documents such as transcripts; a student has taken someone else's examinations or arranged for someone else to take his/hers; commercial term papers have been submitted; examinations, grade books, grade sheets, or other instructor possessions have been stolen, copied, or otherwise utilized; or destruction of the academic work of others or intimidation has been used in an attempt to influence the academic process.

#### **4.2.7.6 RECORDS OF SANCTIONS AND ADMONITIONS**

Records shall be maintained as follows:

- a) Records of admonitions and the sanction of Censure shall be maintained for four years, subject to review as provided in part (c) of this section. Records of grade penalties shall be maintained permanently.
- b) Records of disciplinary sanctions other than Censure shall be maintained permanently, subject to review as provided in part (c) of this section.
- c) Students and former students who have received a disciplinary sanction for academic misconduct may at any time request that the record be removed from their student file. This is an extraordinary step requiring a showing of good cause by the student. The request, along with the reasons therefore, must be submitted in writing to the Vice President for Academic Affairs.

#### **4.2.7.7 DETERMINATION OF DISCIPLINARY SANCTION AND ITS IMPLEMENTATION**

It shall be the responsibility of the Vice President for Academic Affairs to review the materials sent by the Student's Dean and to determine and implement the appropriate action and disciplinary sanctions. Implementation of the appropriate action or disciplinary sanctions by the Vice President for Academic Affairs shall end the process. The Vice President for Academic Affairs shall attempt to inform the student in writing of the action being taken. A letter to the student at the address last provided the University by the student shall be sufficient to meet this requirement. Copies of the letter may also be provided other parties who have a legitimate need to know of the action.

### **4.2.8 POST-SANCTION PROCEDURES**

#### **4.2.8.1 GROUNDS FOR APPEAL**

The recommendation of the AMB as to the facts shall be appealable within the University to the Academic Vice President if;

- a) it can be established that specified procedural irregularities were so substantial as to effectively deny the student a fair hearing; or
- b) new and significant evidence becomes available which could not have been discovered by a reasonably diligent student before or during the original hearing.

#### **4.2.8.2 REHEARING AND PETITION FOR REVIEW**

Findings of fact shall be accompanied by a concise and explicit statement of underlying facts supporting the findings. A copy of the written final decision of the AMB - as described in 4.2.5.3(p) -shall be delivered or mailed to each party and his/her attorney of record. For questions of procedures and/or hearings, see the Oklahoma Administrative Procedures Act. In all cases, the President and the Board of Regents of the University reserve the right to review, at their discretion, any decision of a hearing body for manifest error or inequity.

## **4.3 FINAL GRADE APPEAL PROCESS**

The responsibility for academic evaluations of students rests with the faculty. If a student feels s/he has received a prejudiced or capricious final grade by an instructor, and if s/he is unable to resolve the matter in an informal conference with the instructor or Department Head, a more formal process is provided except for those cases that arise where specialized policies and procedures shall apply at the department/program level.

1. Students may appeal a final grade through an informal or formal procedure after the grade has been posted. Students wishing to informally appeal a final course grade must adhere to the following steps:
  - a. The student must first discuss the grade with the Instructor. Ideally, this process is grounded on the premise that resolution should occur at the level of the Instructor and



student relationship. However, if the issue is still unresolved, the Instructor and/or student may find it necessary to consult with the Department Head. (If the Instructor is the department head, the appointment must be made with the Dean of the School in which the course is offered).

- b. If dissatisfied at this point, the student must next make an appointment with the Dean of the School in which the course is offered. The student must bring a written statement of the problem(s) to this meeting. If the Instructor is the Dean, the appointment must be made with the Vice President for Academic Affairs.
  - c. The Dean will research the issues presented and may elect to hold a conference with both the Instructor and the student to mediate the problem(s). If the Instructor involved is the Dean, the Vice President for Academic Affairs may mediate with the student's request.
2. If no satisfactory resolution results from the informal grade appeal (this informal process must be completed within thirty regular class days, excluding summer sessions, of the grade being officially posted) the student may file a formal grade appeal to be considered by a Grade Appeal Board (GAB) appointed from the Academic Integrity Committee. The GAB will consist of two faculty members, at least one of whom must be from the School in which the appeal is filed, and a student. The appeal form must be filed with the Dean of the School in which the course is offered within thirty regular class days, excluding summer sessions, of the grade being officially posted. Appeal forms are available in the Registrar's Office, the Office of Academic Affairs, and the School Dean's office. The following steps will be followed:
- a) The Vice President for Academic Affairs will contact the student to complete a formal grade appeal form. The student will provide all necessary documentation to the Vice President for Academic Affairs with the formal grade appeal form, including the following:
    1. Written statement of the problem(s) discussed with the Dean;
    2. Any records, documentation (such as medical records) or evidence supporting the grade appeal claim.
  - b) The GAB will then review the grade appeal documentation within the scope of whether the request has met at least one of the following criteria:
    1. Did the Instructor communicate to the class the method by which the grade would be determined?
    2. Was the method communicated to the class followed by the Instructor in calculating the grade?
    3. Was the calculation of the grade mathematically correct?
    4. Was the student graded in the same manner as other members of the class?
    5. If the method of determining the grade was altered after the semester began, was the method communicated and applied uniformly?
    6. Is the student alleging extraordinary extenuating circumstances beyond his/her control, for which documentation is submitted?
  - c) The GAB will review written documentation submitted by the student and any documentation received from the Instructor. The GAB will have ten regular class days to

render a decision. The GAB does not take into consideration approving or disapproving an Instructor's teaching methods or choice of assignments. At the conclusion of this review, the GAB will propose one of the following courses of action:

1. Render a judgment of upholding the posted grade; or
  2. Recommend an appeal hearing to review and render a decision.
- d) If the GAB decides to hold a formal hearing (within 10 regular class days), the Vice President for Academic Affairs is responsible for notifying all concerned parties of the time, date, and place of the hearing. The GAB will hold a closed hearing with the student, the Instructor, and any witnesses. Names of witnesses must be submitted to the Vice President for Academic Affairs at least 48 hours before the hearing. Neither the student nor the Instructor should discuss the appeal with the GAB members, opposing witnesses, or each other before the hearing.
- e) The GAB will submit its recommendation in writing within five regular class days of the conclusion of the hearing to the Chair of the Academic Integrity Committee and to the Vice President for Academic Affairs. The Registrar's Office, the student, the appropriate Dean's office, and the Instructor will be notified of the decision within five regular class days.
- f) If the appeal results in a decision to change a grade, the Vice President for Academic Affairs is responsible for notifying the Instructor to modify the grade. Once the grade change is submitted, the Registrar's Office, the student, and the appropriate Dean's office will be formally notified.
- g) All decisions of the Vice President for Academic Affairs in consideration of the GAB recommendations will be final. In all cases, the President and the Board of Regents of the University reserve the right to review, at their discretion, any decision of a hearing body for manifest error or inequity.

## **4.4 STUDENT ABSENCES FOR UNIVERSITY SPONSORED EVENTS**

In general, regular student attendance in classes is required. A student is responsible for the content of each course in which s/he is officially enrolled. At the beginning of each course the instructor will define and quantify attendance standards, procedures for verifying unavoidable absences, and methods of dealing with missed assignments and examinations. Class attendance policies that impact grades will be included in the course syllabus. Instructors will keep a record of daily attendance for each student. This procedure will be important in verifying student attendance for financial and/or legal reasons.

Specifically, when students are absent from classes due to participation in a University sponsored activity (academic events, field trips, athletics, etc.) in connection with some co-curricular or extra-curricular activity, arrangements must be made in advance so that the effect on the total instructional program may be considered. Absence from classes as a result of a field trip does not in any way relieve a student from responsibility for the work missed. Satisfactory arrangements must be made in advance with the faculty members involved.

## APPENDIX A

### *Rogers State University*

#### FACULTY DEVELOPMENT AND EVALUATION CRITERIA

The criteria used to assist in evaluation of faculty for advancement in rank (promotion), tenure, and special recognitions are adapted from Ernest L. Boyer's Scholarship Reconsidered: Priorities of the Professoriate, and the American Association of State Colleges and Universities' The Core of Academe: Teaching, Scholarly Activity, and Service

#### Teaching

"Teaching" is assessed using six criteria that revolve around the core areas of teaching: instruction, assessment and evaluation of that instruction. Examples and definitions of the criteria are not all inclusive. Criteria examples are generalized to multiple instructional delivery modes and styles.

Evaluate all criteria in reference to course evaluations and syllabi from each class taught over the previous semester, as well as the previous academic year's department evaluation. Evidence of criteria will not necessarily include documentation of all examples listed.

Criterion 1: Demonstrates subject matter mastery.

#### *Examples*

- Disseminates appropriate scholarly information to students.
- Supplements textbook content with recent and relevant information.
- Makes appropriate and timely changes in the course to reflect current information.
- Chooses appropriate textbook and/or instructional materials for the course.
- Reinforces appropriate cognitive, affective, and/or psychomotor skills in students.

Criterion 2: Designs course within a scheme of the overall curriculum and program objectives.

#### *Examples*

- Distributes a course syllabus with clearly stated objectives, content, and requirements.
- Includes relevant and meaningful learning activities.
- Plans for delivery of content relative to specific course and overall program objectives.
- Recognizes diversity and varying learning styles in students.
- Reviews course content as well as instructional and assessment strategies on a regular basis so that courses are current and maintain relevancy.
- Uses and plans for innovative teaching methods when applicable.

Criterion 3: Delivers instruction effectively.

#### *Examples*

- Motivates students to achieve their best.
- Demonstrates appropriate and timely use of teaching strategies, i.e., higher order questioning, inquiry method, group discussions, simulation, independent study, analogies, and parables.
- Promotes learning approaches suitable to the course objectives, i.e., memorization, analysis, synthesis, application.
- Shows how the present topic is related to those topics that have been or will be taught.

- Changes instruction based on the results of formative assessment and student feedback.
- Provides closure by summarizing and fitting into context what has been taught.
- Designs courses so that student learning time for instructional and learning activities is appropriate.
- Uses audio-visual and technological teaching aids effectively and appropriately.
- Makes available opportunities for students to learn from primary sources of information associated with a particular discipline or area of study. I.e. labs, guest speakers, documents, and databases
- Minimizes obfuscatory sesquipedalian rhetoric.

Criterion 4: Evaluates student achievement on identified criteria.

*Examples*

- Explains grading system in course syllabus.
- Inform students of any modification of grading system as the course progresses.
- Uses a variety of assessment techniques (peer reviews, projects, papers, essay examinations, objective examinations, oral reports, etc.).
- Evaluates student learning in practical, laboratory, field-based activities which are based upon communicated observational criteria when appropriate.
- Provides feedback to students on tests, papers, oral reports and observations.
- Keeps students informed of current grade in course.
- Posts and/or returns graded tests and papers promptly either in person or electronically in a safe, secure manner.

Criterion 5: Serves as an academic advisor and/or mentor.

*Examples*

- Interacts and communicates with students in a positive professional manner.
- Assists students in making informed and relevant academic decisions as an academic advisor.
- Advises, consults, and or directs student research and/or capstone projects.
- Facilitates students' development as an independent thinker and learner in terms of their educational plan.

Criterion 6: Fulfills instructional administrative responsibilities related to the particular mode of instructional delivery employed.

*Examples*

- Meets all traditional face-to-face classes as scheduled at their designated time, as well as arriving promptly and holding class for the duration of the scheduled time.
- Conducts final examinations as scheduled.
- Files enrollment, attendance, and grade reports in accordance with university practice.
- Submits textbook orders on a timely basis.
- Is responsible for instructional laboratory materials, supplies, and equipment. Maintains adequate posted office hours whether by electronic or face-to-face means.
- Is available by appointment in addition to posted office hours.
- Consistently responds to and frequently interacts with students according to their needs for feedback.

## **Research and Creative/Scholarly Activity**

Research and Creative/Scholarly Activity is essential to the well-rounded faculty member. Faculty display their professional credentials by “[demonstrating their] capacity to do original research, study a serious intellectual problem, and present to colleagues the results” (Boyer, 27). In addition, scholarship enables faculty to remain current with developments in their academic disciplines. Through scholarship and research, a faculty member contributes to specific academic disciplines, the university community, and the professional community.

Evaluation is not solely based upon the quantity of scholarship produced, but, for example, on its quality, originality, contribution to an academic discipline, the institution, education and/or the general public.

Some activities indicative of scholarly activity include:

- Produces, exhibits, or performs creative works that are recognized locally, regionally, nationally, or internationally.
- Delivers invited or competitive lectures, papers, speeches, or presentations at colleges or universities, professional meetings, conventions, and conferences, through face-to-face or virtual attendance.
- Submits products of scholarship for peer review, or reviews/edits products of scholarship.
- Collaborates with colleagues at the local and other campuses in activities oriented toward making a contribution to the advancement of knowledge, methodology, or development of a discipline.
- Applies for and receives grants and awards.
- Obtains local, state, regional, national or international recognition for recent, as well as past contributions, to a particular field of study by a variety of means (requests for reprints, invitations to read papers, citations of research, invitations to exhibit, requests for interviews as expert in the field, etc.).
- Participates in conferences, institutes, short courses, seminars, and workshops that are related to the faculty member’s discipline, through face-to-face or virtual attendance.
- Publishes the results of research, scholarship, and creative endeavors through vehicles such as monographs, textbooks, papers, abstracts, book reviews, poems, plays, musical compositions, final reports for grants, web-sites, computer software or hardware systems, accounting systems, etc.
- Holds membership in professional societies relevant to a specific discipline.
- Obtains copyrights or patents on works produced.
- Engages in specific self-study or a professional growth plan to enhance professional competency.
- Edits or evaluates scholarly activity such as journals, papers for journal publication, grant proposals for awards, chapters for books, proposals for conference papers, or other scholarly activity with respect to a field of study.
- Creates and/or reviews teaching materials (textbooks, teacher’s manuals that accompany textbooks, pedagogical procedures, etc.)

## **Professional and University Service and Community Engagement**

Professional and University Service and Community Engagement are an integral component to the well-rounded faculty member. It allows for contributions to the university community, the

professional community, and the community at large. Individual or personal service improves the functioning of the university, strengthens the effectiveness of professional organizations and provides a presence for the university in the community. It should be noted that simple membership or a position “in name only” does not constitute service. Rather, one must contribute to the committee or position in a substantive way.

Service can be divided into three equally important areas. The areas and a non-inclusive list of representative examples of each area are listed below. Further, a faculty member need not excel in each of the three categories; however, consideration should also be given to those who contribute in several different capacities.

Professional Service: encompasses those areas which serve the *professional community*.

- Functions as an officer of a local, regional, national, or international professional organization or society
- Establishes relationships with any government agencies, business, or industry
- Consults with or serves as requested in government, business, and/or industry to provide service in any capacity from the faculty member’s area of expertise

University Service: encompasses those areas which serve the *university community*.

- Serving on departmental, school, and university standing and ad-hoc committees
- Serving in a university organization (e.g. Faculty Senate)
- Completing special projects or studies for the university (e.g. contributing to a hiring process, a Higher Learning Commission visit, or an impact study; planning a university activity, event or function)
- Serving as a Faculty advisor to a student club, organization, or society
- Being a facilitator for a non-credit workshop (e.g. grant writing, promotion/tenure portfolio)
- Serving as a mentor or a contact person for new faculty

Community Engagement: encompasses areas which serve the *community at large*.

- Service to or membership in various outside local, city, county, state, regional, federal, or international groups and organizations
- Volunteer work for various outside local, city, county, state, regional, federal, or international groups and organizations
- Any miscellaneous community activities that are not considered to be part of Institutional or Professional Service.

## **APPENDIX B**

### ***Rogers State University***

#### **CATALOG OF FACULTY DEVELOPMENT AND EVALUATION CRITERIA**

The exemplars are not all-inclusive for each criterion but do provide examples and extend the definitions of the criteria. These should be used as guidelines and they can be adapted for the individual discipline area.

#### **CATEGORY 1: TEACHING**

Teaching effectiveness should be the most basic attribute upon which a faculty member is judged for promotion. The areas of teaching effectiveness should include, but not be limited to, the following:

- Command of one's subject
- Ability to organize subject matter and to present it clearly, logically, imaginatively.
- Knowledge of current development in one's subject matter.
- Ability to relate one's subject to other areas of knowledge.
- Ability to provoke and broaden student interest in the subject matter.
- Ability to develop and utilize effective teaching methods and strategies.
- Availability for and effectiveness in academic advising and directing of students.
- Integrity, fairness, and objectivity in grading or otherwise evaluating students.
- Recognition by other faculty and students as superior teacher.
- Have made outstanding contributions to instructional programs, curriculum and/or methodologies.

#### **CATEGORY 2: RESEARCH AND CREATIVE/SCHOLARLY ACTIVITY**

Effective teaching requires active involvement in the intellectual and scholarly developments in the faculty member's area of specialization. To be considered for promotion, the faculty member should give evidence of:

- Adequate grasp of one's area of specialization.
- Continuing efforts to remain abreast of developments in the area of specialization.
- Application of recent scholarship to teaching.
- Other efforts to continue academic growth.
- Engage in research or other scholarly activities, these might include, but are not limited to:
  - ◆ Publication of books, articles, chapters, essays, reviews or other scholarly efforts.
  - ◆ Presentation or publication of original productions or creative works before either scholarly audiences or other appropriate forums.

- ◆ Participation in academic conferences, meetings, institutes, or other activities.
- ◆ Service on statewide committees.
- ◆ Consultation with individuals, groups, or organizations utilizing the faculty member's professional expertise.
- ◆ Innovative applications of technology in support of teaching or research.

### **CATEGORY 3: PROFESSIONAL AND UNIVERSITY SERVICE AND COMMUNITY ENGAGEMENT**

#### **Departmental**

Faculty involvement in departmental activities besides teaching is required. Departmental service may include, but is not limited to, the following:

- Service on departmental committees.
- Performing departmental and/or instructional program administrative duties.
- Developing the departmental or instructional program curriculum and/or courses.
- Have served in leadership capacity in appropriate departmental activities.
- Have, when possible, assumed leadership in the design, development or implementation of new techniques, strategies, courses, academic programs, degrees or other academic endeavors.

#### **University**

Faculty service to the university outside instructional duties should be considered in evaluation for promotion. Such service may include, but is not limited to, the following:

- Participation in committees or organizations within the governance structure.
- Service on ad hoc or advisory university bodies outside the governance structure.
- Performance of special administration functions.
- Participation in program and/or curriculum development.
- Service as a representative of the university and other bodies.
- Service as a liaison between Rogers State University and other bodies.
- Have assumed positions of leadership in the performance of such service.

#### **Community**

Community service appropriate for consideration in promotion/evaluation decisions should be based upon the academic or professional expertise of the faculty member and should reflect favorably upon Rogers State University. Such service might include, but is not limited to, the following:

- Service in the faculty member's area of expertise as a consultant, a resource person, or a researcher.



- Giving lectures, serving on panels, performing in creative activities, or otherwise participating in community activities directly related to university functions.
- Serving as the university's designated representative at appropriate community functions.

### **Student**

Faculty service to students outside of instructional duties should be considered in evaluation/promotion. Such service may include, but is not limited to, the following:

- Participation in department or university recruitment activities.
- Sponsorship or directorship of student professional organizations.
- Sponsorship of student clubs and social organizations.
- Supervision of other organized student activities.

### **CATEGORY 4: PERFORMANCE OF NON-TEACHING OR ADMINISTRATIVE DUTIES (IF APPLICABLE)**

- Supervises practica
- Leads an educational study tour
- Manages a research project
- Directs a workshop or conference
- Directs or coordinates an academic program or administrative office
- Heads an academic department

**Note:** Only activities that result in reduced teaching load qualify for CATEGORY 4.

**APPENDIX C**

***Rogers State University***

**FACULTY DEVELOPMENT PLAN**

Name: \_\_\_\_\_

Rank: \_\_\_\_\_

Having reviewed the Academic Policies and Procedures Manual, Section 3.8.5 through 3.8.9, and having reviewed Appendices A and B for Development and Evaluation Criteria, I agree that I will focus faculty development for the academic year indicated above according to the following items:

\_\_\_\_\_ % Proportion to teaching (50-80%)

\_\_\_\_\_ % Proportion to research and creative/scholarly activity (5-40%)

\_\_\_\_\_ % Proportion to professional and University service and community engagement (10-45%)

\_\_\_\_\_ % Proportion to performance of non-teaching or administrative duties (25-50%)

Faculty Evaluation Criteria:

1. Teaching:
  
2. Research and Creative/Scholarly Activity:
  
3. Professional and University Service and Community Engagement:
  
4. Performance of Non-Teaching or Administrative Duties:

AGREED TO BY \_\_\_\_\_  
Faculty Member Date

ACCEPTED BY \_\_\_\_\_  
Department Head Date

ACCEPTED BY \_\_\_\_\_  
Dean Date

**APPENDIX D**

***Rogers State University***

**FACULTY DEVELOPMENT PLAN REPORT**

Name: \_\_\_\_\_

Rank: \_\_\_\_\_

By September 15, faculty members are to revise and update the previous year's Faculty Development Plan. Before the conference with their respective department head, faculty members are to conduct a year-end self-evaluation and succinctly describe progress for each exemplar listed in the preceding year's Faculty Development Plan. A brief statement indicating whether the exemplar was fully accomplished, partially accomplished, or not addressed is appropriate. Faculty members may also list any activities completed the preceding year that were not previously included in the Faculty Development Plan. When completed, faculty members are to schedule a conference with their department head.

\_\_\_\_\_ % Proportion to teaching (50-80%)

\_\_\_\_\_ % Proportion to research and creative/scholarly activity (5-40%)

\_\_\_\_\_ % Proportion to professional and University service and community engagement (10-45%)

\_\_\_\_\_ % Proportion to performance of non-teaching or administrative duties (25-50%)

Faculty Evaluation Criteria:

1. Teaching:
2. Research and Creative/Scholarly Activity:
3. Professional and University Service and Community Engagement:
4. Performance of Non-Teaching or Administrative Duties:

AGREED TO BY

\_\_\_\_\_

Faculty Member

\_\_\_\_\_

Date

ACCEPTED BY

\_\_\_\_\_

Department Head

\_\_\_\_\_

Date

ACCEPTED BY

\_\_\_\_\_

Dean

\_\_\_\_\_

Date

**APPENDIX E**

**ROGERS STATE UNIVERSITY  
FACULTY DEVELOPMENT AND EVALUATION SUMMARY**

(For department head use only. Must be completed by October 1<sup>st</sup>)

Name \_\_\_\_\_ Department \_\_\_\_\_ Date \_\_\_\_\_

Rank \_\_\_\_\_ Tenure \_\_\_\_\_ Date of Appointment \_\_\_\_\_ Evaluation Period \_\_\_\_\_

Date of Last Promotion \_\_\_\_\_ Date of Employment at RSU \_\_\_\_\_

Highest Degree Held \_\_\_\_\_ Yrs. of College Experience Prior to RSU \_\_\_\_\_ Other Relevant Experience \_\_\_\_\_

**PERFORMANCE EVALUATION**

Category	Critical	Needs Improvement	Proficient	Commendable	Outstanding
1. Teaching					

Comments:

2. Research and Creative/Scholarly Activity					
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Comments:

3. Professional and University Service and Community Engagement					
Comments:					
4. Performance of Non-Teaching or Administrative Duties					
Comments:					
Overall Performance					

(See Back for Comments)					
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Justification for overall evaluation if other than proficient:

Specific areas needing attention:

Plans for improvement:

This evaluation was discussed by:

\_\_\_\_\_ and \_\_\_\_\_ on \_\_\_\_\_  
Department Head's Signature                      Faculty Member's Signature                      Date

Faculty Member's comments:

Dean's comments:

\_\_\_\_\_  
Signature of Dean of School

\_\_\_\_\_  
Date

#### 2.6.5 – ACADEMIC CREDIT FOR MILITARY SERVICE

All students who are honorably discharged from the military services of the United States within three years of their enrollment at the Rogers State University or Cameron University are entitled to an award of academic credit for courses that are part of the students' military training or service and that meet the standards of the American Council on Education or equivalent standards. The award of credit shall be based on the University's admission standards and role, scope and mission, and supported by appropriate documentation of the military training or service, such as a form DD214, DA Form 1059, or other.



OKLAHOMA STATE REGENTS FOR HIGHER EDUCATION  
Institution: Rogers State University  
ACADEMIC CALENDAR FOR 2013-2014

Summer Session (2013):

Semester begins (first day of classes)	<u>June 3, 2013</u>
Please list dates of all holidays and breaks	
INDEPENDENCE DAY	<u>July 4, 2013</u>
Semester ends (including final exams)	<u>July 26, 2013</u>
Commencement date	

Fall Semester (Fall 2013):

Semester begins (first day of classes)	<u>August 12, 2013</u>
Please list dates of all holidays and breaks	
LABOR DAY	<u>September 2, 2013</u>
FALL BREAK	<u>October 17-18, 2013</u>
THANKSGIVING	<u>November 27-29, 2013</u>
Semester ends (including final exams)	<u>December 10, 2013</u>
Commencement date	

Second Semester (Spring 2014):

Semester begins (first day of classes)	<u>January 13, 2014</u>
Please list dates of all holidays and breaks	
SPRING BREAK	<u>March 17-21, 2014</u>
Semester ends (including final exams)	<u>May 9, 2014</u>
Commencement date (graduation ceremony)	<u>May 10, 2014</u>

Intersessions (classes that meet between regularly scheduled semesters or that meet between spring semester and summer session or between summer session and fall semester):

	<u>Summer 2013</u>	<u>Spring 2014</u>
Intersession begins	<u>May 13, 2013</u>	<u>December 16-20, 2013</u>
Intersession ends	<u>May 24, 2013</u>	<u>January 6-10, 2014</u>
(Including final exams)		

MEMORIAL DAY	<u>May 26, 2014</u>
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Summer (if applicable):

Final add date 8 week classes:	<u>June 5, 2013</u>
Final drop date 8 week classes:	<u>June 7, 2013</u>
First day of 1 <sup>st</sup> 4-wk classes:	<u>June 3, 2013</u>
Final add date 1 <sup>st</sup> 4-wk classes:	<u>June 4, 2013</u>
Final drop date 1 <sup>st</sup> 4-wk classes:	<u>June 5, 2013</u>
Last day of 1 <sup>st</sup> 4-wk classes:	<u>June 28, 2013</u>
First day of 2 <sup>nd</sup> 4-wk classes:	<u>July 1, 2013</u>
Final add date 2 <sup>nd</sup> 4-wk classes:	<u>July 2, 2013</u>
Final drop date 2 <sup>nd</sup> 4-wk classes:	<u>July 3, 2013</u>
Last day of 2 <sup>nd</sup> 4-wk classes:	<u>July 26, 2013</u>

Fall (if applicable):

16-wk last add date:	<u>August 16, 2013</u>
16-wk last drop date:	<u>August 23, 2013</u>

First day of 1 <sup>st</sup> 8-wk classes:	<u>August 12, 2013</u>
Final add date 1 <sup>st</sup> 8-wk classes:	<u>August 14, 2013</u>
Final drop date 1 <sup>st</sup> 8-wk classes:	<u>August 16, 2013</u>
Last day of 1 <sup>st</sup> 8-wk classes:	<u>October 4, 2013</u>

First day of 2 <sup>nd</sup> 8-wk classes:	<u>October 7, 2013</u>
Final add date 2 <sup>nd</sup> 8-wk classes:	<u>October 9, 2013</u>
Final drop date 2 <sup>nd</sup> 8-wk classes:	<u>October 11, 2013</u>
Last day of 2 <sup>nd</sup> 8-wk classes:	<u>December 3, 2013</u>

Spring (if applicable):

16-wk last add date:	<u>January 17, 2014</u>
16-wk last drop date:	<u>January 24, 2014</u>

First day of 1 <sup>st</sup> 8-wk classes:	<u>January 13, 2014</u>
Final add date 1 <sup>st</sup> 8-wk classes:	<u>January 15, 2014</u>
Final drop date 1 <sup>st</sup> 8-wk classes:	<u>January 17, 2014</u>
Last day of 1 <sup>st</sup> 8-wk classes:	<u>March 7, 2014</u>

Spring 2014, continued:

First day of 2 <sup>nd</sup> 8-wk classes:	<u>March 10, 2014</u>
Final add date 2 <sup>nd</sup> 8-wk classes:	<u>March 12, 2014</u>
Final drop date 2 <sup>nd</sup> 8-wk classes:	<u>March 14, 2014</u>
Last day of 2 <sup>nd</sup> 8-wk classes:	<u>May 9, 2014</u>

### 3. FACULTY PERSONNEL POLICIES AND GENERAL INFORMATION

#### FACULTY PERSONNEL POLICY

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 general faculty. The University recognizes the specific involvement of the faculty in the performance of these functions; and, to this end, is committed to fostering a superior faculty.

Since 1942, the Regular Faculty has actively participated in the organization, formulation, and implementation of University policies through a democratically elected Faculty Senate. Today, there are two Faculty Senates, one for the Health Sciences Center and one for the Norman Campus. The charters of these two Faculty Senates can be found in the Appendices of the Faculty Handbooks.

(Regents, 1-26-99, 12-3-02)

#### 3.1 THE GENERAL AND REGULAR FACULTY

The General Faculty of the Health Sciences Center is composed of all full-time (1.0 Full-time Equivalent [FTE], whether 9-, 10-, or 12-month appointment), part-time, and volunteer faculty members.

The Regular Faculty is composed of all full-time faculty ~~with the unmodified rank of assistant professor or above who hold tenure track, tenured, tenure track, or consecutive term appointments with the unmodified academic titles of assistant professor, associate professor, or professor.~~ Regular Faculty ~~also include some full-time faculty whose salaries are~~ may be paid all or in part by an affiliated institution such as the Veterans Affairs Medical Center or the Oklahoma Medical Research Foundation.

Additional policies related to the faculty and the Faculty Senate are contained in **Appendices A and B**.

(Regents, 1-26-99, 12-3-02)

#### ~~3.2 FACULTY AND ADMINISTRATIVE TITLES~~

##### ~~3.2.1 Faculty Titles~~

~~Faculty titles may be unmodified or modified (see Section 3.3(a)).~~

- ~~(a) Regular Faculty — Faculty holding regular appointments (i.e., tenure track, tenured, or consecutive term) have faculty titles of Assistant Professor, Associate Professor, or Professor. These titles shall be unmodified and the name of the department in which the appointment is made shall be included as a suffix. Holders of endowed chairs and professorships or of Regents' designated professorships shall have that noted as a part of their title.~~
- ~~(b) Temporary Faculty — Faculty holding temporary appointments (see Section 3.3.3 (d)) have titles such as instructor, lecturer, or associate, or are modified by prefixes such as visiting, adjunct, or clinical (see 1, 2, and 3 below) or, in the instance of temporary research appointments, by the suffix “of Research” (see 2 below).~~

- ~~1) Assistant Professor and above—Assistant professors, associate professors, and professors who hold temporary appointments shall have their titles modified by one of the following prefixes: visiting, adjunct, clinical, or OMRF.~~
- ~~2) Research—Faculty holding temporary research appointments have titles of assistant professor of research, associate professor of research, and professor of research.~~
- ~~3) Other—Instructor and Associate titles are intended to designate individuals whose academic achievement and standing are below those of assistant professors. The title of lecturer can be used for individuals of academic achievement and standing comparable to any academic rank, including assistant professor, associate professor, and professor.~~

~~The suffix indicating the department of appointment shall be used as in the case of regular appointments.~~

- ~~(e) Volunteer Faculty—Volunteer faculty serve without remuneration and shall be given the same titles as temporary faculty, with the exception of Instructor which may not be used unless modified. Colleges may choose to modify the title with a prefix, such as clinical, to indicate volunteer faculty status. The additional title of Preceptor may be used for volunteer faculty. For retired faculty, titles may be modified with the suffix Emeritus in compliance with the policy on Emeritus appointments. Volunteer faculty titles shall also include the suffix to indicate the department or college of appointment.~~

~~(Regents, 1-26-99, 12-3-02, 6-25-08)~~

- ~~(d) Emeritus Titles—The emeritus title is granted only by the Board of Regents upon recommendation by the President of the University. The President may recommend that the title "Professor Emeritus" be granted upon the retirement of regular faculty members when so proposed by their departments and colleges. 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 departments, colleges, and the Senior Vice President and Provost.~~

~~It has also been the practice from time to time for the Board of Regents to grant the title "Emeritus" to former executive officers and deans upon retirement or resignation from the position.~~

~~(President, 9-10-85)~~

### ~~3.2.2 Administrative Titles~~

- ~~(a) Academic Administrative Titles—The following administrative titles are in addition to the academic faculty title and are established by the Board of Regents:~~

~~University and Campus Level: President and Senior Vice President and Provost  
College: Dean~~

~~Department or Division: Chair or Director. Section chiefs are appointed by the Dean on recommendation of the chair and do not require Board of Regents' approval.~~

~~The prefixes executive, deputy, vice, associate, and assistant are established by the Board of Regents to modify these titles. The name of the college, department, or division is designated in the title as a suffix.~~

- ~~(b) Non-Academic Administrative Titles—The titles Vice Provost, Associate Provost, Assistant Provost, Associate Dean, and Assistant Dean may also be used as administrative titles for staff employees appointed to these positions at the Health Sciences Center, as established by the Board of Regents.~~

~~Administrative departments and divisions are led by Directors, as appointed by the Board of Regents. The usage of the prefixes vice, deputy, associate, assistant, interim, and acting is the same as with academic administrative titles.~~

- ~~(c) Interim and Acting Titles—The term “interim” may be designated by the Board of Regents when no regularly appointed individual is in office. The term “acting” may be designated by the regularly appointed individual holding the administrative title during that person’s absence from the campus, subject to approval by the regularly appointed individual’s supervisor.~~

(Regents, 12-3-02, 6-25-08)

### ~~3.3~~ **3.2 FACULTY APPOINTMENTS**

~~Faculty appointments types may be tenure track, tenured, tenure track, consecutive term, temporary, or volunteer (see Section 3.2.2). The type of appointment will be determined by the primary academic unit in consultation with the appointee and with the approval of the dean, the Senior Vice President and Provost, and the President, and if required, Board of Regents, if required. The appointment must indicate the primary academic unit to which the faculty member is appointed.~~

~~Faculty at the Health Sciences Center are appointed on a 12-, 10-, or 9- month basis. An appointment is not a promise or guarantee to faculty of employment for or through any particular period of time. Continued employment and/or renewal are contingent upon a faculty member’s satisfactory performance and/or the academic unit’s needs. Termination of employment may become effective at any time, subject to notification requirements in Section 3.2.7.~~

- ~~(a) Full time faculty - Full-time faculty appointments with unmodified academic titles (assistant professor, associate professor, and professor) shall be limited to those Regular Faculty who hold tenured, tenure track, or consecutive term appointments, who devote their full-time professional effort to direct University activities (see Section 3.5), and who are compensated by the University or University-approved sources.~~
- ~~(b) When service to the University (defined in Section 3.6.3) is used as a basis for full-time academic appointment, teaching, research, clinical activities, and/or administration of academic units must constitute a major part of the faculty member’s assigned duties. Exemption from this provision may be made with the consent of the academic unit, the dean of the College, and the Senior Vice President and Provost.~~
- ~~(b) Temporary Faculty—who devote less than their full-time professional effort to direct University activities as defined above shall be eligible for faculty appointment with a modified. May be full time or part-time and shall have academic titles such as instructor, lecturer, or associate, or titles modified by prefixes such as visiting, adjunct, clinical, or~~

~~OMRF, etc.~~ Or, in the instance of temporary research appointments by the suffix “of Research” (see 2 1 below).

(Regents, 1-26-99, 12-3-02, 6-25-08)

~~1) Assistant Professor and above – Assistant professors, associate professors, and professors who hold temporary appointments shall have their titles modified by one of the following prefixes: visiting, adjunct, clinical, or OMRF.~~

~~2) 1) Research – Faculty holding temporary research appointments have titles of assistant professor of research, associate professor of research, and professor of research.~~

~~3) 2) Other –~~

~~i) Instructor and Associate titles are intended to designate individuals whose academic achievement and standing are a rank below those that of assistant professors.~~

~~ii) The title of Lecturer can be used for individuals of academic achievement and standing comparable to any academic rank, including assistant professor, associate professor, and professor, regardless of rank.~~

~~The suffix indicating the department of appointment shall be used as in the case of regular appointments.~~

(c) ~~Volunteer Faculty – Volunteer faculty serve without remuneration and shall be given the same modified academic titles as temporary faculty. with the exception of Instructor which may not be used unless modified. Colleges may choose to modify the title with a prefix, such as clinical, to indicate volunteer faculty status. The additional title of Preceptor may be used for volunteer faculty. For retired faculty, titles may be modified with the suffix Emeritus in compliance with the policy on Emeritus appointments. Volunteer faculty titles shall also include the suffix to indicate the department or college of appointment.~~

(Regents, 1-26-99, 12-3-02, 6-25-08)

(d) ~~Emeritus Titles Faculty~~ - The Emeritus title is granted only by the Board of Regents upon recommendation by the President of the University. The President may recommend that the title "Professor Emeritus" be granted upon the retirement of Regular Faculty members when so proposed by their departments and colleges. 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~~ added to the volunteer title upon the retirement of volunteer faculty when proposed by their departments, colleges, and the Senior Vice President and Provost.

~~It has also been the practice from time to time for~~ The Board of Regents ~~to~~ may grant the title "Emeritus" to former executive officers and deans upon retirement or resignation from the position.

(President, 9-10-85)

~~1) Volunteer faculty appointments have a modified academic title, and are without remuneration.~~

### **3.3.1 3.2.1 Appointment of New Faculty**

In the appointment of new faculty, action is initiated by the Primary Academic Unit through the respective Dean to the Senior Vice President and Provost and ~~to the President~~, in accord with the prevailing policies of the Board of Regents.

- (a) Preliminary Letter of Offer - ~~In addition to the Contract for Employment~~, The appointee may initially receive a written statement or preliminary letter of offer provided by the department chair or dean defining the appointee's initial teaching, research, professional/clinical service and administrative responsibilities, and other special conditions pertaining to ~~the appointment employment~~. Initial assignments responsibilities and/or duties as set forth in the department's preliminary letter of offer or the official letter of offer may be changed and do not constitute ~~an agreement a guarantee or promise~~ that the assignments responsibilities will remain the same throughout the faculty member's employment. The department chair will also provide tenured, tenure track, and consecutive term appointees with copies of the department and/or college tenure and promotion criteria.
- (b) Official Letter of Offer – The ~~formal~~ offer of appointment employment must come from the Senior Vice President and Provost or the President and will include the statement that ~~the appointment employment~~ is contingent upon the approval of the Board of Regents. The official letter of offer will specify academic rank, appointment type (with tenure, subject to the appropriate University tenure process, tenure track, consecutive term, or temporary), beginning date of employment, salary, full-time equivalent, the length of pre-tenure period if tenure track (see Section 3.8.1(b)), and any special conditions pertaining to ~~the appointment employment~~. The ~~formal~~ official letter of offer shall include supplemental information necessary to access an on-line copy of the *Faculty Handbook* and faculty benefits.
- ~~Initial assignments as set forth in the letter of offer may be changed and do not constitute an agreement that the assignments will remain the same throughout the faculty member's employment.~~
- (c) Contract – If the appointment employment is approved by the Board of Regents, Regular Faculty (~~tenured, tenure track, tenured,~~ or consecutive term) will be furnished with a Contract of Employment for signature. Included in this contract will be the approved rank and salary. The Contract will contain a statement indicating that the applicant has read the *Faculty Handbook* and accepts appointment employment in accord with the policies specified, with the understanding that policies of the University are subject to change by the Board of Regents. Any exceptions to these policies must be described in the Contract.
- (c) (d) Compensation – The University recognizes that the professional effort of the faculty member may result in compensation in addition to the guaranteed base salary provided by the University. The conditions of such compensation are set out in each college's Professional Practice Plan and/or Faculty Compensation Plan.

(Regents, 7-15-96, 12-3-02, 6-25-08)

### **3.3.2 Appointments Period Moved to 3.2**

~~Most faculty appointments at the Health Sciences Center are 12-10 or 9-month appointments for the academic year, July 1 through June 30. However, the instructional periods may not correspond precisely to the faculty appointment dates. Some faculty members are appointed on a 9 or 10-month basis. The appointment period for the second semester begins January 1, even~~

~~though the semester may begin at a different time. Summer session appointments for the regular eight-week period are effective June 1 through July 31.~~

~~It is the responsibility of the appropriate chair or dean to notify each faculty member of the date to start work.~~

(Regents, 7-15-96)

### ~~3.3.3~~ 3.2.2 ~~Tenure Track, Tenured, Tenure Track, Consecutive Term, and Temporary~~ ~~Appointments~~

- (a) Full-time ~~tenure track or tenured, tenure track or consecutive term~~ appointments are Regular Faculty appointments.
- (b) Tenure track appointments are automatically renewed for the next fiscal year unless notification of non-renewal or termination is given in accordance with Section 3.2.7.
- (c) ~~Consecutive term appointments are Regular Faculty appointments non-tenure-track. All consecutive term appointments are non-tenure track. There are no restrictions placed on the number of renewable consecutive terms that may be served. Consecutive term appointments are automatically renewed for the next fiscal year unless notification of non-renewal or termination is given in accordance with~~ Section 3.3.8. Section 3.2.7.

~~Eligibility for consecutive term appointments shall be determined by the academic unit, the dean, the Senior Vice President and Provost, and the President or Board of Regents if requested. This understanding shall be specified in the contract.~~

- (c) Temporary appointments are not Regular Faculty appointments:
  - (i) Temporary appointments may not be changed to a regular faculty appointment until all Affirmative Action requirements have been completed (i.e., national search, appropriate advertisements)
  - (ii) Internal candidates applying for open positions of higher rank must meet the promotion and advancement criteria stated in Section 3.9.
- (d) ~~Temporary Appointments: Do not extend beyond the end of each academic year. No notice of non-reappointment to a subsequent academic year is required for temporary appointees.~~
  - (iii) Individuals serving in temporary appointments serve at the discretion of the chair and dean.
  - (iv) Temporary appointments can be terminated during the academic year with no less than 60 days written notice. An exception to the 60-day written notice requirement may be made by the Dean for faculty hired primarily to spend their time in clinical practice or practice-related activities, where termination is recommended due to poor clinical performance, unprofessional behavior, or conduct that jeopardizes patient safety. In such cases, termination may be effective immediately. Temporary appointments do not require approval by the Board of Regents for salaries under \$60,000.
  - (v) Temporary faculty ~~may not~~ are not permitted to appeal non-reappointment termination to the Faculty Appeals Board.



~~All appointments less than 1.0 FTE are classified as temporary appointments. Temporary appointments are indicated by titles such as instructor, lecturer, or associate, or are modified by such prefixes as visiting, adjunct, or clinical. Other temporary titles are referred to in Section 3.2.1(b). Faculty on temporary appointments are not eligible for tenure and their letters of offer shall so specify.~~

~~Full-time faculty may serve a maximum of seven years in a temporary rank. Additional appointments must be regular (see 3.3.3(c)). The seven-year limitation on temporary appointments may be waived by the Senior Vice President and Provost, upon the application of the Dean, and with the approval of the chair of the academic unit involved and the concurrence of the individual faculty member affected.~~

(Regents, 7-15-96, 1-26-99, 12-3-02, 6-25-08)

### **3.3.4 3.2.3 Part-Time Appointments**

A part-time appointment is one at less than 1.0 Full-Time Equivalent (FTE), and has a modified title, and It is considered temporary (see 3.2.2(c)). At the time of any part-time appointment, the faculty member and the University academic unit must reach a clear understanding of the terms of the part-time appointment. This understanding shall be in writing and the faculty member shall be given a copy.

(Regents, 7-15-96, 12-3-02)

### **3.3.5 3.2.4 Primary, Joint and Secondary Appointments**

- (a) Primary appointment: A faculty member must have a primary appointment in an academic unit of a college, usually called a department. A primary appointment must be in an academic unit only, not in a Center or Institute.
- (b) Joint appointments – Joint Appointments in two or more academic units or colleges (joint appointments) are permissible. Joint appointments consist of a primary appointment in two academic units or colleges, and cannot total more than 1.0 Full-Time Equivalent (FTE). Joint appointments must be approved by both academic units and colleges involved, the Senior Vice President and Provost, the President, and the Board of Regents consistent with the criteria below.

Before a faculty member receives a joint appointment, the appropriate academic units must mutually determine, record in writing, and secure administrative approval for the applicable length of the pre-tenure period, and criteria for tenure, promotion, and reappointment or non-reappointment. The academic units must provide a written description of the faculty member's teaching, research, and service, and administrative responsibilities and other special conditions pertaining to the joint appointment. The faculty member shall receive a copy of this written description.

(Regents, 7-15-96, 12-3-02, 6-25-08)

- (c) Secondary appointments – In recognition of teaching, research, or service contributions outside their primary ~~department~~ academic unit, faculty members may have one or more secondary appointments in other academic units, subject to approval of the chair of the primary department. Secondary appointments are modified by such prefixes as adjunct or clinical.

(Regents, 12-3-02)

### **3.3.6 3.2.5 Changes in Status - Tenure Track and Consecutive Term Appointments**

- (a) Tenure track to consecutive term--At the request of the faculty member and with the approval of the chair of the academic unit, dean, and Senior Vice President and Provost, faculty members who are in the tenure track may be changed to a consecutive term appointment at any time during the pre-tenure period, but prior to the initiation of the procedures for tenure decision (see Section 3.8.5). However, a faculty member may not return to a tenure track appointment after such change to a consecutive term appointment.
- (b) Consecutive term to tenure track--At the request of the faculty member and with the approval of the chair of the academic unit, the dean, and the Senior Vice President and Provost, faculty members receiving renewable consecutive term appointments may be changed to the tenure track, in which case all University policies relating to tenure shall apply. Upon written request from the faculty member and with the approval of the chair of the academic unit, dean, and Senior Vice President and Provost, up to three (3) years served in a consecutive term appointment may be credited toward the pre-tenure period, and all University policies relating to tenure shall apply (see Section 3.8.1(b)).
- (c) Upon the recommendation of the chair of the academic unit and dean, the Senior Vice President and Provost may approve a tenure-track faculty member's request for temporary reduction in employment from full-time to part-time, if the reduction is for less than six months. In those rare cases (e.g., SBIR awards) when it is recommended that a tenure track faculty member be permitted to reduce his or her employment to less than full-time for a period of six months or more and maintain a tenure-track status, specific approval by the Board of Regents is necessary. A written agreement must be reached between the faculty member, the chair of the academic unit and the dean indicating how the reduction to part-time will affect the length of the faculty member's pre-tenure period.
- (d) Before a tenure track faculty member assumes primarily administrative duties during the pre-tenure period, a written agreement must be reached between the faculty member, the chair of the academic unit, the dean, and Senior Vice President and Provost as to whether the faculty member will be reviewed for tenure, at what time, and under what conditions.

### **3.3.7 3.2.6 Changes in Status – Tenured Appointments**

- (a) A faculty member granted tenure by the University of Oklahoma who accepts an administrative post within the University retains tenured status as a member of the faculty.
- (b) A faculty member granted tenure who changes from a full-time appointment to a part-time appointment automatically forfeits tenure status (except as noted in (c) and (d) below). A faculty member granted tenure who changes from a full-time appointment to a volunteer appointment automatically forfeits tenure status.
- (c) Upon the recommendation of the chair of the academic unit and dean, the Senior Vice President and Provost may approve a tenured faculty member's request for temporary reduction in employment from full-time to part-time, if the reduction is for less than six months. In those rare cases, (e.g., SBIR awards) when it is recommended that a tenured faculty member be permitted to reduce his or her employment to less than full-time for a period of six months or more, and maintain a tenured status, specific approval by the Board of Regents is necessary.
- (d) A tenured faculty member retains tenure during phased retirement.

(Regents, 12-3-02)

### **3.3.8 3.2.7 Notifications of ~~Non-Reappointment~~ Non-Renewal or Termination of Tenure Track or Consecutive Term Appointment**

Action on the ~~non-reappointment~~ non-renewal or termination of individuals having a tenure track or consecutive term appointment is initiated by the chair of the academic unit through the respective dean to the Senior Vice President and Provost, President, and Board of Regents.

Tenure track or consecutive term appointments can be terminated effective at any time and for any lawful reason, including but not limited to those in Section 3.16.1 with the required notice as indicated in (a), (b), (c), and (d) below. All notifications of ~~non-reappointment~~ non-renewal or termination shall be given in writing by the Senior Vice President and Provost.

- ~~(a) A faculty member with a tenure track or consecutive term appointment who is not to be reappointed for a second year of service must be notified at least three months prior to the termination of the appointment.~~
- ~~(b) A faculty member with a tenure track or consecutive term appointment who is not to be reappointed to a third year of service must be notified at least six months prior to the termination of the appointment.~~
- ~~(c) A faculty member with a tenure track or consecutive term appointment who is not to be reappointed to a fourth or subsequent year of service must be notified at least twelve months prior to the termination of the appointment.~~

Notification to tenure track or consecutive term faculty of non-renewal or termination:

- a) Non-renewal or termination within first year of employment (to be effective on or before the 365<sup>th</sup> day of employment) requires 90 calendar days' notice
- b) Non-renewal or termination within second year of employment (to be effective from day 366 of employment through day 730) requires 180 calendar days' notice
- c) Non-renewal or termination within third year of employment (to be effective from day 731 of employment through day 1,095) requires 270 calendar days' notice.
- d) Non-renewal or termination within fourth year of employment (to be effective from day 1,096 or beyond) requires 365 calendar days' notice

The faculty member may appeal non-renewal of ~~appointment~~ employment to the Faculty Appeals Board only if notification practices prescribed in the foregoing paragraphs of this section are not followed. The faculty member may appeal termination of employment to the Faculty Appeals Board if notification practices in the foregoing paragraphs of this section are not followed or if the termination is pursuant to 3.16.1.

(Regents, 7-15-96, 1-26-99, 12-3-02, 6-25-08)

### **3.3.9 3.2.8 Resignation**

A faculty member who elects to resign is ~~obligated~~ expected to give at least 30 days written notice ~~in writing~~ to the department chair and to the dean. ~~within thirty days of receiving notification of the terms of the appointment for the coming year.~~ A faculty member may request a waiver of this requirement.

(Regents, 7-15-96, 12-3-02, 6-25-08)

**~~3.2.2~~ 3.2.9 Administrative Titles**

- (a) Academic Administrative Titles – The following administrative titles are in addition to the academic faculty title and are established by the Board of Regents:
- University and Campus Level: President and Senior Vice President and Provost
  - College: Dean
  - Department or Division: Chair or Director. Section chiefs are appointed by the Dean on recommendation of the chair and do not require Board of Regents' approval.

The prefixes executive, deputy, vice, associate, and assistant are established by the Board of Regents to modify these titles. The name of the college, department, or division is designated in the title as a suffix.

- (b) Non-Academic Administrative Titles – The titles Vice Provost, Associate Provost, Assistant Provost, Associate Dean, and Assistant Dean may also be used as administrative titles for staff ~~employees~~ appointed to these positions at the Health Sciences Center, as established by the Senior Vice President and Provost. ~~Board of Regents.~~

Administrative departments and divisions are led by Directors, as appointed by the Board of Regents. The usage of the prefixes vice, deputy, associate, assistant, interim, and acting is the same as with academic administrative titles.

- (c) Interim and Acting Titles – The term “interim” may be designated by the Board of Regents when no regularly appointed individual is in office. The term “acting” may be designated by the regularly appointed individual holding the administrative title during that person's absence from the campus-, subject to approval by the regularly appointed individual's supervisor or Dean.

**~~3.4~~ 3.3 ACADEMIC FREEDOM AND RESPONSIBILITY****~~3.4.1~~ 3.3.1 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).

**~~3.4.2~~ 3.3.2 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 Regents of the University of Oklahoma.

- (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 which 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 (See Section 3.26) 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.
- (e) Since freedom of access to recorded knowledge is essential to learning and research in a democracy, the university's right and obligation 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.
- (f) The University endorses the *1967 Joint Statement on Rights and Freedoms of Students with 1990 Revisions* 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 with 1990 Revisions*)

### **3.4.3 3.3.3 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 June 1987 revisions of AAUP 1966 *Statement on Professional Ethics*.

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. They shall endeavor to define the objectives of their courses and to devote their teaching to the realization of those objectives; this requires judicious use of controversial material and an avoidance of material which has no relationship to the objectives of a course.

Faculty members shall make every reasonable effort to foster honest academic conduct and to assure that their evaluations reflect, as nearly as possible, the true merit of the performance of their students, regardless of their race, color, national origin, ~~sex, sexual orientation, genetic information, sex,~~ age, religion, disability, ~~status as a veteran,~~ or political beliefs, or ~~status as a veteran~~. Faculty members shall avoid any exploitation of students for private advantage and shall acknowledge significant assistance in scholarly pursuits from them.

Faculty members have responsibilities to their colleagues, deriving from common membership in a community of scholars. They shall respect and defend the free inquiry of their associates. In the exchange of criticism and ideas, they should show due respect for the opinions of others. They shall acknowledge their academic debts and strive to be objective in the professional judgment of their colleagues. Although service must be voluntary, faculty members should accept a reasonable share of the responsibility for the governance of their institution. If driven by his or her conscience into dissent, the faculty member shall take care that this dissent does not interfere with the rights of colleagues and students to study, research, and teach.

Faculty members have responsibilities to their discipline and to the advancement of knowledge generally. Their primary obligation in this respect is to seek and to state the truth as they see it. To this end, they shall devote their energies to developing and improving their scholarly competence. They shall exercise critical self-discipline and judgment in using, extending, and transmitting knowledge, and they shall practice intellectual honesty.

Faculty members have responsibilities to the educational institution in which they work. While maintaining their right to criticize and to seek revisions, they shall observe the stated regulations of the institution, provided these do not contravene academic freedom. When considering the amount and character of the work they do outside their institution faculty members must have due regard to their paramount responsibilities within the University and the applicable University policies governing outside employment. All such work at the Health Sciences Center is governed by the Professional Practice Plans of the various colleges.

(Regents, 12-3-02, 6-25-08)

### **3.5 3.4 FACULTY ACCOUNTABILITY**

A faculty member is held accountable for his or her performance in fulfilling faculty duties (Section 3.5), and in meeting the requirements of academic responsibility (Section 3.3) 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. During the contract period, all outside work must be conducted through a University contract and all funds generated must be deposited into University accounts, per the respective colleges' Professional Practice Plans.

The obligations of a faculty member to the University are not limited to meeting classes. There are obligations which include, but are not limited to, advising students, conducting research or scholarly activity, meeting clinical assignments, including providing patient care and supervising students and/or trainees, reading and remaining professionally competent, attending professional meetings, and cooperating in essential committee work of the department, the college, and the ~~institution~~ University as a whole.

The most immediate agent of faculty accountability is the faculty member's chair or direct supervisor, 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 and such periodic evaluations as those for advancement in rank. These processes should serve to identify and reward meritorious performance as well as to identify areas that need improvement.

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, jointly seeking to assure that each faculty member's capabilities are developed fully and creatively. Both the academic unit and the individual faculty member have responsibility to take the necessary steps to overcome performance that is lacking in merit or responsibility. 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 academic units. However, career development remains primarily the responsibility of the faculty member.

Regular and frequent collegial interactions among students, staff, and faculty are essential to maintaining the integrity of the University as a scholarly community, developing a healthy institutional culture, and ensuring the success of the Health Sciences Center. To meet these goals and effectively perform one's duties and obligations to the University, faculty accountability is expected.

The allegation of failure of a faculty member to achieve at least adequate performance may originate from the students, from faculty colleagues, or from administrative personnel. Whenever such an allegation is included in the personnel record of the faculty member, or whenever the allegation is the basis for further action or administrative remedies by the department chair, dean, or Senior Vice President and Provost against a faculty member, the faculty member should be notified promptly.

Administrative remedies, including reprimands, minor sanctions, counseling and career development support, are available to academic units as a means of attempting to rectify poor professional performance or breaches of academic responsibility. If administrative remedies fail to correct a faculty member's inadequate professional performance or breach of academic responsibility, the ~~President~~ dean or Senior Vice President and Provost may consider applying a minor sanction, such as a formal reprimand. ~~Prior to any such action, the President should have consulted fully with the appropriate administrative officers.~~ For those cases where they are needed, the University has at its disposal the more drastic measures of abrogation of tenure,



termination, severe sanctions, or summary suspension, ~~dismissal, and abrogation of tenure~~ (Section 3.16).

(Regents, 1-26-99, 12-3-02, 6-25-08)

### ~~3.6~~ 3.5 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 functions: teaching, research and creative/scholarly activity, and professional and University service and public outreach. As such, learning and scholarship may be discipline-centered or interdisciplinary and inter-professional. Each academic unit has an obligation to contribute to each of the functions of the University. Faculty members play a central role in the realization of these functions 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 contribution to the total mission of the University (Section 3.2, 3.6, 3.8, and 3.9).

#### ~~3.6.1~~ 3.5.1 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. The term teaching as used here 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, clinical rotations, internships, residencies, 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.

Faculty members who excel in teaching exhibit their command over the subject matter in classroom discussions, lectures, or clinical supervision, and they present material to students in an objective, organized way that promotes the learning process. They are recognized by their students and University colleagues as persons who guide and inspire their students. They strive continuously to broaden and deepen their knowledge and understanding of their discipline, seek to improve the methods of teaching their subject, keep informed about new developments in their field, use appropriate instructional technologies, and prepare educational materials that are up-to-date and well-written.

Their influence and reputation as teachers may be demonstrated by student and peer evaluation as well as by authoring textbooks and by lectures and publications on pedagogy teaching, learning, and/or learner assessment. Additionally, reputation may be demonstrated by the publication of such instructional materials as laboratory or instructional manuals, teaching cases for classroom, simulation or standardized patients, and videotapes or audio instruction such as podcasting, distance education tools, or development of multimedia instructional materials and computer-assisted learning or assessment techniques. Publication is noted to include peer review and dissemination via traditional or digital means. Excellence in academic advising may serve to augment evidence of excellence in teaching.

(Regents, 7-15-96, 1-26-99, 12-3-02)

#### ~~3.6.2~~ 3.5.2 Research and Creative/Scholarly Activity



Research, which is the development, validation and dissemination of new knowledge focuses upon faculty participation in the extension of knowledge and maintenance of professional development and vitality. The term *research* as used here is understood to mean 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 within the framework of the academic unit. Examples of scholarly achievement might also include synthesis of new ideas as gleaned from published data, technology transfer successes, patent awards, new application of information technology to improve education or health care, etc. The criteria for judging the original or imaginative nature of research or creative/scholarly accomplishments 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 either through publication in peer reviewed journals or presentation at national or international symposia, conferences, and professional meetings, and subject to critical peer evaluation by established authorities outside the University of Oklahoma in a manner appropriate to the discipline or professional area. It is expected that the significance of the research or creative/scholarly activity will be evaluated at the national and international levels. One element of such an evaluation would be the ability of the faculty member to successfully compete for, and acquire, peer-reviewed, extramural grant or contract funding.

(Regents, 7-15-96, 12-3-02)

### **3.6.3 3.5.3 Professional and University Service and Public Outreach**

- (a) Professional and University service and public outreach, which is the application of knowledge gained through research or creative/scholarly activity, focuses upon resolving contemporary problems, identifying new areas for inquiry and development, and sharing knowledge with the larger community. Except as noted in (b) and (c) below, the term professional service always refers to activities directly related to the faculty member's discipline or profession.

Included in professional services are such activities as continuing education, artistic or humanistic presentations; official service in relevant commissions, advisory boards, or agencies (public or private) related to the faculty member's discipline or profession; service to professional communities outside the University; consultation; and participation in a specialized professional capacity in programs sponsored by student, faculty, or community groups.

Professional service also includes editing professional journals or other publications; developing and preparing proposals for training grants or other purposes; writing book reviews in professional journals; and reviewing research papers and manuscripts submitted for publication.

Other examples of professional service include health care delivery; clinical leadership as evidenced by serving as head of a division, department, or specific clinic service; acquisition, introduction or development of new health care techniques, procedures, or clinical approaches; demonstrable improvement (quality, utilization, access) in delivery of health care; development of community health-related outreach programs; participation in approved, non-compensated, community health related public outreach efforts; improvement in clinical management; and management of facility-based functions such as quality improvement, infection control, utilization review.

- (b) The nature of the academic enterprise is such that the faculty properly shares in responsibilities involving the formulation of the University's policies by participation in University governance. The faculty has a major responsibility in making and carrying out decisions affecting the educational and scholarly life of the University. Faculty members have a responsibility to contribute to the governance of the University through timely participation on committees, councils, or other advisory groups at the department, college, or University level, and through service within the University that reflects an application of specialized knowledge or skill to the ~~institution's~~ University's affairs.
- (c) Other areas of activity in which faculty members may have assignments include:
- 1) Administration. Many faculty members are called upon to perform administrative tasks. These include service in such positions as department chair, associate or assistant dean, or director of a program or special center.
  - 2) Public Relations. On occasion, the University's interests are served by requesting faculty members to perform public relations tasks that might not necessarily involve the faculty member's discipline. These may include participation in a professional capacity in programs sponsored by student, faculty, or community groups or appearances as a University representative before government bodies or citizen groups.

### ~~3.7~~ 3.6 FACULTY EVALUATION

The evaluation of faculty performance is a continuous process. ~~both prior to and following the granting of tenure.~~ The fundamental purpose of periodic performance reviews is to identify areas of faculty accomplishments and areas of faculty performance deficiencies and provide such faculty opportunities and incentives to correct the deficiencies. An annual review of each faculty member's performance is the responsibility of the chair or director of the specific academic unit with review by the dean. The chair or director must provide direct feedback in writing to the faculty member relative to the faculty performance evaluation each year. A systematic procedure for accomplishing such evaluations shall be developed in each academic unit with the participation and approval of the dean and Senior Vice President and Provost.

The criteria for evaluation shall be carefully and clearly stated and must be in accord with Sections 3.4 and 3.5. Specific faculty assignments within an academic unit and the specific mission of a particular academic unit may modify the relative weight given to any specific area of professional activity, but only after approval in writing by the dean and Senior Vice President and Provost.

Tenure decisions, non-renewal of tenure track and consecutive term appointments, salary adjustments, and promotions in rank shall be based on systematic evaluations of faculty performance in the areas specified by the department chair and will include teaching, research and creative/scholarly ~~achievement~~ activity, and professional and University service, and public outreach as well as the needs of the department and college. An assessment of the faculty member's overall contribution to the college and the mission of the University, as well as that person's adherence to the standards of faculty accountability as noted in Section 3.4, must be included in any faculty evaluations.

(Regents, 12-3-02, 6-25-08)

### ~~3.8~~ 3.7 SALARY ADJUSTMENTS

- (a) 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 as set out in the specific criteria for evaluation of faculty performance (Sections 3.4 and 3.5.)

- (b) Under no circumstances will merit increases in salary be based upon race, color, national origin, sex, sexual orientation, genetic information, age, religion, disability, or ~~status as a veteran status~~.
- (c) 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 acceptable, provided the salary levels are equitable reflections of the respective merits in effort and achievement of the faculty.

### ~~3.8.1~~ 3.7.1 Procedures for Recommendations on Salary Adjustments

Procedural guidelines for salary recommendations are as follows:

- (a) The chair of the academic unit will annually collect (1) achievement data from all academic unit faculty and (2) evaluations of each individual's performance from those who are in supervisory positions and from other sources. ~~agreed upon as suitable in departmental policy.~~
- (b) For each faculty member, the chair will prepare a recommendation based upon a comparison of faculty performance with University and departmental criteria and forward a documented recommendation to the dean.
- (c) The dean will review each recommendation and notify the chair of any changes or adjustments made.
- (d) 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.
- (e) The chair will discuss with each faculty member the reasons for the salary recommendation that was made. ~~It is the duty of the chair to discuss such matters individually with each faculty member in the unit.~~ These discussions should take place as soon as feasible following approval of the budget by the Board of Regents.

### ~~3.8.2~~ 3.7.2 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. After consultation with the appropriate academic unit, the dean 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.

(Regents, 12-3-02, 6-25-08)

## ~~3.9~~ 3.8 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 (Section 3.16). The

University expects that tenured faculty members will maintain the level of performance by which they initially earned tenure. Only the portion of annual base salary (for example, in the College of Medicine, the University base [X1]) paid by the University of Oklahoma is committed in the award of tenure unless otherwise agreed to in writing by the chair of the academic unit, the dean of the college, the Senior Vice President and Provost, the President, and the Board of Regents.

### **3.9.1 3.8.1 Definitions**

- (a) The term *tenure* means continuous reappointment to an achieved academic rank. ~~in accordance with the 1947 action of the Board of Regents of the University of Oklahoma.~~ 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 and to assure freedom of scholarship and teaching by professional scholars and teachers. The right to academic freedom does not diminish the faculty member's responsibilities under **Section 3.4** Faculty Accountability.

- (b) The term *pre-tenure period* refers to the period of employment at the University of Oklahoma in a tenure track appointment prior to the time the faculty member is evaluated for the granting of tenure. Full-time tenure track faculty will generally have a pre-tenure period of six (6) years. Thus, the tenure application will be submitted no later than the fall of the seventh academic year. In certain circumstances, and in consultation with the faculty member, the chair of the academic unit and dean may request an extension of the pre-tenure period not to exceed three (3) years. If a pre-tenure extension is granted, the tenure application must be submitted no later than the fall of the last extension year.

~~Tenure track faculty have a pre-tenure period of six (6) years. In rare circumstances, the chair of the academic unit, and dean may request that a faculty member receive an extension of the pre-tenure period, not to exceed three (3) years. Notwithstanding different uses of the term elsewhere (as in some statements of the American Association of University Professors), the pre-tenure 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 of Oklahoma). ~~before the first appointment in the effective pre-tenure period at the University of Oklahoma.~~

### **~~3.10 FISCAL RESPONSIBILITY~~**

### **3.8.2 Fiscal Responsibility**

In each case where a tenure-track position is awarded-proposed, there must be assurance from the chair of the academic unit to the dean that continuing financial support (for the College of Medicine, annually allocated funds) is identified to fund the salary line. ~~may 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.

### **~~3.9.2 Eligibility for Tenure~~ deleted – moved to 3.2.6 in total**

- (a) ~~Faculty of the University who hold a regular tenure track appointment and who devote full-time effort to University activities (Section 3.6) are eligible for tenure consideration provided they are assigned to devote at least 50 percent of their time to teaching and/or research for the University of Oklahoma and maintain this requirement during the entire pre-tenure period.~~

- ~~(b) At the request of the faculty member and with the approval of the chair of the academic unit, the dean, and the Senior Vice President and Provost, faculty members receiving consecutive term appointments may be changed to the tenure track in which case all University policies relating to tenure shall apply. With the approval of the chair of the academic unit, dean, and Senior Vice President and Provost, up to three (3) years of academic service in a consecutive term appointment may be credited toward the pre-tenure period.~~
- ~~(c) At the request of the faculty member and with the approval of the chair of the academic unit, dean, and Senior Vice President and Provost, faculty members who are in the tenure track may be changed to a consecutive term appointment at any time during the six (6) year pre-tenure period, but prior to the initiation of procedures for tenure decision (see Section 3.9.5). A faculty member who changes from a tenure track appointment to a consecutive term appointment will not be eligible for future tenure consideration.~~

### **3.9.3 3.8.3 Pre-tenure Periods**

- (a) Full-time tenure track faculty will generally have a pre-tenure period of six (6) years. Thus, the tenure application will be submitted no later than the fall of the seventh academic year. In certain circumstances, and in consultation with the faculty member, the chair of the academic unit and dean may request an extension of the pre-tenure period not to exceed three (3) years. If a pre-tenure extension is granted, the tenure application must be submitted no later than the fall of the last extension year.
- (b) The first year of the pre-tenure period for a faculty member whose effective date of service is between July 1 and December 31 will be that academic year. If the effective date of service is between January 1 and June 30, the first year of the pre-tenure period will begin with the next academic year.
- ~~In certain circumstances, and in consultation with the faculty member, the chair of the academic unit and dean may request an extension of the pre-tenure period not to exceed three (3) years.~~
- (c) For assistant professors, the pre-tenure period may include up to a total of three years in prior full-time service in a consecutive term or tenure track appointment at the OUHSC or in professorial ranks at another institution. For associate professors and professors up to a total of four years of prior service at OUHSC or in professorial rank at another institution may be included. The faculty member ~~may~~ must request in writing at the time of the first regular tenure track appointment that prior service be included. Inclusion of prior service requires approval by the chair of the academic unit, the dean, and the Senior Vice President and Provost.
- (d) Prior full-time service in a temporary appointment with titles such as instructor, lecturer, or associate or in a comparable non-professorial rank at other institutions of higher education may be counted as part of the pre-tenure period if requested by the applicant and approved in writing by the chair of the academic unit, dean, and Senior Vice President and Provost at the time of the first regular appointment.
- (e) A new faculty member appointed at the rank of associate professor or professor may be ~~granted~~ considered for tenure from the date of appointment provided the faculty member prepares and timely submits the appropriate documentation per Section 3.8.5 no later than the next annual tenure and promotion cycle. The determination of tenure shall be made as specified in Section 3.8.5 (b) through (r).

- (f) Early Tenure Review: Tenure may be awarded to faculty members of high merit prior to the end of the pre-tenure period. An academic unit's recommendation to award early tenure should be based on exceptional performance for at least two years at the University of Oklahoma. If tenure is not awarded, the faculty member may, subject to contract continuation or renewal, continue to serve in the pre-tenure period and be considered for tenure again without prejudice.
- (g) Whenever a non-tenured part-time faculty member changes from part-time to full-time tenure track status, specific written understanding among the faculty member, chair, and dean must be approved by the Senior Vice President and Provost at the time of the change as to how, if any, the period of part-time service may be counted toward satisfying the pre-tenure period for tenure.
- (h) A maximum of one year of leave of absence without pay may be counted as part of the pre-tenure period, provided the chair of the academic unit in question records in writing the agreement with the faculty member to count the leave of absence, including how the professional activities carried out during the leave will be appropriately evaluated by the chair, and secures approval by the dean and Senior Vice President and Provost.
- (i) If a tenure track faculty member takes extended leave, the pre-tenure period prior to a tenure decision may be extended for one year at the written request of the faculty member with the approval of the chair of the academic unit, dean, and Senior Vice President and Provost.
- (j) A faculty member at any rank who is denied tenure shall be retained until the end of the academic year following that in which tenure was denied (i.e., the terminal year) unless the faculty member is dismissed according to **Section 3.16**. An appeal of denial of tenure shall not have the effect of extending the faculty member's terminal year.

Under certain extraordinary circumstances due to the University's clinical care, service, or teaching obligations, a faculty member who has been denied tenure may be granted a consecutive term or temporary appointment upon recommendation by the chair of the academic unit, dean, and Senior Vice President and Provost and approved by the Board of Regents.

- (l) Faculty members awarded tenure will normally commence their tenured appointments in the academic year immediately following the Board of Regents' action.

#### **3.9.4 3.8.4 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 academic performance measured against national standards in the discipline or professional area. Tenure should never be regarded as a routine award based upon length of service.

The tenure decision shall be based on a thorough evaluation of the candidate's total contribution to the college and the mission of the University and the candidate's adherence to the fundamentals of faculty accountability as noted in **Section 3.4**. While specific responsibilities of faculty members may vary because of special assignments or the particular mission of the academic unit, all evaluations for tenure shall address the manner in which each candidate has performed in:



- (1) Teaching (**Section 3.5.1**)
- (2) Research and Creative/Scholarly Activity (**Section 3.5.2**)
- (3) Professional and University Service and Public Outreach (**Section 3.5.3**)

All candidates for tenure must have ~~displayed~~ demonstrated a record of substantial accomplishment in each of the three areas (teaching, research and creative/scholarly activity, and professional and University service and public outreach) and evidence of excellence in two areas. Above all else, it is essential to any recommendation that tenure be granted that the faculty member has clearly demonstrated scholarly attainment in teaching, research and creative/scholarly activity, and professional and University service and public outreach.

Each college, 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 college, including specific expectations for evaluation of faculty performance in teaching, research and creative/scholarly ~~achievement~~ activity and professional and University service and public outreach. The document must be distributed to the faculty in that college. These criteria must be in accord with and ~~do~~ may not supersede the criteria described in this section. The criteria for tenure will be in full force unless an exception is specified in writing. It should be noted that the criteria which the departments and colleges establish normally reflect more specific standards for both promotion and tenure than those described in general terms in the *Faculty Handbook*, **3.8.4**. Consequently, all faculty should become familiar with the departmental, college, and University criteria.

Any exception that faculty will be evaluated on their performances in the three areas of teaching, research and creative/scholarly ~~achievement~~ activity, and professional and University service and public outreach must be documented in writing at the time the assignment is made, agreed upon by the faculty member and the department chair, and approved in writing by the dean, and Senior Vice President and Provost.

As part of the overall ~~promotion and~~ tenure process, the department chair should provide ~~junior~~ the opportunity for faculty with to receive advice on a regular basis as they develop their careers. Annual written evaluations of ~~junior~~ faculty by department chairs are essential to the faculty development process and are an annual requirement each department chair must fulfill.

If the criteria for tenure are changed by the Board of Regents during a faculty member's pre-tenure period, the faculty member may elect to be evaluated under the approved criteria ~~approved by the University Regents~~ in effect at the start of the faculty member's pre-tenure period.

The award of tenure carries with it the expectation that the University will continue to need the services of the faculty member and that the financial resources will be available for continuous employment. It also carries the expectation that the faculty member will maintain or improve upon the level of attainment ~~which characterized the qualifications~~ required for tenure. The performance of all faculty, both prior to and following the granting of tenure, is to be evaluated annually as part of the University's faculty evaluation process (**Section 3.6**).

### **3.9.5 3.8.5 Procedures for Tenure Decision**

- (a) The chair of the academic unit shall notify a faculty member who is eligible for tenure consideration at least ~~eight weeks~~ six months before the date tenure materials are to be submitted to the department chair. ~~initial vote by the faculty member's colleagues.~~ (See (f) below)

- (b) The chair of the academic unit will request the candidate for tenure 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. It is the responsibility of the candidate to provide accurate, thorough, and clear evidence of achievements for review at the departmental, college, and University levels. The candidate is advised to consult with the chair and any other senior colleagues concerning the materials to include.
- (c) Responsibility for gathering complete documentation of professional activity rests with the individual faculty member. The chair shall assist the faculty member in determining what to include in the tenure documentation. The chair may also solicit information to include with the candidate's tenure documentation. The candidate is entitled to review the information in his/her tenure file. **Moved from (e)** However, letters of evaluation and/or recommendation 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.
- (d) In general, documentation of the individual's academic accomplishments should include, but not be limited to the following:
- 1) Complete and up-to-date curriculum vita, including a summary of college and university degrees earned, all professional employment, all professional honors and awards, and an up-to-date list of books and journal publications by author in sequence. Manuscripts in press or submitted for publication and abstracts should be listed separately.
  - 2) Letters of evaluation of academic performance in teaching, research and creative/scholarly achievement activity, and professional and University service and public outreach should be solicited by the chair after consulting with the candidate. Normally, there should be three letters of evaluation from individuals outside the University of Oklahoma considered established authorities in the discipline who are in a position to evaluate the candidate's academic performance and suitability for tenure. These letters may be solicited from individuals who were not suggested by the candidate. There should also be three internal (or local) letters of evaluation particularly relevant to teaching and service.
  - 3) Documentation of teaching accomplishments should reflect the candidate's contribution, quality, innovation, and impact of teaching. This might include summary documentation of teaching evaluations by students, notation of teaching awards, description of teaching responsibilities, and materials and techniques which are unique and demonstrate innovative approaches or outstanding quality in undergraduate, graduate, or professional instruction (e.g., integration of multimedia into courses, development of web-based content and course materials, computer software development, creation of innovative laboratory exercises and simulation techniques).
  - 4) Documentation of research and creative/scholarly accomplishments should reflect the level and quality of the candidate's research and creative/scholarly activity. Recognition of research and creative/scholarly accomplishments could be demonstrated by invitations to chair or organize symposia or edit books or journals in the professional discipline; publications of books, book chapters, and articles in peer-reviewed journals; publication of abstracts; participation as a presenter in national/international symposia, conferences, and professional meetings; as well as the candidate's ability to acquire extramural grant or contract funds, as a principal or co-principal investigator, through peer review mechanisms.



- 5) Documentation of professional and University service and public outreach, ~~as well as which may include~~ clinical service contributions, should reflect the level and quality of the candidate's professional and/or clinical service contributions. Documentation might consist of leadership positions in local, state, or national associations; service on advisory boards for granting agencies; outstanding college or University committee work; consultantships; clinical leadership as evidenced by serving as head of a division, department, or specific clinic service; evidence of acquisition, introduction, or development of new health care techniques, procedures or clinical approaches; development of community health-related outreach programs; improvement in clinical management; documentation of increased referrals; demonstrable improvement (quality, utilization, access) in delivery of health care; publication of clinical case studies, monographs, reviews, and book chapters.

~~Responsibility for gathering complete documentation of professional activity rests with the individual faculty member. The chair shall assist the faculty member in determining what to include in the tenure documentation. The chair may also solicit information to include with the candidate's tenure documentation. The candidate is entitled to review the information in his/her tenure file.~~ **Moved to (C)**

- (e) The chair is responsible for providing copies of the candidate's complete tenure file to each of the voting members of the academic unit at least two weeks prior to the vote.
- (f) All tenured faculty in the department who are available shall meet for a discussion of the candidate's qualifications for tenure. The candidate shall not be present during the discussion of his or her qualifications but shall be available 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. The chair of the academic unit or other administrative personnel required to submit a separate tenure recommendation shall not participate in this vote.

At times the small number of tenured members of an academic unit prevents appropriate academic unit tenure review. In such instances, the dean of the college, in consultation with the chair of the academic unit involved, shall establish an *ad hoc* tenure review committee to serve as the candidate's academic unit for purposes of voting on tenure.

When a tenure proceeding is initiated prior to the last pre-tenure year (see 3.8.3 (f)) and the result of the faculty vote is negative, that information shall not be forwarded, and the tenure consideration will be deferred. The result of the faculty vote taken during the last pre-tenure year will be forwarded to the dean, and a tenure consideration will proceed.

- (g) The chair shall submit a separate recommendation with supporting reasons.
- (h) All recommendations shall be in writing and, with exception of the faculty recommendation resulting from the confidential poll within the department, reasons for the recommendation must be stated at the time recommendations are made. At the time recommendations are made at each stage of the review process (chair, dean, Campus Tenure Committee, Senior Vice President and Provost, President), written notification of such recommendation must be provided to the chair and to the individual candidate by the person or committee making the recommendation.

- (i) Copies of the academic unit recommendations and all appropriate documentation upon which recommendations were based will be forwarded to the appropriate dean. Each dean will have an advisory council for tenure review and may also request information and advice from any source.
- (j) Upon receipt of the advisory council recommendation, the dean will attach a recommendation with supporting reasons to the tenure materials, including the recommendation of the advisory council, forward all materials to the Campus Tenure Committee, and notify the candidate and the chair of the academic unit of the recommendation. After due deliberation, the dean may recommend to grant tenure, to deny tenure, or to defer tenure consideration for a specified period of time.
- (k) The Campus Tenure Committee will be composed of thirteen tenured faculty members (two from each college, excluding the Graduate College, and one from the Tulsa campus) on staggered three-year terms selected by the President from nominations from the Faculty Senate.
- (l) In determining its recommendation, the Campus Tenure Committee may request information or advice from any source. To avoid a conflict of interest, Campus Tenure Committee members from the originating academic unit shall not ~~attend discussions nor~~ vote on candidates from their own academic unit. The tenure file will be returned to the academic unit for remedy or correction if there are deficiencies found in the academic unit's recommendation.
- (m) The Campus Tenure Committee shall provide the Senior Vice President and Provost with input as to whether the academic unit's recommendation is consistent both as to substance and process with the approved tenure criteria (Section 3.8.4).
- (n) The Campus Tenure Committee will attach its recommendation to the tenure materials, forward all materials to the Senior Vice President and Provost with supporting reasons, and notify the candidate, the chair of the academic unit, and the college dean of its recommendations.
- (o) ~~In determining their recommendation,~~ The Senior Vice President and Provost ~~and University administration~~ may request information and advice from any source prior to making a recommendation.
- (p) If the Senior Vice President and Provost plans to submit a recommendation contrary to that of the Campus Tenure Committee, the Senior Vice President and Provost shall notify the Chair of the Campus Tenure Committee in time to allow a thorough discussion before this recommendation is made.
- (q) After due deliberation, the Senior Vice President and Provost may recommend to grant tenure, to deny tenure, or to defer tenure consideration for a specified period of time. The recommendation of the Senior Vice President and Provost will be submitted to the President.
- (r) If the President plans to submit a recommendation contrary to that of the Senior Vice President and Provost and/or the Campus Tenure Committee, the President shall notify the Committee appropriate party(s) in time to allow ~~the Committee to request a hearing a meeting with~~ between the President and that party prior to his ~~making~~ submitting a recommendation. ~~if the Committee so desires.~~

- (s) The faculty member under review may appeal in writing to the Faculty Appeals Board at any time during the tenure review process if the faculty member believes that procedural violations occurred or academic freedom was violated. Appeals on these bases must be made within 30 calendar days after discovery of the alleged violation.

The faculty member may appeal discrimination on the basis of race, color, national origin, ~~sex, sexual orientation, genetic information, sex,~~ age, religion, disability, ~~or status as a veteran~~ political beliefs, or status as a veteran to the University Equal Opportunity Officer. Appeals on these bases must be made within 180 calendar days after discovery of the alleged violation.

The tenure review process is suspended while an appeal to either the Faculty Appeals Board or University Equal Opportunity Officer is pending. Where the tenure appeal prevents the tenure process from being completed before the end of the terminal year (Section 3.8.3(j)), the appeal shall not extend the faculty member's terminal year even if the appeals process is not completed. Should tenure ultimately be granted, the faculty member will be reinstated.

- (t) The President will notify the faculty member, chair, dean, and Senior Vice President and Provost by May 31 of the tenure decision, except when ~~appeals make this impossible an~~ appeal is pending.

(Regents, 7-15-96, 1-26-99, 12-3-02, 6-25-08)

### ~~3.10 FISCAL RESPONSIBILITY~~ Moved to 3.8.2

~~In each case where a tenure-track position is awarded proposed there must be assurance from the chair of the academic unit to the dean that continuing financial support is identified to fund the salary line. may 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, 1-27-04)

### ~~3.11 ADVANCEMENT IN RANK~~ 3.9 FACULTY PROMOTION

~~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 as judged and evaluated by individuals in the faculty member's profession at the local, regional, and national or international level as appropriate to the rank being sought, and by individuals within the University (see Section 3.9.1).~~ Promotion decisions are to be made independently from tenure decisions.

#### ~~3.11.1~~ 3.9.1 Criteria for Promotion

Decisions to promote a faculty member must be made in light of a thorough evaluation of the faculty member's performance in all the areas of faculty activity (Sections 3.5.1, 3.5.2, and 3.5.3) as specified in the department and college promotion and tenure criteria and procedures. Promotion criteria for tenure track faculty must mirror those criteria for tenure contained in Section 3.8.4.

Internal candidates applying for an open position of higher rank must meet the promotion and advancement criteria stated in Section 3.9.

Each department and college must have a document that sets forth the standards and procedures governing promotion ~~and tenure~~ of faculty within that department and college. The department

and college documents may specify standards that are more specific than those of the University, provided they do not conflict with the standards of the University, and the procedures must be consistent with the procedures described herein. The document must be approved by the faculty of the college, by the dean, and the Senior Vice President and Provost. The document must be distributed to the faculty of the academic unit.

The candidate's performance should be measured against the following institutional criteria, in addition to the criteria defined in the department and college promotion documents:

- (a) Promotion to assistant professor is usually based on an advanced degree, and/or certifications(s) that are standard prerequisites for an academic appointment in the discipline, appropriate experience, and promise for academic accomplishment;
- (b) While early consideration is possible, promotion to associate professor is usually based on five (5) or more years as an assistant professor, a sustained record of academic accomplishment in teaching, research and creative/scholarly activity, and professional and University service and public outreach, strong academic performance and promise. This record of accomplishment must document an emerging reputation of regional or national scope in the candidate's academic field. Professional publications will be an important element in assessing regional or national recognition, although other factors will also be considered.
- (c) While early consideration is possible, promotion to professor is a high honor, and is usually based on five (5) or more years as an associate professor and demonstration of superior achievements and continued excellence in their academic endeavors. Faculty at this rank should have fully achieved national or international recognition for work in their respective disciplines as evidenced by major contributions to teaching, research and creative/scholarly activity, and professional and University service and public outreach.
- (d) Length of time in a given rank is not in itself a sufficient reason for promotion.
- (e) Promotion should indicate that the faculty member is of comparable stature with others in the same rank and discipline at peer institutions.

### **~~3.11.2~~ 3.9.2 Procedures for Promotion**

- (a) The process regarding advancement in rank shall originate in the academic units, according to timelines determined by the Senior Vice President and Provost.
- (b) The college dean or the Senior Vice President and Provost may require the chair of an academic unit to initiate consideration of promotion for an individual faculty member. In such a case, the academic unit must forward a recommendation to the dean or Senior Vice President and Provost, whether or not it is favorable.
- (c) Primary responsibility for gathering complete information on professional activity rests with the individual faculty member. In general, documentation of the individual's academic accomplishments should include, but not be limited to the following:
  - 1) Complete and up-to-date curriculum vita, including a summary of college and university degrees earned, all professional employment, all professional honors and awards, and an up-to-date list of books and journal publications by author in sequence. Manuscripts in press or submitted for publication and abstracts should be listed separately.

- 2) Letters of evaluation of academic performance in teaching, research and creative/scholarly activity, and professional and University service and public outreach will be solicited by the chair after consulting with the candidate. Normally, there should be three (3) letters of evaluation from individuals outside the University of Oklahoma considered established authorities in the discipline who are in a position to evaluate the candidate's academic performance and suitability for promotion. These letters may be solicited from individuals who were not suggested by the candidate. There should be three (3) internal (or local) letters of evaluation particularly relevant to teaching and service.
  - 3) Examples of documentation of teaching, research and creative/scholarly activity and professional and University service and public outreach accomplishments are noted in **Section 3.8.5 (d) (3)(4)(5)**. ~~The candidate is entitled to review the information in his/her promotion file.~~ However, letters of evaluation and/or recommendation 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.
- (d) All faculty who hold Regular Faculty appointments in the primary department who are of equal or higher rank to which the candidate is being considered, and who are available, shall meet for a discussion of and vote on the candidate's qualifications for promotion.

Formal consideration for promotion shall originate with the polling by secret ballot of all faculty of equal or higher rank to which the candidate is being considered in the candidate's academic unit, including when practical those who are on leave of absence. The chair of the academic unit or other administrative personnel required to submit a separate promotion recommendation shall not participate in this vote.

At times the small number of members of an academic unit prevent appropriate academic unit promotion review. In such instances the dean of the college, in consultation with the chair of the academic unit involved, shall establish an *ad hoc* promotion review committee to serve as the candidate's academic unit for purposes of voting on promotion.

~~All recommendations from the academic unit, chair, dean, Senior Vice President and Provost, and President must be in writing. Reasons must be given for all recommendations except for a recommendation based on any polling of the unit's faculty members. In all recommendations that are to be forwarded, the chair shall provide a separate recommendation with supporting reasons. Recommendations of the dean and Senior Vice President and Provost must be provided to the unit as well as to the candidate.~~

- (e) All recommendations shall be in writing and, with exception of the faculty recommendation resulting from the confidential poll within the department, reasons for the recommendation must be stated at the time recommendations are made. At the time recommendations are made at each stage of the review process (Chair, Dean, Senior Vice President and Provost, President), written notification of such recommendation must be provided to the chair and to the individual candidate by the person or committee making the recommendation.
- (f) Whenever possible, a promotion should be accompanied by an appropriate increase in salary. 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, 7-15-96, 1-26-99, 12-3-02, 6-25-08)

### **3.12 3.10 SABBATICAL LEAVE 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.

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~~ considered—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:

- 1) Research on significant problems and issues.
- 2) Important creative or descriptive work in any means of expression; for example, writing or painting.
- 3) Postdoctoral study at another institution to update teaching skills.
- 4) 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~~ adjustment. 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.

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.

(c) Benefits Payable

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

- 1) Health, Accidental Death/Dismemberment, and Dental insurance will continue at full benefit level.
- 2) Social Security contributions will be based on the actual salary paid.
- 3) The normal Defined Contributions Plan 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.
- 4) Faculty should consult the Office of Human Resources for information regarding the Defined Benefits Plan.

(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 or intersessions.

- 1) After six years of service, faculty with 12-month regular faculty 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. After six years of service, faculty with nine- or ten-month regular faculty 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. 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.

- 2) 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:

- 1) The faculty member shall submit the sabbatical leave application to the department chair or director. 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 Regents for the April and September meetings, respectively.

(Regents, 5-11-78, amended 9-9-82, 4-12-84, 1-17-85, 7-23-87, 1-24-95, 1-27-04, 6-23-04, 6-25-08)

*(See Section 6 – Benefits, for additional Leave Policies)*

### **~~3.13~~ 3.11 AWARDS**

The University recognizes outstanding 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 are privately funded, and criteria and method of selection are set forth in joint University-donor contracts.

#### **~~3.13.1~~ 3.11.1 Regents' Awards**

The Regents' Award is an annual University-funded award that may be given for superior accomplishments of full-time Regular faculty in any of the following:

- Superior Teaching
- Superior Research and Creative/Scholarly Activity
- Superior Professional and University Service and Public Outreach

(a) 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, residents, fellows, alumni, departmental chairs, personnel committees, as well as from off-campus sources where appropriate.



(b) Nomination Procedure

- 1) The Senior Vice Presidents and Provosts will solicit recommendations for the awards during the fall semester and announce appropriate schedules for processing the nominations.
- 2) An academic unit may submit no more than a total of two names for all of 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 or 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 University Council on Faculty Awards and Honors will consider the nominations and make its recommendations through the Senior Vice Presidents and Provosts to the President.

(c) Selection Procedure

- 1) The University 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.
- 2) 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 Presidents 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.
- 3) The final selection of the recipients will be made by the Board of Regents.

(d) 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 the spring meetings of the faculty.

(e) 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 \$10,000. A certificate suitable for framing will be presented to the recipient.

(Regents, 5-11-78; amended 9-11-86, 6-27-95, 1-26-99, 1-27-04, 01-26-11)

**~~3.13.2~~ 3.11.2 Provost's Research Awards**

The Provost's Research Award recognizes meritorious research. Two awards ~~are~~ may be given each year to full-time, regular faculty members; one each for junior (assistant professors) and

senior (associate professors and full professors) faculty. The awards are given for a significant personal achievement of original research. The awards are \$2,000 each and unrestricted.

(a) Nominations

Nominations will be solicited during the fall semester and can be made by any full professor. They should be made by means of a letter to the Vice President for Research describing the research achievement, and enclosing the relevant research publication(s), three to five referee letters and letters of support, as appropriate, and a curriculum vitae. They will be evaluated by the Health Sciences Center Research Council, and the two judged best for each award will be forwarded to the Senior Vice President and Provost, along with an evaluation which gives the reasons for the recommendations. Nominations are due in January of each year.

(b) Selection

The selections are made by an ad hoc committee consisting of the chair of the Health Sciences Center Research Council, the Vice President for Research and the Senior Vice President and Provost.

(c) Recipients

The recipients of the Provost's Research Award will be announced by the Senior Vice President and Provost at the spring meeting of the General Faculty.

(Senior Vice President and Provost, 8-27-98)

### **~~3.14~~ 3.12 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 to full-time Regular faculty:

David Ross Boyd Professorships  
George Lynn Cross Research Professorships  
Regents' Professorships  
Presidential Professorships

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

#### **~~3.14.1~~ 3.12.1 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; and contributes to the success of students.

(b) Nomination Procedure

- 1) Initiation. The Senior Vice Presidents 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 Presidents 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 Presidents 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 Presidents 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 professorship will receive a one-time cash award of \$7,000 and a permanent salary increase of 7% on the University base or \$7,000, ~~minimum~~ whichever is greater, starting in the subsequent fiscal year.

(e) Term of the Award

The term of a David Ross Boyd Professor is continuous until retirement.

(Regents, 5-11-78, 3-15-89, 9-26-95, 1-27-04, 6-25-08, 03-25-09)

### **~~3.14.2~~ 3.12.2 George Lynn Cross Research Professorship**

#### **(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 Presidents 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 President 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 or her own evaluation.

#### **(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 Presidents and Provosts 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 recommendations to the Board of Regents.

(d) 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% on the University base or \$7,000, ~~minimum~~ whichever is greater, starting in the subsequent fiscal year.

(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, 1-27-04, 6-23-04, 6-25-08, 3-25-09)

**~~3.14.3~~ 3.12.3 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 7% on the University base or \$7,000, ~~minimum~~ whichever is greater, 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' Professorship is continuous until retirement.

(Regents, 5-11-78, 3-15-89, 9-26-95, 1-27-04, 3-25-09)

**~~3.14.4~~ 3.12.4 Presidential Professorship**

(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, graduate, and/or professional 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 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 undergraduates 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 Health Sciences Center 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:

- 1) 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 – Health Sciences Center Campus members, and Deans' Council. In the initial year, three appointees will be asked to serve a one-year term, three appointees will be asked to serve a two-year term, and three appointees will be asked to serve a three-year term.
- 2) The President will also select two faculty at-large from the HSC campus tenure track, tenured, and consecutive term faculty to serve. In the initial year, one will be asked to serve a one-year term, and the other a two-year term.
- 3) The President will also select two distinguished outside individuals to serve. In the initial year, one will be asked to serve a one-year term, and the other a two-year term.

In subsequent years, the selection committee will be composed of six faculty and three academic administrators serving three-year staggered terms, two faculty-at-large serving two-year staggered terms, and two outside individuals serving two year staggered terms.

- 4) 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 Sciences 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 or her campus' selection committee.

- 3) 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.
- 4) The final selections will be announced ~~for Norman Campus at the annual Faculty Awards Ceremony and for the Health Sciences Center~~ at the Spring General 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

Decisions regarding merit increases in base faculty salary in the academic year will be made independently of faculty status as a Presidential Professor.

Presidential Professors will be given the option each year of receiving the professorship funding as:

- 1) a (taxable) salary supplement plus associated fringe benefits; paid in two installments, one in the fall semester and one in the spring semester, or as a summer salary, or
- 2) a faculty development grant within their departmental account(s) for use in travel, graduate student stipends, instructional enhancement, and research development, or
- 3) a combination of 1 and 2.

(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, 9-26-95, 1-27-04, 6-23-04, 6-25-08)

**~~3.14.5~~ 3.12.5 Presentation to Board of Regents**

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

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

**~~3.15~~ 3.13 ENDOWED CHAIRS AND PROFESSORSHIPS**

An endowed chair or professorship is a faculty position supported by an endowment in perpetuity. An endowed chair requires a minimum \$1 million endowment and an endowed professorship requires an endowment of a minimum of \$500,000. Endowed faculty positions allow the Health Sciences Center to recruit or retain educators, clinicians, scholars, and researchers who are leaders in their fields of study.



Faculty may be appointed to endowed chairs and professorships established at the Health Sciences Center.

(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 unless an exception is approved by the Senior Vice President and Provost.

(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 (1) two faculty members from the academic unit concerned, (2) two outside individuals distinguished within the relevant area and appointed by the President, and (3) 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. Once a candidate has been identified, the dean will consult with the Senior Vice President and Provost. 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.~~

(c) Term of the Award

For endowed chairs only, the appointee will generally be a tenured faculty member ~~or receive tenure on appointment to an endowed chair in accord with Section 3.8.4).~~ Endowed professorships do not carry such stipulations. The term of an endowed chair is governed by the terms of the donor agreement or, in the absence of such specifications, is determined by the dean.

(d) Vacancy

If the endowed position is vacant, the accumulated interest earnings cannot be expended unless there is written approval by the donor(s).

(Regents, 6-15-78; Presidential Clarification, 9-15-92; Regents, 6-27-95, 1-26-99, 1-27-04, 6-23-04)

### **3.16 3.14 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)

### **3.17 3.15 FACULTY SCHOLARSHIPS AND FELLOWSHIPS**

The University is often 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 Provost's Office.~~

The Council on Faculty Awards and Honors assists the President of the University, when requested, in the determinations of nominations for local, national, and international awards and honors.

(Regents, 5-11-78)

### **3.16 ABROGATION OF TENURE, TERMINATION OF EMPLOYMENT, DISMISSAL BEFORE EXPIRATION OF A TENURE TRACK OR CONSECUTIVE TERM APPOINTMENT, SEVERE SANCTIONS; SUMMARY SUSPENSION; AND OTHER DISCIPLINARY ACTIONS IMPOSED FOR FAILURE TO COMPLY WITH THE UNIVERSITY COMPLIANCE PROGRAM, PROFESSIONAL PRACTICE PLAN BILLING COMPLIANCE POLICY, OR OTHER FEDERAL OR STATE MANDATES**

~~Only the Board of Regents have the power to abrogate tenure, dismiss a faculty member before expiration of a tenure track or consecutive term appointment, impose severe sanctions or summary suspension. The Board of Regents shall impose severe sanctions only in cases where they determine that there exists sufficient cause for such action. Dismissal of faculty members due to financial exigency and program discontinuance are not severe sanctions and should be guided by 3.18.3 and Appendix F.~~

- (a) ~~Abrogation of Tenure or Dismissal Before Expiration of a Tenure Track or Consecutive Term Appointment:—~~Only the Board of Regents has the power to abrogate tenure.

The University strives to exercise great care in selecting its faculty appointees and in conferring tenure only upon those faculty members who have demonstrated their merit for continuous appointment. For that reason, ~~abrogation of tenure, or dismissal of a tenure track or consecutive term faculty member whose term of appointment has not expired~~ should be an exceptional event. When the President decides to recommend abrogation of tenure to the Board of Regents, the President must so notify the faculty member in writing. (See Section 3.19.1(b))

~~While abrogation of tenure or dismissal of tenure track or consecutive term faculty generally will be required infrequently, the University must be prepared for such an eventuality, eventuality~~ so that both the integrity of the University and the rights of faculty members may be preserved. The Faculty Appeals Board is the appropriate body to hear appeals process for regarding abrogation of tenure, ~~or dismissal of a tenure track or consecutive term appointment.~~ The Board of Regents shall give all reasonable consideration to the recommendations of the Faculty Appeals Board Hearing Committee.

(b) Termination of Employment:

The Senior Vice President and Provost, or the Dean with approval from the Senior Vice President and Provost, has the power to terminate employment. The Faculty Appeals Board is the appropriate body to hear permissible appeals related to termination of employment under enumerated circumstances.

Improper conduct described in Section 3.16.1 sub-sections (e), (f), (g), or (h) below may result in immediate termination of employment. The faculty member may request a Faculty Appeals Board hearing following termination under 3.16.1 (e), (f), (g), or (h).

The notice requirements for consecutive term or tenure track faculty contained in **Section 3.2.7** (a) through (d) are not applicable to terminations under 3.16.1 (e) through (h).

(c) Severe Sanctions:

The Senior Vice President and Provost, or the Dean with approval from the Senior Vice President and Provost, has the power to impose severe sanctions.

~~It is also recognized, that a few Faculty members may, from time to time, who engage in improper conduct which require may be subject to sanctions short of dismissal termination or abrogation. As in the case of dismissal, The imposition of such 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. The faculty, through the Faculty Appeals Board, must be willing to recommend severe sanctions against a colleague when necessary.~~

See **Section 3.16.1** for grounds for severe sanctions. Severe sanctions may include, but are not limited to, loss of prospective University privileges for a stated period (for instance, loss of eligibility for a sabbatical leave of absence, loss of remunerated consultative privileges, loss of remunerated private practice privileges etc.); a fine; or a reduction in salary. ~~and suspension from service for a stated period.~~ The Faculty Appeals Board is the appropriate body to hear appeals regarding severe sanctions.

(d) Summary Suspension:

The Senior Vice President and Provost, or the Dean with approval from the Senior Vice President and Provost, has the power to impose summary suspension.

~~Suspension of Summarily suspending a faculty member from some or all duties, or assignment to other duties in lieu of suspension, before a hearing is justified if immediate harm to the faculty member, or to others, or the University is threatened by that person's faculty member's continued performance of regular duties. or if the faculty member has failed to adhere to the University's Compliance Program.~~

Summary suspension may be with or without pay. A faculty member who has been summarily suspended is not entitled to receive University compensation from consultative privileges or Practice Plan privileges. If suspension is with pay, compensation will consist only of University Base during the period of summary suspension.

Summary suspension does not remove from the University the obligation to provide due process within a reasonable period of time following ~~action~~ the suspension, upon the faculty

member's request for a Faculty Appeals Board hearing. The Faculty Appeals Board is the appropriate body to hear appeals regarding summary suspension.

- (e) Disciplinary Actions for Failure to Adhere to University Compliance Program, Professional Practice Plan Billing Compliance Policy, or Other Federal or State Mandates:

The Senior Vice President and Provost, or the Dean with approval from the Senior Vice President and Provost, has the power to impose disciplinary actions under this sub-section.

An employee's failure to adhere to the University Compliance Program, Professional Practice Plan Billing Compliance Policy, or other federal or state mandates requires that the University take quick and decisive action. ~~With the exception of dismissal, it shall not be considered a severe sanction to~~ such as imposing ~~impose~~ fines upon, suspending the billing privileges of, or otherwise sanctioning or terminating University faculty who ~~are~~ have been determined to be out of compliance. ~~with the college's Professional Practice Billing Compliance policy or who have failed to adhere to the University Compliance Program.~~ Disciplinary actions imposed under this sub-section (e) are not considered severe sanctions for purposes of this policy and are not appealable to the Faculty Appeals Board.

- (f) Minor Sanctions:

The Dean, or the Chair of the academic unit with approval from the Dean, has the power to impose minor sanctions.

A faculty member against whom the imposition of minor sanctions is sought must be informed in writing of the basis for the action. While it is not possible to specify all grounds for which minor sanctions may be sought, they include, but are not limited to, the following:

- (1) Neglect in the duty to or inability or failure to carry out normal and expected satisfactory teaching, research, or service responsibilities, including patient care
- (2) Unprofessional conduct adversely affecting the functioning of the area, department, college, or University
- (3) Failure to adhere to University policy (excluding those policies in (e) above).

Minor sanctions may include, but are not limited to, suspension of clinic assignments, suspension of travel privileges for not more than 30 days, and/or restitution to the University. A faculty member who believes the sanctions are unfair/unsupported may appeal the sanction(s) imposed to the Senior Vice President and Provost within 15 University business days of notice of the sanction(s). The Senior Vice President and Provost will review the sanction imposed, meet with the faculty member if requested, and decide to affirm, modify, or revoke the minor sanctions. The decision of the Senior Vice President and Provost is final.

(Regents 7-15-96, 1-26-99, 12-3-02, 6-25-08)

### **3.18.1 3.16.1 Grounds for Abrogation of Tenure, ~~Dismissal, Termination of Employment,~~ and Severe Sanctions**

A faculty member against whom the imposition of abrogation of tenure ~~dismissal, termination of employment,~~ or a severe sanction is sought must be informed in writing ~~the reasons for seeking~~ of the basis for the action. The Faculty Appeals Board is the appropriate body to hear permissible appeals related to abrogation of tenure, termination of employment, and severe

sanctions under enumerated circumstances. While it is not possible to specify all grounds for which abrogation of tenure ~~dismissal during the term of a contract,~~ termination of employment, or severe sanctions may be sought, they include, but are not limited to the following:

- (a) Professional incompetence or dishonesty;
- (b) Substantial, manifest, or repeated failure to, and/or refusal to fulfill professional duties and responsibilities;
- (c) Substantial, manifest, or repeated failure to, and/or refusal to adhere to University policies; ~~including the University's Compliance Program;~~
- (d) Personal behavior preventing the faculty member from satisfactory fulfillment of professional duties or responsibilities;
- (e) Being placed on the United States Department of Health and Human Services' list of excluded individuals and entities, in which case the University will take quick and decisive action by terminating the faculty member's employment.\* ~~The faculty member may request a Faculty Appeals Board hearing following termination;~~
- (f) ~~Serious~~-Violations of law to which the faculty member has pleaded guilty or nolo contendere or ~~which that~~ have been ~~proved~~ adjudicated before a court of competent jurisdiction that prevent the faculty member from satisfactorily fulfilling professional duties or responsibilities, or violations of a court order when such ~~plea or order~~ violations relates to the faculty member's proper performance of professional responsibilities. In such case the University will take quick and decisive action by terminating the faculty member's employment\*.
- (g) Loss or suspension of a license, prescribing authority, or privileges at a facility; loss of OU Physicians credentialing privileges; inability to obtain or maintain enrollment as a provider with an insurer; or inability to obtain or maintain professional liability insurance coverage in which case the University ~~may~~ will take quick and decisive action by terminating the faculty member's employment.\* ~~The faculty member may request a Faculty Appeals Board hearing following termination.~~
- (h) For faculty hired primarily to spend their time in clinical practice or practice-related activities, poor clinical performance, unprofessional behavior, or conduct that jeopardizes patient safety may result in the University's taking quick and decisive action by terminating the faculty member's employment.\*

\* Improper conduct noted in sub-sections (e), (f), (g), or (h) above may result in immediate termination. The faculty member may request a Faculty Appeals Board hearing following termination under (e), (f), (g), or (h).

The notice requirements for consecutive term or tenure track faculty contained in **Section 3.2.7** (a) through (d) are not applicable to terminations under 3.16.1 (e) through (h).

(Regents, 1-26-99, 12-3-02, 6-25-08)

**~~3.18.2 3.16.2 Notification of Recommendation of Abrogation of Tenure, Dismissal of a Tenure-Track or Consecutive Term Appointment, or Severe Sanctions~~**

~~When the President decides to recommend abrogation of tenure, dismissal of a tenure track or consecutive term appointment, or other severe sanctions to the Board of Regents, the President must so notify the faculty member in writing. (See Section 3.21.1(b))~~ **Moved to 3.16 (a)**

~~(Regents, 1-26-99, 12-3-02, 6-25-08)~~

### **3.18.3 Termination of Continuous Appointment on Grounds of Financial Exigency or Program Discontinuance** **moved to Section 3.2.8**

- ~~(a) The policy and procedures for coping with financial exigency are contained in the Financial Emergency Policy (Appendix F).~~
- ~~(b) The policy and procedures for program discontinuance are contained in the Program Discontinuance Policy (Appendix G). In certain instances, changes in the needs of society and the rapidity with which new knowledge is accumulated and disseminated may affect the relevance, cost effectiveness, and ultimate continuation of academic programs at the Health Sciences Center. Changes in the University's educational function through action of the Board of Regents of the University and/or the Oklahoma State Regents for Higher Education may also result in the elimination of an academic program(s). In such instances, the University will adhere to the procedures outlined in the Program Discontinuance Policy.~~

~~(Regents, 1-26-99, 12-3-02, 6-25-08)~~

## **3.19 3.17 APPEALS AND GRIEVANCES**

All faculty, whether tenured or not, are entitled to academic freedom as set forth in **Section 3.3** and academic due process.

The following procedures cover alleged prohibited discrimination, including sexual, racial, or ethnic harassment, and alleged violations of academic freedom or academic due process, and the alleged failure to follow University policy, or alleged unfairness in the application of University policy unresolved through the administrative process. The procedures also cover permissible appeals related to abrogation of tenure, termination of employment actions (under enumerated circumstances), severe sanctions, and summary suspension. The faculty member may seek redress through the appropriate grievance procedures if such violations occur in the course of performing professional duties or in the process of being considered or evaluated for recommendations regarding reappointment, salary increase, promotion, or tenure. Grounds for appeal may also include other personnel decisions in which a faculty member has reason to believe there has been discrimination; sexual, racial, or ethnic harassment; violation of due process or academic freedom; or if there are other appealable grievances ~~which~~ that have not been resolved administratively.

Faculty members serving as chairs, directors, deans, or in other administrative positions who are relieved of their administrative responsibilities may not file ~~a grievance or an appeal~~ when the ~~grievance or~~ appeal is based upon actions related to their administrative performance.

There are two appeal processes for the issues described above: the Faculty Appeals Board (Section 3.19) and the Committee on Discrimination and Harassment (**Appendix H, VII C 1(b) and Appendix J, VII B 2(b)**).

- (a) **Faculty Appeals Board** - The Faculty Appeals Board is the appropriate ~~appeal process for~~ body to hear appeals regarding alleged violations of academic freedom, academic due process, alleged failure to follow University policy, or alleged unfairness in the application of University policy, or other appealable grievances (other than alleged prohibited

discrimination) ~~which that~~ have not been resolved administratively. It is also the appropriate appeal process for abrogation of tenure, termination of employment actions (under enumerated circumstances), severe sanctions, and summary suspension, ~~dismissal of tenure-track or consecutive term appointment, or severe sanctions~~ (Section 3.19).

- (b) **Committee on Discrimination and Harassment** - The Committee on Discrimination and Harassment is the appropriate appeals process for complaints involving harassment based on race, ethnicity, or sex, or complaints involving discrimination because of race, color, national origin, ~~sex~~, sexual orientation, genetic information, ~~sex~~, age (~~40 or older~~), religion, disability, political beliefs, or status as a veteran. Such appeals must be filed with the University Equal Opportunity Officer (Appendices H and J)

(Regents, 1-26-99, 12-3-02)

### ~~3.20~~ 3.18 THE FACULTY APPEALS BOARD

- (a) The Faculty Appeals Board is a standing body appointed by the Faculty Senate ~~which that~~ responds to ~~matters of requests for a hearing with regard to~~ alleged violations of academic freedom or academic due process, and other appealable grievances concerning the alleged failure to follow University policy or alleged unfairness in the application of University policy unresolved through administrative procedures, tenure abrogation, ~~dismissal, termination of employment actions (under enumerated circumstances)~~, severe sanctions, and summary suspension. The Faculty Appeals Board considers all such matters brought before it in a timely manner by individual faculty members. It is the responsibility of the Faculty Appeals Board Chair ~~and Faculty Senate Chair~~ to ensure that all matters are handled expeditiously in a timely manner.
- 1) In cases related to alleged violation of academic freedom, or academic due process or other grievances concerning the alleged failure to follow University policy or alleged unfairness in the application of University policy, the faculty member will be considered the complainant and the administration the respondent.
  - 2) In cases related to abrogation of tenure, ~~dismissal of tenure-track or consecutive term appointment, or termination~~, severe sanctions, or summary suspension, the administration will be considered the complainant, and the faculty member the respondent. ~~and The letter from the President~~ written notice provided to the faculty member outlining the charges will serve as the complaint.
- (b) The Faculty Appeals Board of the Health Sciences Center shall consist of forty tenured faculty members representing fairly the existing colleges on the Health Sciences Center campus. The members shall be appointed from among all full-time faculty whose duties are primarily non-administrative (i.e., not at the level of Assistant/Associate Dean, Dean, Assistant/Associate/Vice Provost, or Senior Vice President and Provost). All terms shall be four years.
- (c) Each Faculty Appeals Board shall have a chair and vice chair designated by the Faculty Senate. The chair and vice chair should be from separate colleges.
- (d) All responsibilities of the chair will be relinquished and passed to the vice chair if the appeal at issue is from a faculty member in the same college as the chair.
- (e) All members of the Board are eligible for re-election. Terms of service shall begin July 1 and end June 30 except that, if a hearing is in progress at this time, any retiring member of



the Board who is on the Hearing Committee shall be continued on the Committee until the case in progress is closed.

- (f) If a member of the Board, not serving on a Hearing Committee, ceases to be a full-time member of the faculty, or if his or her duties become primarily administrative, the Senate shall elect a replacement to complete the term.
- (g) Members on the Board who have an appeal pending before the Board shall be suspended from all Board activities until the appeal is resolved.

(Regents, 1-26-99, 12-3-02, 6-25-08)

**3.21 3.19 FACULTY APPEALS BOARD PROCESS**

~~The Faculty Appeals Board is the appropriate body to hear appeals regarding alleged violation of academic freedom, academic due process, or other grievances concerning the alleged failure to follow University policy or alleged unfairness in the application of University policy, abrogation of tenure, Dismissal of a Tenure Track or Consecutive Term Appointment, termination, severe sanctions, or suspension. Failure to Comply with the University Compliance Program.~~ Deleted. Language already in 3.17 (a) and 3.18.

**3.21.1 3.19.1 Initiation of Appeal and Request for a Hearing**

- (a) **Request for Hearing - Academic Freedom, Academic Due Process or Other Appealable Grievances Concerning the Alleged Failure to Follow University Policy or Alleged Unfairness in the Application of University Policy:**

Any faculty member who believes that either academic freedom or academic due process has been violated or alleges other grievances concerning the ~~alleged~~ failure to follow University policy or ~~alleged~~ unfairness in the application of University policy should first seek prompt redress through regular administrative channels, which ~~would~~ include the chair, dean, and Senior Vice President and Provost. Seeking redress through regular administrative channels does not extend the 45-day time allowed for filing an appeal.

If the administrative review does not provide a satisfactory result, and if the faculty member wishes to continue the appeal, he/she may submit, as the complainant, a written complaint outlining the specific points of appeal and requesting a formal hearing to the Chair of the Faculty Appeals Board no later than 45 ~~calendar~~ University business days after he/she became or should have become aware of the alleged violation. ~~Seeking redress through regular administrative channels does not extend the 45-day time allowed for filing an appeal.~~ Moved to 2<sup>nd</sup> paragraph above.

- (b) **Request for Hearing - Abrogation of Tenure, ~~dismissal of tenure track or consecutive term appointment~~, Appealable Termination of Employment, Severe Sanctions, or Summary Suspension: ~~or failure to comply with the University Compliance Program.~~**

Any faculty member who chooses to appeal termination of employment, severe sanctions, summary suspension, or the decision by the President to recommend abrogation of tenure ~~dismissal of a tenure track or consecutive term appointment or other severe sanctions~~ to the Board of Regents must submit, as the respondent, a written request for hearing to the Chair of the Faculty Appeals Board within 15 ~~calendar~~



University business days of the date of the President's letter written notice provided to the faculty member. (See (e) below).

- (c) The time intervals specified in the preceding and following sections ~~are guidelines and~~ should be maintained unless waived by the Chair of the Faculty Appeals Board for unusual circumstances or in order to allow continuing progress towards informal resolution of the complaint.
- (d) The Faculty Appeals Board process is a lay process ~~which that~~ relies on peer review and the common sense, sound judgment, good character, and sense of fairness of each Hearing Committee. The Faculty Appeals Board procedures should strive to diminish formality and rigidity. The process is not to be considered a trial but is a system of internal review to effect a just and fair disposition of a grievance.
- (e) Responsibilities of the Faculty Appeals Board Chair:
  - 1) The Faculty Appeals Board Chair has the responsibility to determine if the complaint is appealable, for example, whether the ~~initial deadline as set in under~~ sections 3.19.1(a) and (b) has been met and whether the complaint ~~alleges is concerned with~~ the failure to follow University policy or ~~alleged~~ unfairness in the application of University policy. If the complaint is timely and appealable, the process will continue. If the complaint is not timely and appealable, the Chair shall so notify both the complainant and the respondent and the process will end.
  - 2) The Faculty Appeals Board Chair ~~may, at any time~~ shall, prior to initiating the formal hearing process, hold a pre-hearing conference by meeting with the complainant and respondent, either together or separately, to discuss the points of the complaint. The intent will be to resolve differences where possible and to seek a resolution and/or dismissal of the appeal.
  - 3) Ordinarily the University General Counsel or a member of his/her staff not otherwise involved will serve as the legal advisor to the Faculty Appeals Board. If the Chair of the Faculty Appeals Board determines that some other course is desirable, he/she may request a meeting with the President or his designee. In such instances when the Chair of the Faculty Appeals Board continues to desire outside counsel following a meeting with the President or his designee, the President may appoint other counsel, with the concurrence of the Chair of the Faculty Appeals Board, to advise the Hearing Committee.
- ~~(f) — Pre-Hearing Procedure:~~
  - 1) ~~Upon receipt of the written complaint as set out in (a) and (b) of this section and prior to initiating the formal hearing process, the Chair of the Faculty Appeals board shall ask the respondent to submit, within 15 working days, a statement in writing outlining the specific points of defense. Upon receipt of this statement, the Chair of the Faculty Appeals Board shall, convene the complainant, the respondent, and two members of the Faculty Appeals Board within 30 working days. The two members shall be selected by the Chair in the same manner as members and alternates (Section 3.21.2(c)(2)) and shall be ineligible to serve on the Hearing Committee for that particular case. The purpose of the meeting is to discuss the points of the complaint, to resolve differences, where possible, and to seek resolution of the matter at issue. Formal minutes of these discussions will not be taken, and no data, findings or~~

~~recommendations from these discussions will be forwarded to the Hearing Committee except as provided in Section 3.21.3.~~

- ~~2) If a satisfactory resolution is reached, the Chair of the Faculty Appeals Board will summarize and forward the facts of the case in writing to the complainant and the respondent.~~
- ~~3) If a satisfactory resolution is not reached within 45 working days from receipt of the formal request for hearing (3.21.1(a)(b)), the Chair of the Faculty Appeals Board will notify the parties that no resolution was reached and initiate hearing procedures.~~

### ~~3.21.2~~ **3.19.2 Formal Hearing Procedure**

To initiate the hearing procedure, the Chair of the Faculty Appeals Board will request statements from both the complainant and the respondent per (a) and (b) below and concurrently begin the process for selection of Hearing Committee members per (c) (1) through (9) below.

All matters brought to the Faculty Appeals Board shall be handled according to the following procedures, which are designed to ensure fairness and due process.

- (a) ~~If the pre-hearing conference described in section 3.21.1(f)(1) does not produce a satisfactory result,~~ The Chair of the Faculty Appeals Board will request the complainant to submit to both the Chair and the respondent, within ~~20~~ 10 working University business days of the pre-hearing conference a written statement embodying:
  - 1) Relevant policies of the administrative or academic unit, the College, the Senior Vice President and Provost's Office, President's Office, and the Board of Regents.
  - 2) The written complaint (3.19.1(a)(b)).
  - 3) A summary of the evidence upon which the complaint is based.
  - 4) A list of witnesses proposed to be called, a brief summary of ~~their~~ the testimony of each proposed witness, and a ~~list~~ copy of exhibits proposed to be presented.
- (b) The Chair of the Faculty Appeals Board will, upon receipt of the complainant's statement, request the respondent to submit to both the Chair and the complainant, within ~~20~~ 10 working University business days, a written statement including:
  - 1) Relevant policies of the administrative or academic unit, the College, the Senior Vice President and Provost's Office, President's Office, and the Board of Regents.
  - 2) The written response outlining the specific points of defense.
  - 3) A summary of the evidence to be used in refuting the charges.
  - 4) A list of proposed witnesses to be called, a brief summary of ~~their~~ the testimony of each proposed witness, and a ~~list~~ copy of exhibits proposed to be presented.
- (c) Selection of Hearing Committee:
  - 1) Within ~~5~~ 5 working University business days after the pre-hearing conference (3.15.1 (f)(1)) receipt of the faculty member's request for a hearing, the Chair of the Faculty

Appeals Board will proceed with the selection of the Hearing Committee by submitting the list of names of the eligible Board members to both parties. The list shall not include a member of the same academic unit or one who is related by consanguinity or affinity to the respondent or complainant. Members and alternates currently serving on another hearing shall also be ineligible. A member or alternate 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 this section. The Chair of the Faculty Appeals Board shall also determine, in consultation with the legal counsel to the Faculty Appeals Board, that no one on the list has a bias related to the person(s) or issue at hand.

- 2) Within ~~5 working~~ 5 University business days after submitting the list of eligible Board members to both parties, the Chair of the Faculty Appeals Board will select seven members of the Board to constitute the Hearing Committee, three additional members to serve as alternates, and ten members to be available ~~for maintaining the alternate pool~~ to serve as alternates (alternate pool) should replacements become necessary through personal disqualification, ~~or~~ challenge of individuals initially selected, or other cause.

The selection of members and alternate members of the Hearing Committee shall be made by lot and ~~it~~ shall be made in the presence of the Chair of the Faculty Senate or a designated representative. The complainant and the respondent ~~in the hearing~~ shall be invited to be present or to send a representative. The Chair of the Faculty Appeals Board shall notify members in writing of their selection to the Hearing Committee and of the parties involved and provide a brief description of the general nature of the issue. Members who cannot serve objectively must so notify the Chair within 5 University business days.

- 3) Within ~~10 working~~ 5 University business days of notice of the initial selection of the Hearing Committee, the complainant or the respondent ~~in the case~~ may submit a written request to the Chair of the Faculty Appeals Board asking that members or alternates of the Hearing Committee be disqualified on grounds of bias or personal interest in the case. If, however, a challenge for cause is disputed by either of the parties, the Faculty Appeals Board Chair shall decide whether cause has been shown and, if so, ~~disqualify~~ replace the member or alternate, in accordance with (1) and (2) above.
- 4) After challenges for cause have been acted on, the complainant and the respondent, ~~additionally~~, each may make a maximum of two peremptory challenges of members or alternates selected for the Hearing Committee within ~~5 working~~ 5 University business days of the date the parties are notified that such challenges for cause are resolved. Replacements shall be made in accordance with (1) and (2) above.

A finalized list of Hearing Committee members and alternates will be given to all parties within ~~10 working~~ 5 University business days of resolving any challenges of the membership of the Hearing Committee or alternates by the complainant or the respondent. If no challenges are offered, the finalized list must be completed within ~~20 working~~ 5 University business days of the initial selection of the Hearing Committee and alternates by the Chair of the Faculty Appeals Board.

All decisions regarding initial disqualifications shall be made prior to the first meeting of the Committee. Within ~~20 working~~ 10 University business days after the Hearing Committee and the alternates have been finalized, ~~the Hearing Committee shall elect its~~

~~own chair~~ Chair of the Faculty Appeals Board shall select from the Hearing Committee the individual to serve as the Chair, and who shall then set the date of the hearing. Every reasonable effort should be made by the Hearing Committee and both parties to hold the hearing as soon as possible.

- 5) Members of the Hearing Committee who are ~~disqualified~~ subsequently ineligible, ill, or otherwise unable to serve, shall be replaced from among alternate members by the Chair of the Faculty Appeals Board. Alternates who are ~~disqualified~~ subsequently ineligible, ill, or otherwise unable to serve, or who become members of the Hearing Committee will be replaced from among the reserve alternate pool (3.19.2(c)(2)) by the Chair of the Faculty Appeals Board.

~~A finalized list of Hearing Committee members and alternates will be given to all parties within 10 working days of resolving any challenges of the membership of the hearing committee or alternates by the complainant or the respondent. If no challenges are offered the finalized list must be completed within 20 working days of the initial selection of the Hearing Committee and alternates by the Chair of the Faculty Appeals Board.~~ moved to 4)

- 6) If a member of a Hearing Committee ceases to be a tenured, full-time member of the faculty, he or she shall be replaced from among the alternates by the Chair of the Faculty Appeals Board.
- 7) If the duties of a Hearing Committee member become primarily administrative, the member shall inform the Chair of the Faculty Appeals Board. The Chair of the Faculty Appeals Board will inform all parties. The member will continue to serve unless either party objects in writing to the Chair of the Faculty Appeals Board within ~~five working~~ 5 University business days of receipt of notice.
- 8) The pool of Three alternate members shall be maintained according to selection procedures in Section 3.19.2(c)(2). Alternate members shall attend all meetings of the Hearing Committee.

### **3.21.3 Handling of Charges**

- ~~(a) Within 20 working days after the respondent has submitted the written response outlined in section 3.19.2(b), the Chair of the Faculty Appeals Board shall meet for a second pre-hearing conference with the parties involved, as appropriate, and attempt to solicit an agreement which can be put into writing in an effort to resolve the matter at this point.~~
- ~~(b) If the issues cannot be resolved at this point, the complainant and respondent, with the Chair of the Faculty Appeals Board shall attempt to agree in writing upon the hearing procedures and other matters concerning the handling of the case including which issues are to be heard. In the absence of an agreement on procedures, the Chair of the Faculty Appeals Board shall determine the hearing procedures. In either case, the procedures should be finalized within 30 working days.~~
- ~~(c) The parties may agree to waive a hearing and submit the case to the Hearing Committee on agreed stipulation. The Hearing Committee will then make its findings and recommendations upon evidence contained in or referred to in the stipulation within 30 working days.~~

### **3.21.4 3.19.3 Hearing Regulations**

The following regulations shall apply:

- (a) The Chair, after consulting with the legal counsel assigned to the ~~board~~ Committee, shall have the final decision on any procedural issues raised ~~which that~~ are not addressed by the *Faculty Handbook*. ~~and in which there is an absence of agreement by the complainant and respondent.~~
- (b) The parties shall have the right to attend the hearing and to be accompanied by a colleague or counsel ~~or by both~~ to advise them. The names of such ~~advisors and~~ colleague or counsel shall be provided to the Chair of the Hearing Committee at least 15 University business days prior to the hearing. Costs for such representation are borne by the respective parties. Representatives may not question witnesses or address the Hearing Committee. All hearings will be closed to the public.
- ~~(e) The President or his designee may attend the hearing and may have a representative or counsel, or both.~~
- (c) The Chair of the Hearing Committee shall serve as liaison for communication ~~to and from~~ between the complainant or respondent and the Hearing Committee. Communications related to evidence and hearing procedures should be directed to the Chair of the Hearing Committee. Neither party shall communicate orally or in writing with individual Hearing Committee members during the hearing procedure. To ensure that information provided to the Hearing Committee by either party is part of the official documentation of the proceeding, each party is provided with a copy.
- ~~(d) The Chair of the Hearing Committee is responsible for maintaining a full and accurate record of the proceedings. This shall consist of a tape recording or, at the option of either party, a written transcript taken by a court reporter and shall include copies of all exhibits or and other materials distributed at the hearing.~~
- ~~(e) Either party may request a copy of the recording of the proceedings. The recording will be maintained in the Office of the Legal Counsel for a period of five years. The full cost of recording the proceedings shall be borne by the University. **Move to become (j) and (k) below**~~
- (d) The written statements of both parties, as provided in **Section 3.19.2 (a) and (b)** and evidence taken or considered beyond the written statements shall be heard by the entire Committee at the hearing and not beforehand.
- (e) Both parties shall have the right to present, examine, and cross-examine witnesses.
- (f) The principles of confrontation shall apply throughout the hearing.
- (g) ~~The President's~~ Senior Vice President and Provost's Office shall make available to the ~~faculty member~~ parties such authority as it possesses to require the presence of witnesses.
- (h) The Board of Regents of the University of Oklahoma shall not be liable for any costs whatsoever incurred by the faculty member except as set forth in this section.
- (i) The report of the Hearing Committee, which shall include findings and recommendations, will be submitted to the Senior Vice President and Provost within ~~10 working~~ University business days of the conclusion of the hearing, regardless of whether the written transcript of

the hearing is available. The Senior Vice President and Provost shall forward the Hearing Committee's findings and recommendations, as well as his recommendation, to the President.

- (j) The Chair of the Hearing Committee is responsible for maintaining a full and accurate record of the proceedings. This shall consist of a ~~tape~~-recording or, at the option of either party, a written transcript taken by a court reporter and shall include copies of all exhibits ~~or~~ and other materials distributed at the hearing.
- (k) Either party may request a copy of the recording of the proceedings. The recording will be maintained in the Office of the Legal Counsel for a period of five years. The full cost of recording the proceedings shall be borne by the University.

### 3.19.4 Disposition of Charges

The President shall transmit to the Board of Regents the full record of the hearing and the findings and recommendations of the Hearing Committee, together with the Senior Vice President and Provost and Presidential recommendations. The Board of Regents shall come to a decision in the case based upon the materials submitted plus any additional information which it wishes to consider, or it may return the matter to the Hearing Committee with written directions as to how to proceed.

- (a) When the Board of Regents reviews the matter, the principals shall have the opportunity to present written argument. Oral arguments will be presented only upon request by the Board of Regents.
- (b) If the Board of Regents chooses to return the matter to the Hearing Committee, the Committee shall review the matter in light of the Board of Regents' directions and receive new evidence or information, if necessary, and submit a final report of its findings and recommendations to the President for transmittal to the Board of Regents, as before. The work of the Hearing Committee is finished when the President communicates in writing the final decision of the Board of Regents to the Chair of the Hearing Committee and the principals in the case.
- (c) The full record shall be deposited in the office of the Vice President for University Governance and Secretary of the University. Parties to the case may request copies or excerpts from the full record after the completion of the Committee's work. The costs shall be borne by the requesting party.

(Regents, 1-26-99, 12-3-02, 6-25-08)

### 3.20 NON-DISCRIMINATION POLICY AND SEXUAL ASSAULT, MISCONDUCT, DISCRIMINATION AND HARASSMENT POLICY AND GRIEVANCE PROCEDURES

These policies, in their entirety, and the associated complaint and grievance procedures, are contained in Appendices H and J.

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, ~~sex~~, age (~~40 or older~~), religion, disability, political beliefs, or ~~veteran~~-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 Appendices H and J for a more detailed explanation of the University's Institutional Equity

~~Office's Equal Opportunity Office's policies and procedures, and Institutional Equity and Title IX policies and procedures. for a more detailed explanation and complaint procedure in Appendices H and J.~~ Or, contact the Equal Opportunity and Title IX Office on the Health Sciences Center campus directly at: (405) 271-2110, Room 127, Basic Medical Sciences Building.

The investigative process, findings and recommendations and appeals processes for claims brought under the Non-Discrimination Policy and/or the Sexual Assault Misconduct, Discrimination and Harassment Policy, are handled through the University Offices of Equal Opportunity and Institutional Equity and Title IX. Hard copies of the procedures may be found on the Health Sciences Center campus, Room 127, Basic Medical Sciences Building, (405) 271-2110.

(Regents, 7-22-81, 9-17-81, 9-9-82, 9-27-95, 1-14-97, 1-26-99, 1-27-04, 9-19-11)

### 3.21 POST-DOCTORAL FELLOW GRIEVANCE PROCEDURE

Because of the post-doctoral fellows' positions as employees who are also receiving education, any grievance brought by a fellow, other than those clinical trainees in the College of Medicine, regarding his or her rights as a fellow or any allegation of wrongful administrative action resulting in probation, suspension, or dismissal ~~and termination~~ of post-doctoral education shall be brought under this policy. The Post-Doctoral Fellow Grievance Procedure can be found in its entirety in Appendix O.

**Moved to Appendix O:** ~~Although post-doctoral fellows are University employees, they are at the University primarily to receive additional education. Therefore, even though they are generally appointed for one year at a time, the University, through its designated officials, retains the right to evaluate the academic qualifications, performance, professional conduct, and suitability for promotion, continued education and certification of post-doctoral fellows receiving education at the University. Note: Clinical trainees enrolled in a College of Medicine graduate medical education program (i.e. resident or fellow) are subject to the Grievance Policy in the Resident Handbook, in accordance with the Resident Agreement, for grievances related to their program.~~

~~Because of the post-doctoral fellows' positions as employees who are also receiving education, any grievance brought by a fellow other than those clinical trainees in the College of Medicine, regarding his or her rights as a fellow or any allegation of wrongful administrative action resulting in probation, suspension, or dismissal and termination of post-doctoral education shall be brought under this policy. All grievances must be started within thirty days of the time the fellow knew or should have known of the decision or situation that is the subject of the grievance.~~

~~In the event a post-doctoral fellow has a grievance, the following steps shall be followed:~~

- ~~1) The post-doctoral fellow shall discuss the grievance with the supervisor or program director and attempt to resolve the issue within the program.~~
- ~~2) If the post-doctoral fellow is not satisfied with the program's decision on the issue, he or she may request a meeting with the Assistant or Associate Dean in charge of post-doctoral fellows in the College in which the fellow is assigned through submission of a written grievance within ten days of beginning the attempt to resolve the issue with the supervisor or program director.~~
- ~~3) The Assistant/Associate Dean shall investigate the written grievance.~~



- ~~4) The Assistant/Associate Dean shall attempt to arbitrate the grievance. If the matter cannot be resolved, the post-doctoral fellow may within seven days of receipt of the notification that the Assistant/Associate Dean was unable to resolve the issue request a hearing before the Post-Doctoral Fellow Appeals Committee. This request shall be written and submitted to the Dean of the College in which the fellow is assigned.~~
- ~~5) The Dean shall convene an ad hoc Post-Doctoral Fellow Appeals Committee to consider the fellow's grievance.~~
- ~~6) The Post-Doctoral Fellow Appeals Committee shall consist of six members: three selected from the faculty and three selected from among the post-doctoral fellows in the College where the post-doctoral fellow is assigned. The Dean of the College shall appoint the membership. The Assistant/Associate Dean shall serve *ex officio*.~~

~~**Charge:** The Committee may hear an appeal by a post-doctoral fellow who, (1) thinks he or she has been unfairly evaluated by a program or that his or her rights as a fellow have been abrogated, and (2) has been unable to resolve the matter in conference with the program director and the Assistant/Associate Dean. While the responsibility for evaluations rests with the program, the primary responsibility of the Committee is to mediate disputes which have not been satisfactorily resolved at the program level in order to protect both post-doctoral fellows and faculty from arbitrary and capricious decisions.~~

- ~~7) The Post-Doctoral Fellows Appeals Committee shall hear the grievance. The Committee shall determine the procedure and conduct of the hearing incorporating the basic principles of due process. The post-doctoral fellow may bring any person(s) whom he or she thinks will be able to contribute to his or her presentation to the Committee, and may be advised at his or her own expense by legal counsel, if desired. The post-doctoral fellow must notify the Committee Chairman at least seven days before the hearing if legal counsel will be present. If the post-doctoral fellow is accompanied by legal counsel at the hearing or at any steps where the post-doctoral fellow and a University official meet, University Legal Counsel shall also be present. Neither counsel for the post-doctoral fellow nor for the University may directly address the Committee in any hearing except in answer to a specific question by a committee member. The Post-Doctoral Fellow Appeals Committee hearing will be recorded.~~
- ~~8) The Committee will render a written report containing findings of fact and recommendations regarding the dispute in question to the Dean for his consideration.~~
- ~~9) The Dean of the College shall review the hearing proceedings and the report of the appeals committee and render a final decision regarding the grievance and take appropriate action. Any post-doctoral fellow about whom the Committee makes an adverse recommendation to the Dean will have the opportunity to talk with the Dean before the Dean makes a final decision.~~

~~(Regents, 12-4-92, 12-3-02, 6-25-08)~~

### **3.22 FACULTY PARTICIPATION IN COMMENCEMENT**

~~Graduates at the Health Sciences Center from the Allied Health, Graduate, Nursing, and Public Health Colleges and the Dental Hygiene and Physician Associate programs participate in the commencement on the Norman campus held in early May. Separate commencement ceremonies are held for professional programs in the Colleges of Medicine, Dentistry, and Pharmacy.~~



It is the responsibility of all faculty members to participate in the commencement involving their programs.

### ~~3.25~~ ~~SCHOLARLY AND PROFESSIONAL ORGANIZATIONS~~

~~There are active chapters of numerous scholarly and professional organizations at the University. Information on current activity can be obtained from the offices of the deans.~~

### ~~3.26~~ 3.23 CANDIDACY 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 (See Section 3.4.2 (d)).

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.”

(Regents, 9-14-43, 1-27-04)

### ~~3.27~~ 3.24 PROFESSIONAL PRACTICE PLANS

All colleges on the Health Sciences Center campus have Professional Practice Plans in effect. Faculty are obligated to comply with the Plan of their college.

Copies of Professional Practice Plans are included for each college in Appendix M.

Each college plan stipulates procedures and processes related to time restrictions, deposit and disbursement requirements and restrictions, governance structure, etc.

### ~~3.28~~ 3.27 ETHICS IN RESEARCH POLICY

#### (a) Introduction

Research and other scholarly activity at The University of Oklahoma 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 of Oklahoma 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, 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 ~~institutional~~ University policies.

**(b) Definition of Scholarly Misconduct**

Scholarly misconduct involves any form of behavior ~~which~~ that 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:

- (b)(1) Falsification of data ranging from fabrication to deceptive selected reporting of findings and omission of conflicting data.
- (b)(2) 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.
- (b)(3) 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.
- (b)(4) Serious deviation from the scientific method accepted in proposing or carrying out research, deliberate manipulations or improper reporting of results.
- (b)(5) Material failure to comply with federal, state or institutional rules governing research: Including, but not limited to, failure to file conflict of interest reports and/or to undergo prescribed training, 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.
- (b)(6) Inappropriate behavior in relation to misconduct: Including 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.

**(c) Process for Handling Allegations of Scholarly Misconduct**

- (c)(1) Initiation of an allegation of misconduct. Initial allegations or evidence may be reported by anyone to any faculty member or administrator, who must then report the allegations to the Senior Vice President and Provost and to 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 or Vice President for Research 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 or Vice President for Research shall informally review any allegations of scholarly misconduct, confer with the dean of the college in which the allegation is alleged to have occurred and 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 or Vice President for Research 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 or Vice President for Research believes an inquiry is warranted, an inquiry shall be initiated. The institution 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 institution before the case is resolved.

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

(c)(2) Inquiry

- (a) 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.
- (b) 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 cases shall be appointed by the Senior Vice President and Provost or Vice President for Research within fifteen University business days after receipt of an allegation.
- (c) The Senior Vice President and Provost or Vice President for Research 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.
- (d) Where the individual(s) making the allegation seeks anonymity, the Inquiry Committee shall operate in such a way as to maintain the 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 testimony is important to the substantiation of the allegations.
- (e) Information, expert opinions, records, and other pertinent data may be requested by the Inquiry Committee. All involved individuals are obligated to cooperate with this Committee by supplying such requested documents and information. Uncooperative behavior by any involved individual may result in immediate implementation of a formal investigation or institutional sanctions.
- (f) All material will be considered confidential and shared only with those with a need to know. The Provost or Vice President for Research and the members of the Inquiry Committee are responsible for the security of relevant documents.

- (g) ~~In order to gather~~ All and any forms of evidence may be gathered by, whenever possible, the Inquiry Committee, which will also conduct interviews of all individuals possessing relevant information but in particular the Respondent and the individual(s) making the allegation.
- (h) 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.
- (i) The review by the Inquiry Committee should be completed and a written report filed within sixty University business 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~~ findings and recommendations of the Inquiry 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 the Vice President for Research and all individuals with a need to know should be informed.
- (j) The written report of the Inquiry Committee will be conveyed to the Senior Vice President and Provost or the Vice President for Research, who shall give a copy of the written report of inquiry to the Respondent and provide the Respondent with access to all evidence. The Respondent shall be given the opportunity (ten ~~working~~ University business days) to comment in writing upon the findings and recommendations of the Inquiry Committee. These comments may be made part of the record.
- (k) If, after reviewing the outcome of the inquiry, the Vice President for Research, in consultation with the Senior Vice President and Provost determines the need for a formal investigation, the Senior Vice President and Provost or Vice President for Research will initiate that action within fifteen University business days by appointment of a Committee of Investigation, and by immediately notifying, among others with a need to know, the Director of the National Institutes of Health (NIH) 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 ~~institution~~ 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.
- (l) If, after reviewing the outcome of an inquiry, the Senior Vice President and Provost or Vice President for Research determines that a formal investigation is unwarranted, or if the inquiry is terminated for any reason, the Senior Vice President and Provost or Vice President for Research shall:
- a. 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,
  - b. ~~shall also~~ undertake diligent efforts to protect the positions and reputations of those persons who, in good faith, have made allegations of scientific misconduct

- c. ~~and shall~~ send a report to the NIH Office of Research Integrity stating the intent to terminate the procedure without an investigation and including a description of the reason for such termination.

If the Inquiry Committee finds the allegations not to have been brought in good faith, sanctions may be recommended against the individual(s) making the allegation.

- (m) Records of the inquiry are confidential to the maximum extent possible and are to be passed on to the Committee of Investigation only if a formal review is initiated. The records of inquiry shall contain sufficiently detailed documentation of the inquiry to permit a later 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 or Vice President for Research for at least three years after completion of the inquiry and shall, upon request, be provided to authorized Department of Health and Human Services personnel.

(c)(3) Investigation

- (a) The Senior Vice President and Provost or Vice President for Research shall appoint a Committee of Investigation of no fewer than three senior faculty ~~who are without~~ with no real or apparent conflict of interest, hold no appointment in the department of either the individuals making the allegation or Respondent, and have appropriate expertise for evaluating the information relevant to the case. Preferably, at least one member should not be associated with the institution.
- (b) The Senior Vice President and Provost or Vice President for Research shall notify the Respondent, in writing, that there will be an investigation, specifically listing the areas to be reviewed and of describing the procedures to be used during the investigation. The Respondent will be informed of the proposed membership of the Committee of Investigation to identify any bias or conflict of interest.
- (c) The purpose of the Committee of Investigation is to further explore the allegation(s) 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 interviews should include 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 Committee of Investigation may request the involvement of outside experts. The investigation must be sufficiently thorough to permit the Committee of Investigation to reach a firm conclusion about the validity of the allegations 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, by the Vice President for Research in writing of any significant new directions in the investigation. In addition to making a judgment on the veracity of the charges, the Committee of Investigation may recommend

sanctions to the Senior Vice President and Provost or Vice President for Research. ~~appropriate sanctions.~~

- ~~(d) Interim administrative action prior to conclusion of either the inquiry or the investigation may be indicated as the institution is responsible for protecting the health and safety of research subjects, patients, students, staff, and Federal funds as well as the public interest. 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, should be initiated by the Provost. **Moved to c (1)**~~
- (d) All individuals involved in the investigation are obligated to operate in timely fashion by producing any additional data requested for the investigation. Copies of all materials obtained by the Committee of Investigation shall be provided to the Respondent and, as judged appropriate by the Committee of Investigation, to other concerned individuals. ~~as judged appropriate by the Committee of Investigation.~~
- (e) The proceedings of the Committee of Investigation are confidential and will be closed. A tape recording of proceedings may be made.
- (f) Every effort should be made to complete the investigation within 120 University business days; however, it is acknowledged that some cases may render this deadline difficult to meet. In such cases, the Committee of Investigation shall compile a progress report, identify reasons for the delay, and request an extension from the Senior Vice President and Provost or Vice President for Research. The Senior Vice President and Provost or Vice President for Research shall convey to the funding or other relevant agency such information as may be required by it, at intervals as required by the agency.
- (g) All significant developments during the formal investigation as well as the interim and final findings and recommendations of the Committee of Investigation will be reported by the Senior Vice President and Provost or Vice President for Research, among others, to the research sponsor, the NIH Office of Research Integrity, and others if appropriate.
- ~~(h) After the investigation has been completed, the Committee of Investigation shall deliberate, and prepare its findings and recommendations. **Moved to (k)**~~
- ~~(i) All significant developments during the formal investigation as well as the interim and final findings and recommendations of the Committee of Investigation will be reported by the Provost or Vice President for Research, among others, to the research sponsor and the Office of Research Integrity, if appropriate. **Moved to (g)**~~
- ~~(j) 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 Committee of Investigation shall compile a progress report, identify reasons for the delay and request an extension from the Provost or Vice President for Research. The Provost or Vice President for Research shall convey to the funding or other relevant agency such information as may be required by it, at intervals as required by the agency. **Moved to (f)**~~
- (h) Upon completion of the investigation, the Committee of Investigation shall deliberate and prepare its findings and recommendations. The Committee of Investigation shall submit to the Senior Vice President and Provost and Vice President for Research a full written report which details the Committee of Investigation's findings and 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 or Vice President for Research. The Respondent shall be given twenty ~~working~~ University business days to comment in writing on the allegations, evidence, findings, and recommendations of the Committee of Investigation. The Senior Vice President and Provost shall then make the decision regarding the findings and recommendations, and if applicable, application of sanctions. ~~based on all the information received and~~ The Senior Vice President and Provost shall so inform the Respondent in writing of his determination and any the sanctions, and as well as the appeal process. If the sanctions involve the recommendation for termination of employment, ~~the academic termination procedures of the University will be invoked the~~ Senior Vice President and Provost will comply with the University termination procedures.

- (i) When appropriate, the Senior Vice President and Provost will submit the final report of the investigation to the Director of the NIH 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~~ may be initiated by the Respondent." On occasion they 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 include 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.
- (j) If the formal investigation is terminated for any reasons without completing all ~~the~~ requirements for an investigation, the Senior Vice President and Provost shall send a report to the NIH Office of Research Integrity ~~stating the intent to terminate the investigation,~~ including a description of the reasons for such termination.
- (k) After the investigation has been completed, the Committee of Investigation shall deliberate and prepare its findings and recommendations.

(c)(4) Resolution

- (a) 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 individuals 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 institution should be guided by whether public announcements will be harmful or beneficial in restoring any reputations that may have been lost. Usually, such decisions should rest with the person who was wrongfully accused. Diligent efforts, as appropriate, 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.
- (b) Findings of scholarly misconduct. The Senior Vice President and Provost or the Vice President for Research is responsible for notification of all federal agencies, sponsors, or other entities initially informed of the investigation of the finding of scholarly

misconduct. The institution 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:
  - Sponsoring agencies, funding sources
  - Co-authors, co-investigators, collaborators
  - Department, School, or Institution
  - Editors in journals in which fraudulent research was published
  - Editors of other journals or publications, other institutions, other sponsoring agencies, and funding sources with which the individual has been affiliated
  - State professional licensing boards
  - Professional societies
  
2. **Institutional Disciplinary Action** including, but not limited to the following:
  - Removal from particular project
  - Special monitoring of future work
  - Letter of reprimand
  - Probation for a specified period with conditions specified
  - Suspension of ~~rights and responsibilities~~ identified duties or privileges for a specified period, with or without salary
  - Termination of employment

(c) Appeal

Individuals may appeal the ~~judgment~~ finding of the Committee of Investigation and/or the sanction. A written statement of the grounds for the appeal must be submitted to the President within thirty University business days of written notification of the results of the investigation. Grounds for appeal include ~~but are not limited to~~ new previously unconsidered evidence which 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. At the President's discretion, the investigation may be reopened. 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 regulations policies.

(Regents, 6-25-97, 6-25-08)



## SCHOLARLY MISCONDUCT PROCEDURES



This is intended to serve only as an outline of the procedures detailed in the Ethics in Research Policy in [Section 3.28](#).

QUARTERLY FINANCIAL ANALYSIS  
For the quarter ended September 30, 2012

EXECUTIVE SUMMARY

Highlights from the Statements of Net Assets as of September 30, 2012 and Statements of Changes in Net Assets for the first three months then ended are presented below for information only.

STATEMENTS OF NET ASSETS

- Total assets of \$1.2 billion exceed related liabilities of \$285.2 million by \$888.7 million.
- Education & General assets of \$111.7 million exceeded related liabilities of \$7.1 million by \$104.6 million
- Sponsored Program assets of \$5.8 million offset related liabilities of \$12.5 million.
- Clinical Operations assets of \$240.3 million exceeded liabilities of \$29.9 million by \$210.4 million.
- Auxiliary Enterprise assets of \$53.9 million exceeded liabilities of \$9.2 million by \$44.7 million.
- Regents' Fund assets were \$31 million. There were no related liabilities.
- Other Funds assets of \$731.2 million exceeded related liabilities of \$226.5 million by \$504.7 million. Other Funds consist of fixed assets, net of accumulated depreciation and related bond and master lease obligations, and other academic and administrative activities.

STATEMENTS OF CHANGES IN NET ASSETS

- Total revenues of \$235.4 million exceeded expenses of \$214.3 million by \$21.1 million.
- Education & General revenues of \$59.9 million exceeded expenses of \$48.7 million by \$11.2 million.
- Sponsored Program revenues of \$23.7 million exceeded expenses of \$23.6 million.
- Clinical Operations revenues of \$109.9 million exceeded expenses of \$109.5 million by \$364 thousand.
- Auxiliary Enterprise revenues of \$6.5 million exceeded expenses of \$3.8 million, a net increase of \$2.7 million.
- Regents' Fund revenues were \$1 million. There were no related expenses reported during the period.
- Other Funds revenues of \$34.4 million exceeded expenses of \$28.7 million, resulting in an increase of \$5.7 million to net assets.

**OU HEALTH SCIENCES CENTER  
STATEMENT OF NET ASSETS  
SEPTEMBER 30, 2012  
UNAUDITED**

	Education & General	Sponsored Programs	Clinical Operations	Auxiliary Enterprises	Regents' Fund	Other Funds	Total
<b>ASSETS</b>							
<b>CURRENT AND NONCURRENT ASSETS</b>							
Cash and Cash Equivalents	\$ 89,303,606	\$ (6,278,032)	\$ 158,772,288	\$ 37,325,241	\$ -	\$ 215,491,285	\$ 494,614,389
Endowment Investments (Funds held by OU-Norman)	-	-	-	-	38,855,761	-	38,855,761
Student Loans Receivable, Net	-	-	-	-	-	6,735,607	6,735,607
Accounts Receivable, Net	14,712,184	12,034,629	81,493,834	2,409,739	-	6,376,204	117,026,590
Due From (To) Other Funds	7,696,898	-	-	-	(7,897,597)	200,699	0
Prepaid Expenses	-	-	-	593,848	-	4,861,748	5,455,596
Inventory	-	-	-	864,102	-	745,285	1,609,387
Total Current and Noncurrent Assets	111,712,688	5,756,597	240,266,123	41,192,930	30,958,164	234,410,828	664,297,331
<b>FIXED ASSETS, NET</b>							
<b>Total Assets</b>	<b>\$ 111,712,688</b>	<b>\$ 5,756,597</b>	<b>\$ 240,266,123</b>	<b>\$ 53,930,349</b>	<b>\$ 30,958,164</b>	<b>\$ 731,261,376</b>	<b>\$ 1,173,885,298</b>
<b>LIABILITIES &amp; NET ASSETS</b>							
<b>CURRENT LIABILITIES</b>							
Accounts Payable	\$ 1,798,027	\$ 1,441,077	\$ 16,725,847	\$ 1,672,378	\$ -	\$ 4,795,482	\$ 26,432,812
OPEB Obligation	-	-	-	-	-	3,079,200	3,079,200
Current Portion of L-T Debt	78,500	-	437,667	650,000	-	4,510,094	5,676,261
Accrued Interest Payable	172,369	-	-	114,472	-	971,984	1,258,824
Accrued Expenses	2,345,697	2,973,198	6,045,380	737,517	-	12,530,321	24,632,113
Deferred Revenue	-	7,157,761	230,725	428,673	-	380,680	8,197,840
Deposits Held in Custody for Others	-	-	-	-	-	7,802,492	7,802,492
Total Current Liabilities	4,394,592	11,572,037	23,439,619	3,603,041	-	34,070,252	77,079,541
<b>LONG-TERM LIABILITIES</b>							
OPEB Obligation	-	-	-	-	-	66,753,134	66,753,134
Federal Loan Program Refundable	-	-	-	-	-	6,944,172	6,944,172
Accrued Expenses	1,832,521	888,098	2,282,198	272,640	-	2,082,187	7,357,644
Bonds, Notes, Master Lease Obligations	885,167	-	4,189,333	5,350,000	-	116,665,224	127,089,724
Total Long-Term Liabilities	2,717,688	888,098	6,471,531	5,622,640	-	192,444,717	208,144,674
Total Liabilities	7,112,280	12,460,135	29,911,150	9,225,681	-	226,514,970	285,224,215
<b>NET ASSETS</b>							
Unrestricted	104,600,408	-	210,354,973	38,001,461	-	125,879,059	478,835,900
Restricted	-	(6,703,538)	-	-	2,428,970	9,449,689	5,175,120
Endowment	-	-	-	-	28,529,194	-	28,529,194
Capital Assets, Net of Related Debt	-	-	-	6,703,208	-	369,417,659	376,120,868
Total Net Assets	104,600,408	(6,703,538)	210,354,973	44,704,669	30,958,164	504,746,407	888,661,083
<b>Total Liabilities &amp; Net Assets</b>	<b>\$ 111,712,688</b>	<b>\$ 5,756,597</b>	<b>\$ 240,266,123</b>	<b>\$ 53,930,349</b>	<b>\$ 30,958,164</b>	<b>\$ 731,261,376</b>	<b>\$ 1,173,885,298</b>

**OU HEALTH SCIENCES CENTER**  
**STATEMENT OF CHANGES IN NET ASSETS**  
**FOR THE THREE MONTHS ENDING SEPTEMBER 30, 2012**  
**UNAUDITED**

	Education & General	Sponsored Programs	Clinical Operations	Auxiliary Enterprises	Regents' Fund	Other Funds	Total	% of Total
<b>REVENUES:</b>								
Tuition & Fees	\$ 25,221,959	\$ -	\$ -	\$ 658,825	\$ -	\$ 568,781	26,449,564	11.2%
Grants & Contracts	-	23,532,559	17,217,462	-	-	5,388,645	46,138,665	19.6%
Sales and Services	-	-	83,373,108	5,630,662	-	13,041,877	102,045,648	43.3%
State Appropriations	25,455,676	-	-	-	-	1,716,154	27,171,830	11.5%
Private Gifts	-	-	1,011,963	-	-	2,352,769	3,364,732	1.4%
On Behalf Payments	2,839,622	-	-	-	-	352,207	3,191,829	1.4%
State School Land Funds	-	-	-	-	-	3,001,190	3,001,190	1.3%
Endowment Income	2,883,803	-	-	-	-	-	2,883,803	1.2%
Investment Income	-	-	386,193	137,454	1,007,580	1,546,844	3,078,072	1.3%
Other Revenue	3,469,941	168,867	7,932,232	55,965	-	6,474,612	18,101,618	7.7%
<b>Total Revenue</b>	<b>59,871,001</b>	<b>23,701,426</b>	<b>109,920,959</b>	<b>6,482,906</b>	<b>1,007,580</b>	<b>34,443,080</b>	<b>235,426,951.43</b>	<b>100.0%</b>
<b>EXPENSES:</b>								
Compensation & Benefits	35,298,769	12,300,018	75,122,469	1,261,419	-	16,105,017	140,087,692	65.4%
Depreciation	-	-	-	279,036	-	5,480,026	5,759,063	2.7%
Scholarships and Fellowships	45,269	433,287	14,512	-	-	97,887	590,956	0.3%
Utilities	2,949,954	55,634	791,766	788,266	-	466,146	5,051,767	2.4%
Debt Service - Interest and Fees	10,540	-	98,969	99,666	-	1,471,500	1,680,675	0.8%
Professional and Technical Fees	852,210	1,164,818	2,322,602	39,422	-	1,050,750	5,429,802	2.5%
Maintenance and Repair	2,194,989	60,998	885,253	383,869	-	531,644	4,056,752	1.9%
Supplies and Materials	473,359	1,705,377	15,319,196	314,251	-	825,984	18,638,168	8.7%
Travel	182,322	331,940	730,215	95,871	-	338,271	1,678,619	0.8%
Communications	31,951	7,382	85,361	40,564	-	17,289	182,547	0.1%
Other Expenses	6,615,110	7,583,895	14,186,260	460,696	-	2,358,406	31,204,368	14.6%
<b>Total Expenses</b>	<b>48,654,472</b>	<b>23,643,350</b>	<b>109,556,602</b>	<b>3,763,060</b>	<b>-</b>	<b>28,742,923</b>	<b>214,360,407</b>	<b>100.0%</b>
<b>Net Incr (Decr) in Net Assets</b>	<b>\$ 11,216,529</b>	<b>\$ 58,075</b>	<b>\$ 364,357</b>	<b>\$ 2,719,846</b>	<b>\$ 1,007,580</b>	<b>\$ 5,700,158</b>	<b>\$ 21,066,544</b>	



OKLAHOMA STATE REGENTS FOR HIGHER EDUCATION

Institution: The University of Oklahoma – College of Law

ACADEMIC CALENDAR FOR 2013-2014

Summer Session (2013):

Semester begins (first day of classes)	<u>May 20, 2013</u>
Please list dates of all holidays and breaks	
MEMORIAL DAY	<u>May 27, 2013</u>
INDEPENDENCE DAY	<u>July 4, 2013</u>
Semester ends (including final exams)	<u>July 12, 2013</u>
Commencement date (graduation ceremony)	<u>N/A</u>

Fall Semester (2013):

Semester begins (first day of classes)	<u>August 19, 2013</u>
Please list dates of all holidays and breaks	
	<u>September 2, 2013</u>
	<u>Nov. 27-Dec. 1, 2013</u>
Semester ends (including final exams)	<u>December 13, 2013</u>
Commencement date (graduation ceremony)	<u>N/A</u>

Second Semester (Spring 2014):

Semester begins (first day of classes)	<u>January 13, 2014</u>
Please list dates of all holidays and breaks	
MARTIN LUTHER KING	<u>January 20, 2014</u>
SPRING BREAK	<u>March 15-23, 2014</u>
Semester ends (including final exams)	<u>May 9, 2014</u>
Commencement date (graduation ceremony)	<u>May 9-10, 2014</u>



Fall 2013-Second Year Students	
Semester begins	<u>August 5, 2013</u>
Classes end	<u>December 13, 2013</u>
Spring 2014-Second Year Students	
Semester begins	<u>January 6, 2014</u>
Classes end	<u>May 2, 2014</u>
Summer & Fall 2013-Third Year Students	
Semester begins	<u>July 1, 2013</u>
Classes end	<u>December 13, 2013</u>
Spring 2014-Third Year Students	
Semester begins	<u>January 6, 2014</u>
Classes end	<u>June 20, 2014</u>
Summer & Fall 2013-Fourth Year Students	
Semester begins	<u>July 1, 2013</u>
Classes end	<u>December 13, 2013</u>
Spring 2014-Fourth Year Students	
Semester begins	<u>January 6, 2014</u>
Classes end	<u>May 23, 2014</u>
Commencement	<u>May 31, 2014</u>

College of Medicine Third and Fourth Year Clinical Rotations (2, 4, 6 & 8 Week Rotations)

Physician Associate Program:

Summer 2013: First Year Students	
Semester begins	<u>June 3, 2013</u>
Classes end	<u>August 3, 2013</u>
Fall 2013: First Year Students	
Semester begins	<u>August 5, 2013</u>
Classes end	<u>December 13, 2013</u>
Spring 2014: First Year Students	
Semester begins	<u>January 6, 2014</u>
Classes end	<u>May 30, 2014</u>
Summer 2013: Second Year Students	
Semester begins	<u>June 3, 2013</u>
Classes end	<u>August 26, 2013</u>

Physician Associate Second and Third Year Clinical Rotations (4 Week Rotations)

Physician Assistant Program:

Physician Assistant Second and Third Year Clinical Rotations (2, 4, 6 & 8 Week Rotations)

Graduate College – Graduate Program in Biomedical Sciences:

Program Start Date – August 1, 2013

Dental Science-Orthodontics & Periodontics

Summer 2013 Clinical Rotations (Monthly):	<u>May 12-Aug. 16, 2013</u>
Spring 2014:	<u>Jan. 2-May 9, 2014</u>

College of Dentistry-Dentistry and Dental Hygiene Programs:

Thanksgiving Break-Dental Courses	<u>Nov. 25-Dec. 1, 2013</u>
Spring 2014:	
Session 1:	
Classes begin	<u>January 6, 2014</u>
Classes end	<u>May 9, 2014</u>
Session 2	
(Clinical): Classes begin	<u>January 6, 2014</u>
Classes end	<u>July 25, 2014</u>
Commencement:	<u>May 10, 2014</u>



College of Pharmacy Clinical Rotations (Monthly Rotations):

Summer 2013:

June 3-28, 2013

Fall 2013:

July 1-31, 2013

August 1-30, 2013

September 3-30, 2013

October 1-31, 2013

November 1-27, 2013

December 2-31, 2013

Spring 2014:

January 2-31, 2014

February 3-28, 2014

March 3-31, 2014

April 1-30, 2014

May 1-30, 2014

College of Nursing

ABSN Program:

Summer 2013:

June 3 – July 31, 2013

August 2013 Intersession:

August 1 – 16, 2013

December 2013 Intersession:

Dec. 19 – Jan. 10, 2014

May 2014 Intersession:

May 15 – 30, 2014

Accelerated Programs:

Summer II 2013:

August 1 – 31, 2013

Fall 2013:

Sept. 1 – 30, 2013

Dec. 1 – 31, 2013

Spring 2014:

Jan. 1 – 31, 2014

May 1 – 31, 2014

College of Allied Health:

Communication Sciences & Disorders  
International Trip:

Jan. 13 – Aug. 30, 2013

Dietetic Internship:

Summer 2013:

Classes begin

June 4, 2013

Classes end

February 6, 2014

Spring 2014:

Classes begin

January 7, 2014

Classes end

August 22, 2014

Occupational Therapy:

FW I-Summer 2013:

Classes begin

May 20, 2013

Classes end

August 2, 2013

FW II-Summer 2013:

Classes begin

May 20, 2013

Classes end

July 26, 2013

Physical Therapy:

CE I-Summer 2013:

Classes begin

May 20, 2013

Classes end

August 2, 2013

CE II-Summer 2013:

Classes begin

May 20, 2013

Classes end

August 23, 2013

<u>Firm Name</u>	<u>Date Initiated</u>	<u>Work Performed</u>	<u>Fee</u>
For the Norman Campus:			
Kaighn Associates Architects, Inc. Norman	July 1, 2012	Architectural Design & Concept Development (Sam Noble Oklahoma Museum of Natural History, Outdoor Development)	\$8,700
Kirkpatrick Forest Curtis PC Oklahoma City	June 4, 2012	Structural Engineering (Cate Center 1 Renovation)	5,177
	September 11, 2012	Structural Engineering (Lloyd Noble Center, Lighting Review)	530
SAIC Energy, Environment & Infrastructure, LLC Norman	May 24, 2012	Spill Prevention, Control and Countermeasure Plan (Multi-Tenant Office Facility #4)	700
For the Health Sciences Center, Oklahoma City:			
None			
For OU-Tulsa:			
Kinslow, Keith & Todd, Inc. Tulsa	August 14, 2012	Architectural Space Planning (Schusterman Center Clinic, Vascular Surgery Outpatient Procedure Suite)	1,600
McFarland Architects PC Tulsa	January 27, 2012	Architectural Design Services (Schusterman Center Bldg. 1, Center for Student Life)	28,245

CUMULATIVE TOTAL PROFESSIONAL FEES FOR WORK  
COMPLETED BY ON-CALLS THROUGH THE FIRST QUARTER  
OF FISCAL YEAR 2012-2013

For the Norman Campus:

<u>Firm Name</u>	<u>Total Fees</u>
Kaighn Associates Architects, Inc.	\$8,700
Kirkpatrick Forest Curtis PC	5,707
SAIC Energy, Environment and Infrastructure, LLC	<u>730</u>
Total, Norman Campus	15,137

For the Health Sciences Center, Oklahoma City:

<u>Firm Name</u>	<u>Total Fees</u>
None to date	-

For OU-Tulsa:

<u>Firm Name</u>	<u>Total Fees</u>
Kinslow, Keith & Todd, Inc.	1,600
McFarland Architects PC	<u>28,245</u>
Total, OU-Tulsa	29,845

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Total, All Campuses	\$44,982
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QUARTERLY REPORT OF PURCHASES – ALL  
July 1, 2012 – September 30, 2012

<u>Item</u>	<u>Description</u>	<u>Campus-Department</u>	<u>Vendor</u>	<u>Award Amount</u>	<u>Explanation/Justification</u>
I.		PURCHASE OBLIGATIONS FROM \$50,000 TO \$250,000			
	Norman Campus				
1	Service	Facilities Management	Tec An, Inc.	75,000	Sample Testing
2	Supply	Facilities Management	Filtration Concepts, Inc.	240,000	Air Filters
3	Service	Human Resources	Truescreen, Inc.	55,000	Background Screenings
4	Service	Fleet Services	Comdata Network, Inc.	250,000	Fuel
5	Service	Student Affairs	Airport Express, Inc.	55,000	Cab Fees for the SafeRide Program
6	Service	Facilities Management	Don Cowin & Son Carpets, LLC	80,000	Carpet Removal and Installation
7	Service	Facilities Management	Cascade Water Services, Inc.	60,000	Water Treatment Chemicals and Service
8	Service	Pride of Oklahoma Marching Band	American Airlines	138,025	Air Charter
9	Equipment	Athletics	Alpha Video & Audio, Inc.	113,203	Wireless Camera System
10	Software	Athletics	XOS Digital, Inc.	52,000	Software Subscription
11	Service	Facilities Management	Stand-By Services, LLC	230,000	Temporary Labor
12	Equipment	Athletics	Microwave Radio Communications	55,792	Wireless Camera System
13	Furniture	Vice President of Research	Workplace Resource of OKC	128,989	Furniture
14	Furniture	Facilities Management	Krueger International, Inc.	200,000	Classroom Furniture
15	Service	K20 Center for Educational & Community Renewal	Epoch Ink Corporation	108,550	Design and Development of Instructional Games

16	Equipment	Information Technology	Imagenet Consulting, LLC	198,953	Imaging System
17	Equipment	Fleet Services	Enid New Holland	93,000	Utility Vehicles
18	Service	Athletics	Western ENT, Inc.	80,000	Pyrotechnics for Athletic Events
19	Furniture	Vice President of Research	Workplace Resource of OKC	50,047	Furniture
20	Service	Administration & Finance, Vice Presidents Office	Floyd Law Firm, P.C.	58,500	Bond Counsel Services
21	Equipment	Housing & Food Services	General Electric Company	150,000	Appliances
22	Service	Athletics	ISS Facility Services, Inc.	249,000	Cleaning Services for Athletic Venues
23	Service	College of Continuing Education Southwest Prevention Center	Wyndham Grand Pittsburgh Downtown	250,000	Conference Expenses
24	Service	Athletics	United Parcel Service	75,000	Express Shipments
25	Service	Facilities Management	M & M Wrecking, Inc.	60,000	Construction Debris Removal
26	Supply	Athletics	Jostens Graduate Services	160,000	Letter and Championship Awards
27	Service	University Development	Marketing Communication Resource, Inc.	80,000	Mailing Services
28	Service	Student Affairs	Yellow Cab of Norman	65,000	Cab Fees for the SafeRide Program
29	Service	University of Oklahoma Press	Cusing Malloy Inc.	100,000	Printing and Binding
30	Software	Goddard Health Services	Medicat, LLC	236,360	Electronic Records System
31	Service	Housing & Food Services	Commercial Furniture Refinishers, LLC	100,000	Upholstery Services
32	Service	Housing & Food Services	Regenisis Company, Inc.	100,000	Upholstery Services

33	Supply	Information Technology	SKC Communication Products, LLC	51,798	Multimedia Equipment and Parts
34	Equipment	Athletics	Videotape Products	50,638	Audio-Visual Equipment
35	Service	Athletics	Ameristar Charters	83,000	Air Charter
36	Service	OU Outreach Marketing	Staplegun Design, Inc.	128,256	Advertising
37	Service	College of Law	Saxum Strategic Communication	60,000	Public Relation and Marketing Services
38	Supply	Housing & Food Services	Superior Linen Services, Inc.	80,000	Linen Supply and Service
39	Service	Athletics	Bill Veazey's Party Store	110,000	Furniture Rental
40	Service	Athletics	Landers Window & Exterior	60,000	Window Cleaning
41	Supply	Athletics	Promos Advertising	225,000	Promotional Items
42	Lease	OU DHS Training Center	Santa Fe North	90,054	Space Lease
43	Equipment	Civil Engineering & Environmental Science	Geocomp Corporation	52,128	Soil Testing Equipment
44	Equipment	OU Police Department	Solz Telecom, LLC	61,733	Radios
45	Service	Athletics	Contemporary Services Corporation	60,000	Temporary Services
46	Service	Athletics	CSI Aviation Services, Inc.	89,124	Air Charter
47	Service	University of Oklahoma Press	Edwards Brothers, Inc.	100,000	Printing and Binding
51	Service	Health Services	Laboratory Corporation of America	140,000	Lab Services
	Health Sciences Center Campus				
52	Furniture	Department of Surgery	Scott Rice	64,867	Furniture

53	Equipment	Site Support	United Mechanical, Inc.	211,065	Deaerator Upgrade
54	Software	Provost Office	Desire2Learn, Ltd.	124,677	Software License Renewal
55	Service	College of Medicine	Medhub, Inc.	50,775	Maintenance
56	Software	College of Medicine	Exan Enterprises, Inc.	130,251	Software License
57	Furniture	Department of Ophthalmology	Scott Rice, Inc.	144,799	Furniture
58	Software	College of Dentistry	ISG Technology, Inc.	78,000	License Renewal
59	Equipment	Information Technology	Chickasaw Telecom, Inc.	111,738	Chassis and Power Supply
60	Equipment	College of Dentistry	CDW Government, Inc.	179,059	Technology Equipment and Software
61	Furniture	Student Affairs	Copelin's Office Center, LLC	108,381	Furniture
62	Service	Site Support	Firetrol	75,000	Sprinkler & Alarm Design and Installation
63	Service	Peggy and Charles Stephenson Cancer Center	Frederick Swanston, Inc.	111,349	Marketing
64	Supply	Parking & Transportation	Mansfield Oil Company	62,000	Diesel Fuel
65	Service	Site Support	Simplex Grinnell, LP	91,448	Sprinkler and Fire Alarm Inspections
66	Service	Site Support	Waste Management	53,181	Trash Disposal
67	Service	Site Support	Simplex Grinnell, LP	100,000	Fire Alarm and Sprinkler System Design and Support
68	Equipment	Site Support	Otis Elevator Company	96,540	Elevator Equipment and Maintenance
69	Service	Information Technology	Presidio Networked Solutions, Inc.	56,832	Equipment Maintenance
70	Equipment	Information Technology	Graybar Electric Company, Inc.	103,791	Telecommunications Equipment

71	Equipment	Information Technology	CXTEC	64,517	Telecommunications Equipment
72	Supply	Motor Pool	Paul Penley Oil Company, Inc.	175,000	Unleaded Fuel
73	Equipment	Information Technology	SKC Communication Products, LLC	82,567	Telecommunications Equipment
74	Equipment	Information Technology	Chickasaw Telecom, Inc.	230,000	Networking Equipment
75	Equipment	Information Technology	Presidio Networked Solutions, Inc.	100,000	Networking Equipment
76	Equipment	Information Technology	Anixter, Inc.	52,563	Telecommunications Equipment
77	Service	College of Medicine	Medhub, Inc.	81,620	Maintenance
78	Equipment	Information Technology	Ingram Micro, Inc.	100,000	Telecommunications Equipment
79	Software	Information Technology	EMC Corporation	100,902	Software and Hardware Maintenance and Support
80	Software	Information Technology	SHI International Corporation	105,000	Enterprise Vault File System
81	Supply	OU Physicians	Imagination Promotional Group	131,000	Promotional Items
82	Equipment	Medical Imaging & Radiation Sciences	Zonare Medical Systems	56,520	Ultrasound Equipment
83	Supply	Microbiology & Immunology	VWR, International	57,767	Lab Supplies
84	Service	OU Physicians	Computer Services, Inc.	91,786	Statement Processing
85	Service	Family Medicine	Mediclaime Services, Inc.	90,000	Billing Services
86	Service	OU Donor Program	Hibbs Funeral Home	123,600	Preservation Services
87	Lease	College of Nursing	Classen Luxury Apartments	66,668	Lease Space
88	Lease	Neurosurgery	Peppertree, LLC	67,388	Property Lease



89	Service	Comparative Medicine	Frames Animal Transportation	75,000	Transportation Service
90	Service	OU Physicians	Stenomed, Inc.	120,000	Transcription Services
91	Service	OU Physicians	Midcon Data Services LLC	120,000	Record Storage and Destruction
92	Service	OU Physicians	Digital Transcription Systems, Inc.	100,000	Transcription Services
93	Service	College of Dentistry	Physicians Auditing & Billing Services	83,340	Billing Services
94	Service	Radiological Sciences	Templeton Reading LLC	100,000	Professional Service
95	Service	Radiological Sciences	Sunset Radiology, Inc.	175,000	Professional Service
96	Service	Department of Pathology	Per-Se Technologies	170,000	Billing Services
97	Service	Orthopedic Surgery	Stenomed, Inc.	120,000	Transcription Services
	Tulsa Campus				
98	Service	Operations	Bonus Building Care	232,404	Janitorial Services
99	Service	Operations	Trugreen Landcare	51,000	Lawn care
100	Service	Operations	Owl Night Security	135,760	Security Services
101	Supply	Obstetrics / Gynecology	Curascript Specialty Dist.	224,202	Patient Supplies
102	Software	Medical Informatics	Medunison, LLC	67,200	License Renewal
103	Service	Information Technology	Xeta Technologies	59,803	Telephone System Maintenance

II. SOLE SOURCE PROCUREMENTS FROM \$50,000 TO \$250,000  
Competition Not Applicable

	Norman Campus				
104	Service	Law Library	Thomson Reuters	85,000	Online Subscription
105	Service	Law Library	LexisNexis Matthew Bender	55,700	Print and Monograph

					Subscription
106	Software	University Libraries	Elsevier, B V	110,000	Database Subscriptions
107	Service	University of Oklahoma Press	Lighting Source, Inc.	100,000	Book Printing
108	Software	University Libraries	Greater Western Library Alliance	200,000	Database Subscriptions
109	Service	Housing & Food Services	Sygma Network, Inc.	249,500	Restaurant Franchise
110	Software	Housing & Food Services	Blackboard, Inc.	227,065	Software
111	Software	University Libraries	Elsevier B V	66,277	Subscription
112	Supply	Housing & Food Services	Dynamic Drinkware, LLC	85,800	Souvenir Cups
113	Software	Human Resources	People Admin, Inc.	69,000	Maintenance and Support
114	Service	Human Resources	R V Kuhn's & Associates, Inc.	72,500	Benefits Consulting
115	Service	Center for Business & Economic Development	Gleneeco Corporation	200,000	Course Instruction for Blowout Prevention School
116	Service	National Resource Center for Youth	ETL Inc.	75,840	Course Instruction
117	Service	University Health Services	Med Protective Company	61,428	Medical Liability Insurance
118	Software	Bizzell Library	Center for Research Libraries	75,000	Database Subscription
119	Service	Law Center Library	Thomson Reuters	240,000	Print and Monograph Subscription
120	Equipment	Botany & Microbiology	Nanovea, Inc.	58,730	Profilometer
121	Equipment	Electrical & Computer Engineering	Hamamatsu Corporation	76,016	Flat Panel Sensor
122	Supply	Stephenson Research & Technology Center	Roche Diagnostics Corporation	120,000	Microarrays
123	Service	Human Resources	Graystone Group Advertising	200,000	Advertising

124	Software	Information Technology	Desire2Learn, Inc.	211,648	Software License and Maintenance
125	Service	Athletics	Daktronics, Inc.	94,880	Scoreboard Maintenance
126	Service	OU Outreach Marketing	Sooner Sports Properties	106,800	Advertising
127	Service	Public Affairs	Norman Transcript	150,000	Advertising
128	Service	KGOU Radio	Public Radio International	60,000	Programming
129	Service	Information Technology	Sooner Sports Properties	122,000	Advertising
130	Service	K20 Center for Educational & Community Renewal	ACT, Inc.	129,500	ACT Testing
131	Service	Public Affairs	Tulsa World	200,000	Advertising
132	Service	Public Affairs	OPUBCO Communications Group	200,000	Advertising
133	Service	College of Continuing Education	Performance Dashboard, Inc.	58,800	Consulting
134	Software	Information Technology	Mathworks, Inc.	63,008	License Renewal
135	Software	Information Technology	Teaching Systems, Inc.	64,778	Software Subscription
136	Service	Facilities Management	WLW Company, LLC	200,000	Consulting
137	Software	Information Technology	ServiceNow	91,291	License Renewal
138	Service	Public Affairs	Clear Channel Radio	83,940	Airport Advertising
139	Software	Office of Research Administration	Evisions, Inc.	53,000	Software
140	Service	University Development	RuffloCody, LLC	220,809	Telemarketing
141	Service	Athletics	National Center for Employee Development	96,000	Lodging and Transportation for Football Team
142	Supply	Athletics	Riddell All American Sports Equipment	75,000	Equipment

143	Service	Alumni Affairs	Sooner Sports Properties	87,500	Television Programming
144	Equipment	Center for Applied Social Research	TOBOII Tech, Inc.	97,890	Eye Tracking Technology Equipment
145	Service	Information Technology	Sooner Sports Properties	122,000	Advertising
146	Software	Information Technology	Microsoft, Inc.	71,160	Software Support
147	Equipment	Athletics	Nike USA, Inc.	175,000	Team Equipment
148	Equipment	Athletics	Canon USA, Inc.	69,900	Camera Lens Replacement for SoonerVision
149	Service	College of Continuing Education	OK Press Services	85,000	Advertising
150	Service	Administration & Finance	Advisory Board Company	68,425	Consulting
151	Service	College of Continuing Education	Sooner Sports Properties	87,500	Advertising
152	Service	Athletics	Varsity Spirit Fashions	191,878	Camp Fees
153	Equipment	Stephenson Research & Technology Center	Eppendorf N America, Inc.	73,317	Automated DNA Extraction Kit
154	Equipment	Chemistry & Biochemistry	Bioteools, Inc.	100,575	Spectrometer
155	Supply	Chemistry & Biochemistry	Roche Diagnostics	240,532	Reagents
156	Supply	Pride of Oklahoma Marching Band	Nike USA, Inc.	120,000	Uniforms
157	Lease	OU DHS Training Center	G&W Development, LLC	143,396	Space Lease
158	Lease	College of Continuing Education – Advance Programs	Charles E Smith Company	75,000	Space Lease
159	Lease	Real Estate Leased Properties	Triad Building, LLC	91,453	Space Lease
160	Lease	Real Estate Leased Properties	Ironwolf Building, LLC	54,750	Space Lease

161	Lease	Information Technology	329 Partners 11, LTD	132,000	Space Lease
162	Lease	College of Continuing Education – Center for Early Childhood Development	78 Robinson, LLC	152,364	Space lease
163	Service	KGOU Radio	National Public Radio	248,700	Programming
164	Software	University Libraries	Gale	200,000	Database Subscription
165	Service	Administration & Finance	Alexander Company	97,000	Consulting
166	Equipment	College of Journalism	Daktronics, Inc.	196,445	Outdoor Video Display Signs
167	Equipment	Chemistry & Biochemistry	Hudson Robotics	122,000	Research Instrument
168	Lease	OU DHS Training Center	VTA Oklahoma City, LLC	205,260	Space Lease for Central Oklahoma Service Center
169	Service	University Development	Sooner Sports Properties	87,500	Programming
170	Vehicle	Facilities Management	Bayshore Ford Truck Sales, Inc.	52,746	Vehicle with Forestry Body Package
171	Lease	OU DHS Training Center	VTA Oklahoma City, LLC	101,777	Space Lease for Care Call Center
172	Service	Human Resources	Frederick Bass & Company, Inc.	60,000	Actuarial Consulting
		Health Sciences Center Campus			
173	Software	Robert M. Bird Library	McGraw Hill Companies	115,012	Online Subscriptions
174	Supply	Obstetrics / Gynecology	American Academy of Pediatrics	60,000	Books
175	Equipment	Dean McGee Eye Institute	Dionex Corporation	86,782	Lab Equipment
176	Equipment	Audiology Clinic	Natus Medical, Inc.	88,550	Patient Testing Equipment

177	Equipment	Rehabilitation Sciences	Argo Medical Technologies, Inc.	100,000	Mobility Equipment
178	Software	College of Medicine	National Board of Medical Examiners	75,175	Online Subscriptions
179	Supply	OU Physicians	DJO, LLC	60,000	Patient Supplies
180	Software	Information Technology	Apply Yourself, Inc.	64,950	Subscription
183	Service	Human Resources	Fredrick Bass & Company, Inc.	60,000	Actuarial Consulting
184	Software	Pharmacy Management Consultants	Wolters Kluwer Health, Inc.	90,196	Software License Renewal
185	Software	OU Physicians	GE Healthcare IITS USA Corporation	88,800	Software
186	Lease	OU Physicians	Fountain Lake Retail Investors LLC	194,785	Property Lease
187	Lease	Department of Pediatrics	DBFC	58,200	Property Space
188	Lease	Family & Preventive Medicine	RBS, Inc.	94,800	Property Lease
189	Equipment	Audiology Clinic	Micromedical Technologies	122,800	Patient Testing System
190	Software	OU Physicians	Hologic, Inc.	135,000	Software Upgrade
191	Software	College of Pharmacy	Thomson Healthcare, Inc.	51,976	Database Subscription
192	Service	OU Physicians	Hologic, Inc.	90,000	Maintenance
193	Service	Parking & Transportation	Republic Parking System	90,000	Employee Parking
194	Service	Peggy and Charles Stephenson Cancer Center	Republic Parking System	67,811	Valet Parking Services
195	Supply	OU Breast Institute	Hologic, Inc.	100,000	Testing Supplies
196	Software	OU Physicians	Caremedic Systems, Inc.	82,879	Subscription
197	Supply	OU Physicians	Phonak, LLC	64,650	Hearing Aids

198	Service	OU Physicians	Oklahoma City All Sports Association	112,112	Advertising
199	Software	Robert M. Bird Library	Teton Data Systems	156,564	Subscription
200	Software	Robert M. Bird Library	Elsevier, Inc.	177,057	Subscriptions
	Tulsa Campus				
201	Service	OU-Tulsa President's Office	Tulsa World	76,000	Advertising
202	Software	Medical Informatics	Citrix Systems	69,920	Hardware and Software Maintenance
203	Supply	Obstetrics / Gynecology	Conceptus, Inc.	66,250	Birth Control Devices
204	Software	Operations	Johnson Controls	114,739	Hardware and Software Upgrade
205	Software	Medical Informatics	Allscripts Healthcare, LLC	138,000	Hardware and Software Maintenance
206	Service	OU Physicians – Tulsa	Kelly Shaw Kenney	99,990	Consulting
207	Supply	Obstetrics / Gynecology	Theracom, Inc.	87,917	Patient Supplies

REGENTS' FUND  
QUARTERLY FINANCIAL REPORT  
September 30, 2012

EXECUTIVE SUMMARY

Highlights from the Regents' Fund Quarterly Financial Report for the three months ended September 30, 2012 are presented below for information only.

ALL FUNDS

- As of September 30, 2012, the Regents' Fund consisted of 234 individual funds with a combined net market value of approximately \$121.2 million, a \$10.2 million (9.2%) increase from June 30, 2012.

CONSOLIDATED INVESTMENT FUND (CIF)

- Cash and investments held by the CIF at September 30, 2012, had a market value of approximately \$84.8 million, a \$5.0 million (6.2 %) increase from June 30, 2012. Of the \$84.8 million, \$2,050,000 was held locally for working capital purposes, and \$82.8 million was managed by Adams Hall Asset Management LLC, Investment Management Fiduciary.
- During the three months ended September 30, 2012, the CIF realized a total return of 4.7%, which trailed the blended benchmark of 7.2% by 250 basis points.
- During the year ended September 30, 2012, the CIF realized a total return of 16.0%, which trailed the blended benchmark of 20.5% by 450 basis points.

SHORT-TERM INVESTMENT FUND (STIF)

- Cash and investments held by the STIF at September 30, 2012, had a market value of approximately \$33.7 million, a \$2.2 million (6.8%) increase from June 30, 2012.
- During the three months ended September 30, 2012, the STIF realized a total return of 0.7%, which exceeded the 91-day Treasury Bill rate of 0.0% by 70 basis points.
- During the year ended September 30, 2012, the STIF realized a total return of 2.7%, which exceeded the 91-day Treasury Bill rate of 0.1% by 260 basis points.

INTERMEDIATE-TERM INVESTMENT FUND (ITIF)

- Cash and investments held by the ITIF at September 30, 2012, had a market value of approximately \$7.0 million, a \$65,000 (0.9%) increase from June 30, 2012.
- During the three months ended September 30, 2012, the ITIF realized a total return of 0.8%, which exceeded the 2-Year Treasury Note rate of 0.2% by 60 basis points.
- During the year ended September 30, 2012, the ITIF realized a total return of 4.4%, which exceeded the 2-Year Treasury Note rate of 0.3% by 410 basis points.



**REGENTS' FUND**  
**QUARTERLY FINANCIAL REPORT**  
**September 30, 2012**

As of September 30, 2012, the Regents' Fund consisted of 234 individual funds. The funds, under the governance of The Board of Regents of The University of Oklahoma, are preserved through investment and spending strategies that provide a balance between reasonable current income and long-term growth. Future growth is needed to offset the impact of inflation and to maintain purchasing power for future generations.

## I. Policy Information

- Highlights of the "Statement of Investment Policy" are described below.

### Target Asset Allocation

Asset Class	Minimum %	Target %	Maximum %
Global Equities	65%	70%	75%
Fixed Income	20%	25%	30%
Alternative Investments	0%	0%	5%
Cash Equivalents	0%	5%	10%

### Performance Measurement and Objectives

The CIF is a long-term portfolio and should be judged with a long-term perspective. While short-term performance measures are meaningful with respect to due diligence and periodic monitoring of the fund, the performance of the CIF will be judged with the longest time horizon perspective in mind.

**Absolute Return Objective** - which shall be measured in real (i.e., net of inflation) rate-of-return terms and shall have the longest time horizon for measurement;

The Absolute Return Objective of the CIF is to seek an average total semi-annual return equal to CPI and other costs plus 5%.

**Relative Return Objective** - which shall be measured as time-weighted rates of return versus market index benchmarks; and,

**Comparative Return Objective** - which shall measure performance as compared to a universe of similar investment funds.

### Rebalancing

It is the University's general policy to rebalance to its target asset allocation on a uniform and timely basis. The method of rebalancing will be based on the "tolerance" rebalancing formula, which generally states that the portfolio will be rebalanced if the target asset allocation goes beyond the stated tolerance for any particular asset class. Management is required to direct the investment manager to rebalance the portfolio within 30 days following the end of the month during which the fund was first determined to be out of balance.

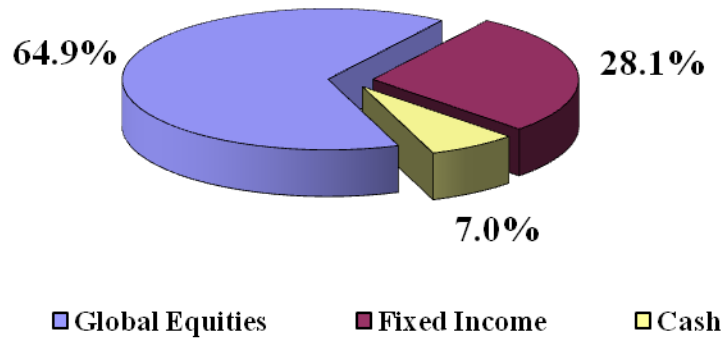
## II. Market Value

The total net market value of the Regents' Fund at September 30, 2012 was approximately \$121.2 million, a \$10.2 million (9.2%) increase from June 30, 2012.

## III. Consolidated Investment Fund

- **Asset Allocation**

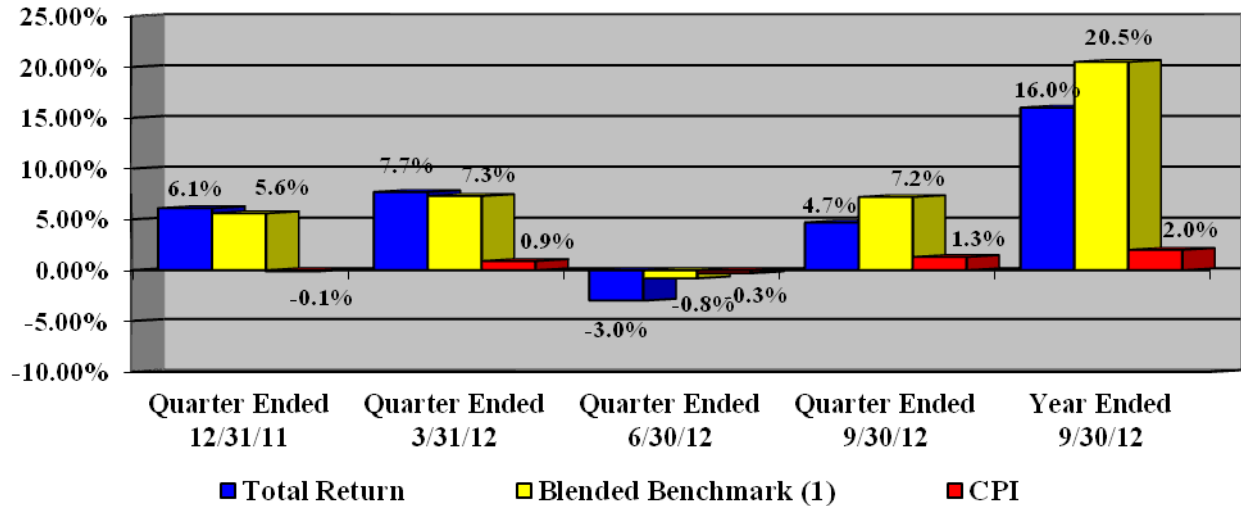
Cash and investments held by the CIF at September 30, 2012, had a market value of approximately \$84.8 million, a \$5.0 million (6.2 %) increase from June 30, 2012. Of the \$84.8 million, \$2,050,000 was held locally for working capital purposes, and \$82.8 million was managed by Adams Hall Asset Management LLC, Investment Management Fiduciary. The asset allocation of the CIF's cash and investments managed by Adams Hall Asset Management LLC, Investment Management Fiduciary, is summarized below.



• **CIF Performance**

- As illustrated below, the total return on the CIF for the three months ended September 30, 2012 of 4.7% trailed the blended benchmark of 7.2% by 250 basis points. For the year ended September 30, 2012, the total return on the CIF of 16.0% trailed the blended benchmark of 20.5% by 450 basis points.

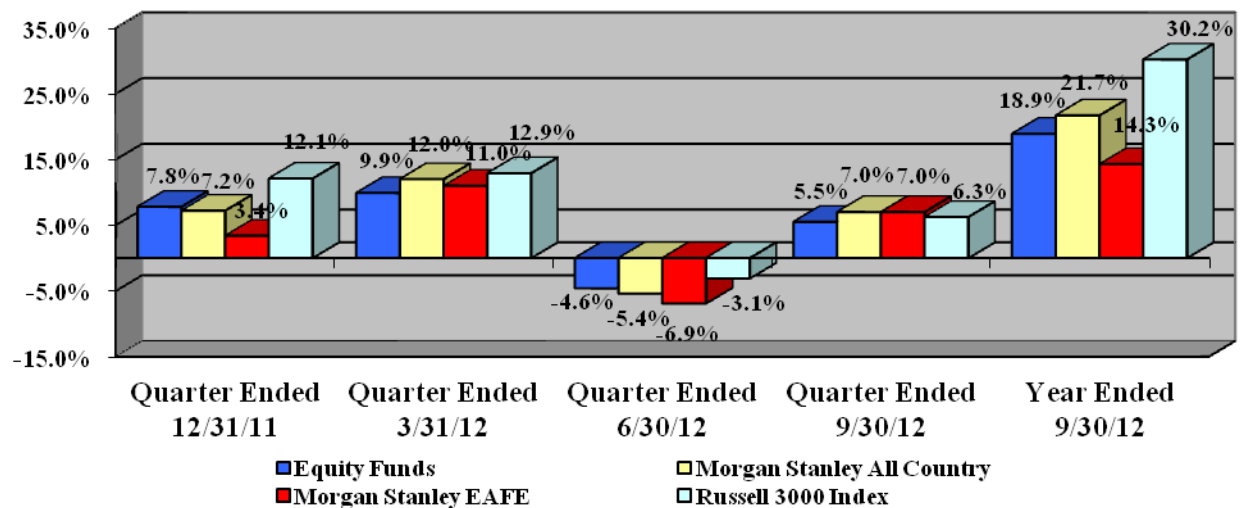
**Total CIF**



(1) The blended benchmark is a composite of indices represented by the Russell 3000, the Salomon Bros. 91-day Treasury Bill, the Barclays Capital Intermediate Government Bond Index, and the MSCI EAFE Equity Index.

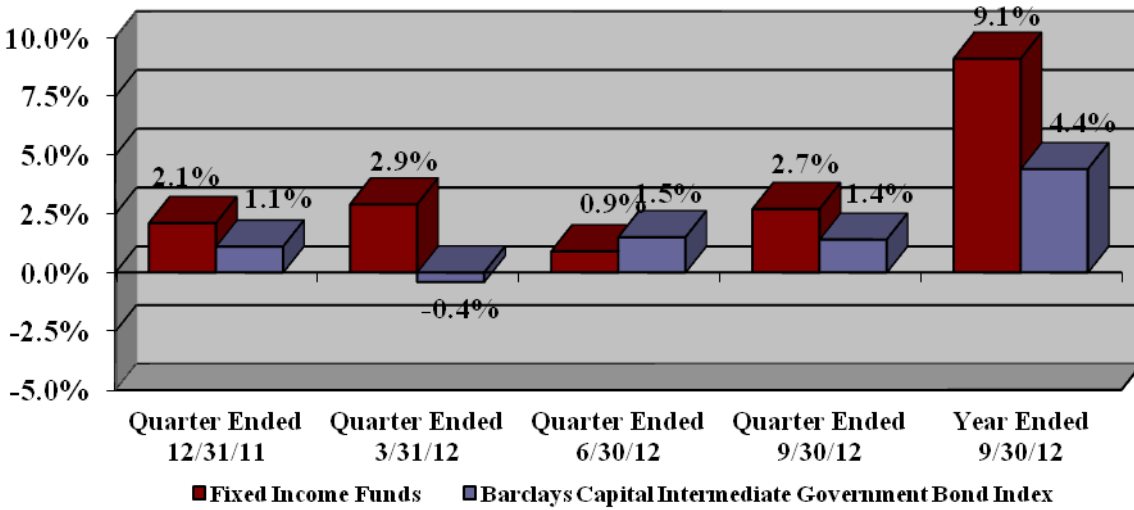
- The Total Equity return for the three months ended September 30, 2012 of 5.5% trailed the blended benchmark of 7.0% by 150 basis points. For the year ended September 30, 2012 the Total Equity return of 18.9% trailed the blended benchmark of 21.7% by 280 basis points.

**CIF Equity Funds**



- The Fixed Income return for the three months ended September 30, 2012 of 2.7% exceeded the Barclays Capital Intermediate Government Bond Index of 1.4% by 130 basis points. For the year ended September 30, 2012, the Fixed Income return of 9.1% exceeded the Barclays Capital Intermediate Government Bond Index of 4.4% by 470 basis points.

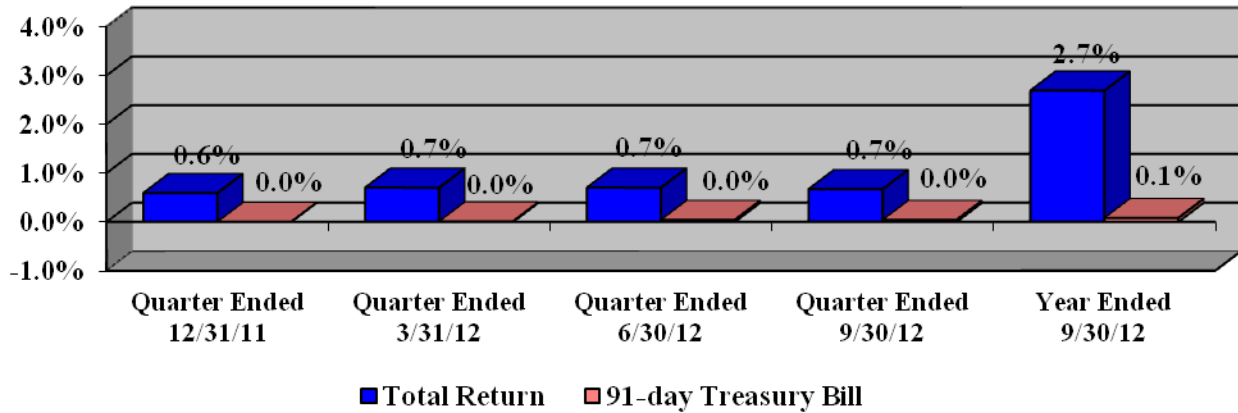
**CIF Fixed Income Funds**



**IV. Short Term Investment Fund Performance**

- The market value of the STIF at September 30, 2012 was approximately \$33.7 million, a \$2.2 million (6.8%) increase from June 30, 2012.
- As indicated below, the total return on the STIF for the three months ended September 30, 2012 of 0.7% exceeded the 91-day Treasury Bill rate of 0.0% by 70 basis points. For the year ended September 30, 2012, the total return on the STIF of 2.7% exceeded the 91-day Treasury Bill rate of 0.1% by 260 basis points.

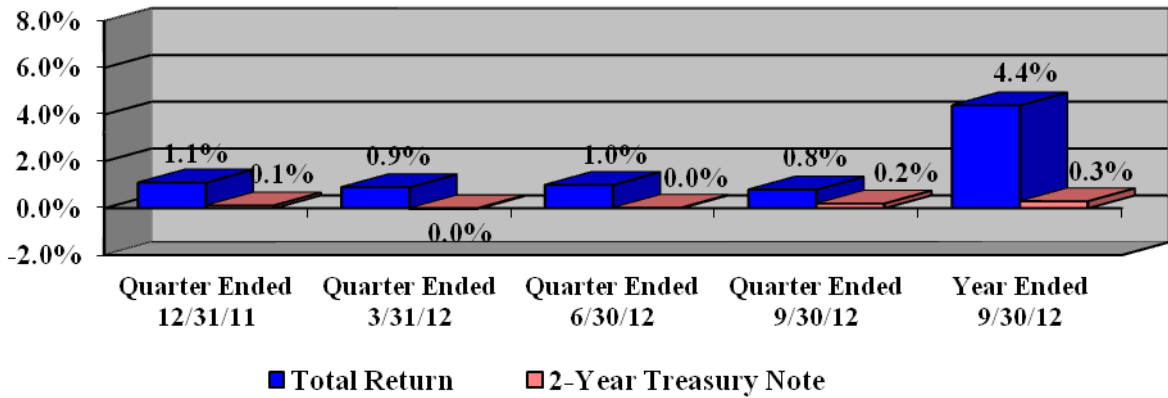
**Total STIF**



**V. Intermediate Term Investment Fund Performance**

- The market value of the ITIF at September 30, 2012 was approximately \$7.0 million, a \$65,000 (0.9%) increase from June 30, 2012.
- As indicated below, the total return on the ITIF for the three months ended September 30, 2012 of 0.8% exceeded the 2-Year Treasury Note rate of 0.2% by 60 basis points. For the year ended September 30, 2012, the total return on the ITIF of 4.4% exceeded the 2-Year Treasury Note rate of 0.3% by 410 basis points.

**Total ITIF**



**VI. Revenues and Expenditures**

During the three months ended September 30, 2012, recognized revenues of \$11.5 million exceeded expenditures of \$1.3 million resulting in a net increase to market value of approximately \$10.2 million. This increase is primarily attributable to contributions, investment earnings and appreciation on investments.

<b>Revenues</b>	<b>2013</b>	<b>2012</b>
Investment Income	\$ 3,761,415	\$ (10,230,595)
Cash Gifts	7,511,704	12,828,616
Interest	171,257	163,433
Oil and Gas Royalties	38,650	76,479
Other Income	63,709	37,756
Total Revenues	<u>11,546,735</u>	<u>2,875,689</u>
<b>Expenditures</b>		
Scholarships	704,947	596,569
Academic Enhancement Allocation	398,533	395,069
Departmental Support	79,460	171,777
Athletic Support	179	61,093
Investment Fees	63,789	50,316
Operating Support	36,295	35,504
Other Expenditures	19,191	10,158
Total Expenditures	<u>1,302,394</u>	<u>1,320,486</u>
Net Change in Market Value	<u>\$ 10,244,341</u>	<u>\$ 1,555,203</u>

**VII. Cash Gifts and Athletic Contributions**

The following cash gifts and contributions were received during the three months ended September 30, 2012.

• Athletic Seating Priorities Program	\$ 6,000,000
• A gift from the Bernard Osher Foundation for the establishment of Osher Reentry Students Scholarships to benefit reentry students to the University of Oklahoma	1,050,000
• A gift from Corix Water Utilities, Inc. in support of the Corix Endowed Chair for Water and Sustainability at the National Weather Center	400,000
• A gift from the Oklahoma Energy Resources Board (OERB) for the benefit of the OERB Scholarship Fund for Energy Management	34,250
• A gift from the Whitten Newman Foundation in support of Black Mesa Research – Oklahoma Archeology Survey	10,000
• Various gifts under \$10,000	17,454
 TOTAL CASH GIFTS AND ATHLETIC CONTRIBUTIONS	 <u><u>\$ 7,511,704</u></u>



Academic Program Council  
Approved Course Changes - November 2, 2012

Prefix /Number	Title	Comments
<u>COURSE CHANGES</u>		
<u>Jeannine Rainbolt College of Education</u>		
EDEC 2203	Creative Expression in Early Childhood	Change Description
<u>College of Engineering</u>		
AME 2113	Statics	Change Prerequisite
AME 2213	Thermodynamics	Change Prerequisite
AME 2402	Engineering Computing	Change Prerequisite
AME 2533	Dynamics	Change Prerequisite
AME 3103	Interactive Engineering Design Graphics	Change Prerequisite
AME 4493	Space Sciences and Astrodynamics	Change Prerequisite
CH E 2002	Introduction to Chemical Engineering Computing	Change Prerequisite
CH E 2133	Sustainable Energy for the Future	Change Prerequisite
CH E 2153	Electrical and Mechanical Engineering Concepts and Applications	Change Prerequisite
CH E 3113	Momentum, Heat and Mass Transfer I	Change Prerequisite
CH E 3123	Momentum, Heat and Mass Transfer II	Change Prerequisite
CH E 3473	Chemical Engineering Thermodynamics	Change Prerequisite
ECE 2214	Digital Design	Change Prerequisite
ECE 2713	Digital Signals and Filtering	Change Prerequisite
ECE 2723	Electrical Circuits I	Change Prerequisite
ECE 3813	Introductory Electronics	Change Prerequisite
ECE 4433	Measurement and Automation	Change Prerequisite
ECE 4643	Radio Frequency and Microwave Engineering	Change Title (Short) Change Prerequisite
ECE 4823	Engineering Principles of the Human Body	Change Prerequisite

ENGR	2421	Dynamics	Change Prerequisite
ENGR	2431	Electrical Circuits	Change Prerequisite
ENGR	2461	Thermodynamics	Change Prerequisite
ENGR	2613	Electrical Science	Change Prerequisite
ENGR	3223	Fluid Mechanics	Change Prerequisite
ENGR	3401	Engineering Economics	Change Prerequisite
ISE	3293	Applied Engineering Statistics	Change Title Change Prerequisite
ISE	4223	Fundamentals-Engineering Econ	Change Title Change Prerequisite

### NEW COURSES

#### College of Arts and Sciences

ANTH	2533	Exploring Human Evolution
ANTH	2643	Anthropology of Diet, Health, and Disease
CAS	3900	Study Abroad
ENGL	2293	Theory Now
ENGL	2283	Critical Methods: Texts/Contexts/Theories /Critics
ENGL	2273	Literary and Cultural Analysis
ANTH	2253	Human and Animal Interaction Across Cultures
ANTH	4523	Anthropology of Media

#### College of Atmospheric and Geographic Sciences

METR	4323	Weather Simulation With Computers
GEOG	5243	Systems Thinking and Knowledge Integration
GEOG	5143	Ecosystem Services
GEOG	4943	Natural Hazards

#### Price College of Business

ENT	5962	Foundations in Social Entrepreneurship
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Mewbourne College of Earth and Energy

GEOL 3013 The Geology of Oklahoma

Jeannine Rainbolt College of Education

EDAH 6193 Introduction to Qualitative Research

EDAH 6943 Advanced Qualitative Inquiry

EDS 6943 Advanced Qualitative Inquiry

EDEC 5533 Advanced Studies in Infant-Toddler Development

EDMA 5013 Algebra and Mathematical Tasks at the Elementary Level (PK-6)

EDMA 5023 Geometry, Spatial Visualization, and Learning Trajectories at the Elementary Level (Pk-6)

EDMA 5033 Data Analysis, Measurement and Inst. Technology at the Elementary Level (PK-6)

EDMA 5043 Number Concepts and Assessment at the Elementary Level (PK-6)

EDMA 5053 Rational Number Concepts, Prop Reasoning and Classroom Interactions at the Elem Level (PK-6)

EDMA 5063 Mathematics Leadership and Coaching

QUARTERLY FINANCIAL ANALYSIS  
For the quarter ended September 30, 2012

EXECUTIVE SUMMARY

Highlights from the Statements of Net Assets as of September 30, 2012 and Statements of Changes in Net Assets for the three months then ended are presented below for information only.

STATEMENTS OF NET ASSETS

- Total assets of \$2.0 billion exceeded related liabilities of \$1.1 billion by \$887.1 million.
- Education & General assets of \$156.1 million exceeded related liabilities of \$20.9 million by \$135.2 million.
- Sponsored Program assets of \$17.8 million offset related liabilities of \$17.8 million.
- Auxiliary Enterprise assets of \$584.3 million exceeded related liabilities of \$367.8 million by \$216.5 million.
- Service Unit assets of \$181.2 million exceeded related liabilities of \$109.9 million by \$71.3 million.
- Regents' Fund assets of \$121.2 million exceeded related liabilities of \$39.1 million by \$82.1 million.
- Other Fund assets of \$977.3 million exceeded related liabilities of \$595.4 million by \$381.9 million. Other Funds consist of fixed assets, net of accumulated depreciation and related bonds and master lease obligations, short-term pooled investment fund, student fee and fringe benefit clearing departments and other academic and administrative activities.

STATEMENTS OF CHANGES IN NET ASSETS

- Total revenues \$289.8 million exceeded expenses of \$262.9 million by \$26.9 million.
- Education & General revenues of \$172.8 million exceeded expenses of \$123.6 million, resulting in a net increase of \$49.2 million.
- Sponsored Program revenues of \$42.1 million offset expenses of \$42.1 million.
- Auxiliary Enterprise revenues of \$45.0 million trailed expenses of \$54.4 million, resulting in a net decrease of \$9.4 million. This decrease compared favorably to budget expectations and is expected to resolve itself during Fiscal Year 2012-13.
- Regents' Fund revenues of \$11.5 million exceeded expenses of \$1.3 million, resulting in a net increase of \$10.2 million.
- Other Fund revenues of \$18.3 million trailed expenses of \$41.5 million, resulting in a net decrease of \$23.2 million. This decrease is due primarily to the timing of state, federal and third-party funded financial aid reimbursements (\$14.6 million) and unfunded depreciation (\$9.1 million).

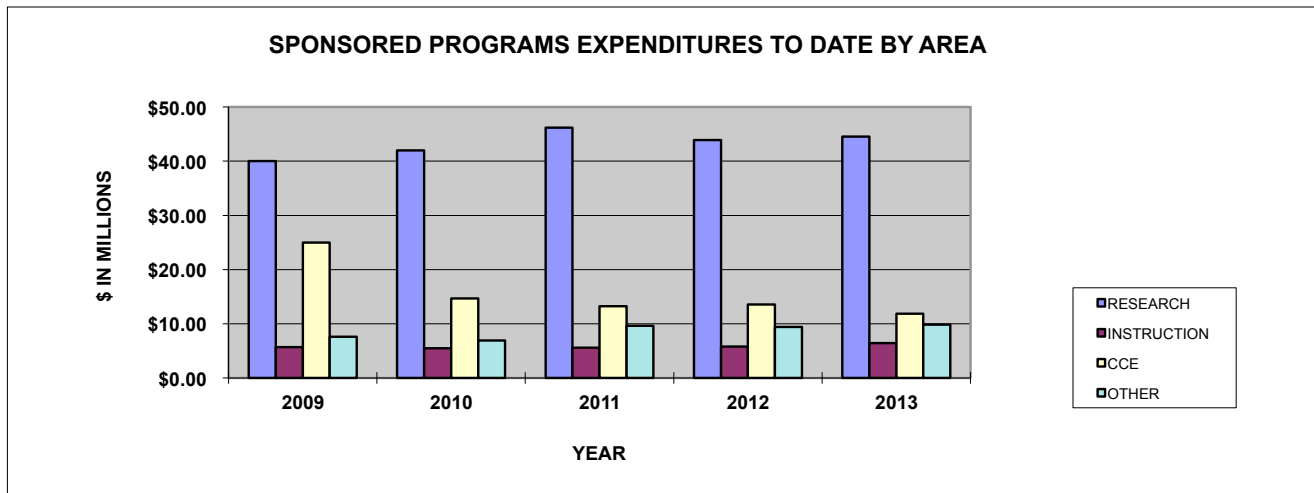
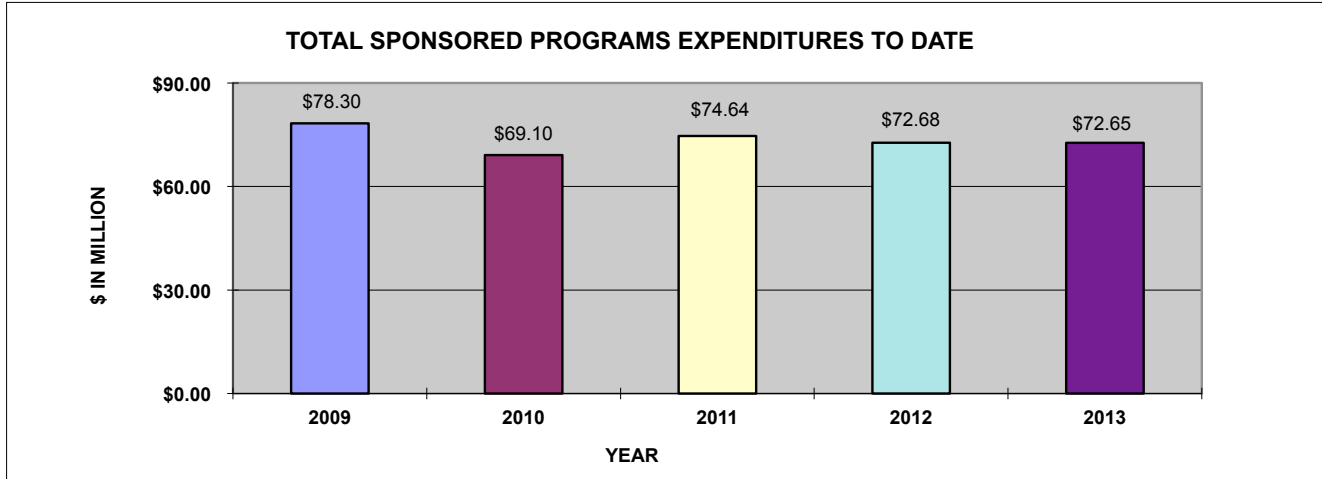
**UNIVERSITY OF OKLAHOMA  
STATEMENTS OF NET ASSETS  
SEPTEMBER 30, 2012  
UNAUDITED**

	Education & General	Sponsored Programs	Auxiliary Enterprises	Service Units	Regents' Fund	Other Funds	Total
<b>ASSETS</b>							
<b>CURRENT AND NONCURRENT ASSETS</b>							
Cash and Cash Equivalents	\$ 56,518,000	\$ 57,697,000	\$ 36,660,000	\$ 20,359,000	\$ 5,126,000	\$ 182,115,000	\$ 358,475,000
Investments	-	54,000	-	-	87,007,000	4,855,000	91,916,000
Student Loans Receivable, Net	-	-	-	-	2,191,000	17,346,000	19,537,000
Accounts Receivable, Net	27,896,000	35,345,000	9,131,000	9,098,000	-	49,311,000	130,781,000
Due From (To) Other Funds	71,683,000	(75,282,000)	31,752,000	26,556,000	26,943,000	(81,652,000)	-
Deposits and Prepaid Expenses	-	-	7,142,000	884,000	-	10,576,000	18,602,000
Inventory	-	-	3,419,000	654,000	-	459,000	4,532,000
Total Current and Noncurrent Assets	156,097,000	17,814,000	88,104,000	57,551,000	121,267,000	183,010,000	623,843,000
<b>FIXED ASSETS, NET</b>							
Total Assets	\$ 156,097,000	\$ 17,814,000	\$ 584,261,000	\$ 181,178,000	\$ 121,267,000	\$ 977,310,000	\$ 2,037,927,000
<b>LIABILITIES &amp; NET ASSETS</b>							
<b>CURRENT AND NONCURRENT LIABILITIES</b>							
Accounts Payable	\$ 7,000	\$ -	\$ 8,162,000	\$ 3,862,000	\$ 113,000	\$ 29,374,000	\$ 41,518,000
Utilities Management Agreement	-	-	-	-	-	4,720,000	4,720,000
OPEB Obligation	-	-	-	-	-	5,264,000	5,264,000
Current Portion of L-T Debt	-	-	13,128,000	1,838,000	-	11,308,000	26,274,000
Accrued Expenses	20,858,000	-	9,972,000	3,792,000	-	10,867,000	45,489,000
Deferred Income	3,000	17,811,000	46,039,000	14,636,000	-	2,905,000	81,394,000
Deposits Held in Custody for Others	-	-	-	-	39,031,000	1,532,000	40,563,000
Total Current and Noncurrent Liabilities	20,868,000	17,811,000	77,301,000	24,128,000	39,144,000	65,970,000	245,222,000
<b>LONG-TERM LIABILITIES</b>							
Utilities Management Agreement	-	-	-	-	-	104,280,000	104,280,000
OPEB Obligation	-	-	-	-	-	73,673,000	73,673,000
Federal Loan Program Refundable	-	-	-	-	-	14,551,000	14,551,000
Contribution	-	-	-	-	-	-	-
Bonds and Master Lease Obligations	-	-	290,500,000	85,729,000	-	336,916,000	713,145,000
Total Long-Term Liabilities	-	-	290,500,000	85,729,000	-	529,420,000	905,649,000
Total Liabilities	20,868,000	17,811,000	367,801,000	109,857,000	39,144,000	595,390,000	1,150,871,000
<b>NET ASSETS</b>							
Unrestricted	135,229,000	-	23,931,000	35,261,000	50,000	(64,156,000)	130,315,000
Restricted	-	3,000	-	-	37,185,000	-	37,188,000
Endowment	-	-	-	-	44,888,000	-	44,888,000
Capital Assets, Net of Related Debt	-	-	192,529,000	36,060,000	-	446,076,000	674,665,000
Total Net Assets	135,229,000	3,000	216,460,000	71,321,000	82,123,000	381,920,000	887,056,000
Total Liabilities & Net Assets	\$ 156,097,000	\$ 17,814,000	\$ 584,261,000	\$ 181,178,000	\$ 121,267,000	\$ 977,310,000	\$ 2,037,927,000

**UNIVERSITY OF OKLAHOMA**  
**STATEMENTS OF CHANGES IN NET ASSETS**  
**FOR THE THREE MONTHS ENDED SEPTEMBER 30, 2012**  
**UNAUDITED**

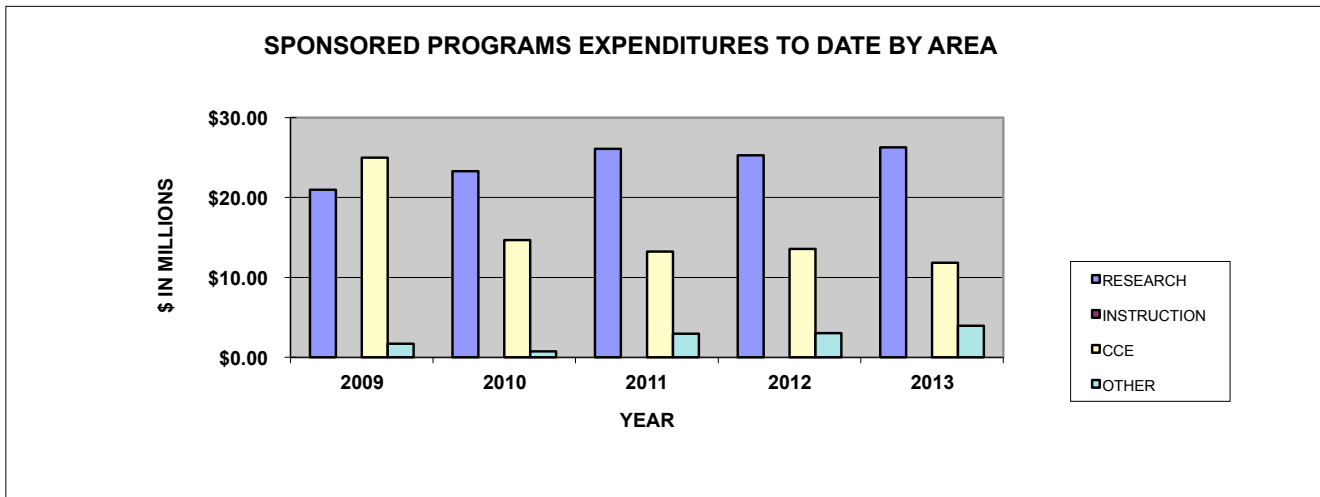
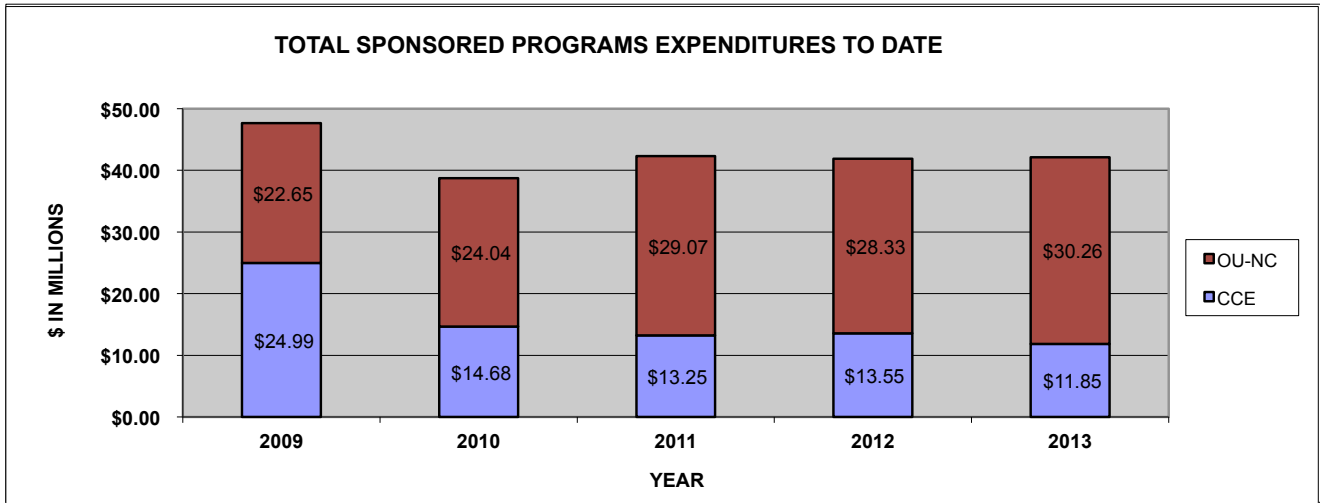
	Education & General	Sponsored Programs	Auxiliary Enterprises	Regents' Fund	Other Funds	Total	% of Total
<b>REVENUES:</b>							
Tuition and Fees	\$ 111,179,000	-	\$ 3,110,000	\$ -	\$ 920,000	\$ 115,209,000	39.8%
Sponsored Programs	4,877,000	42,101,000	332,000	-	(44,000)	47,266,000	16.3%
Sales and Services	3,604,000	-	39,795,000	-	(1,406,000)	41,993,000	14.5%
State Appropriations	38,312,000	-	-	-	-	38,312,000	13.2%
Private Gifts	2,453,000	-	-	7,152,000	1,229,000	10,834,000	3.7%
On Behalf Payments	-	-	-	-	-	-	0.0%
State School Land Funds	-	-	-	-	3,953,000	3,953,000	1.4%
Endowment and Investment Income	1,524,000	14,000	152,000	3,933,000	(42,000)	5,581,000	1.9%
Other Sources	10,851,000	-	1,600,000	462,000	13,697,000	26,610,000	9.2%
Gross Margin	172,800,000	42,115,000	44,989,000	11,547,000	18,307,000	289,758,000	100.0%
<b>EXPENSES:</b>							
Compensation	70,060,000	19,297,000	14,839,000	-	2,374,000	106,570,000	40.5%
Depreciation	-	-	6,388,000	-	9,105,000	15,493,000	5.9%
Scholarships and Fellowships	21,503,000	813,000	3,787,000	705,000	20,093,000	46,901,000	17.8%
Utilities	7,668,000	-	3,274,000	-	31,000	10,973,000	4.2%
Debt Service - Interest and Fees	-	-	3,462,000	-	4,245,000	7,707,000	2.9%
Professional and Technical Fees	335,000	453,000	823,000	-	5,695,000	7,306,000	2.8%
Maintenance and Repair	4,013,000	-	3,227,000	-	(1,303,000)	5,937,000	2.3%
Supplies and Materials	1,731,000	1,198,000	2,630,000	-	1,204,000	6,763,000	2.6%
Travel	1,588,000	1,148,000	1,221,000	-	288,000	4,245,000	1.6%
Library Books and Periodicals	1,268,000	-	-	-	-	1,268,000	0.5%
Communications	1,377,000	128,000	492,000	-	117,000	2,114,000	0.8%
Other Uses	14,054,000	19,078,000	14,238,000	598,000	(339,000)	47,629,000	18.1%
Total Expenses	123,597,000	42,115,000	54,381,000	1,303,000	41,510,000	262,906,000	100.0%
<b>Net Increase (Decrease) in Net Assets</b>	<b>\$ 49,203,000</b>	<b>\$ -</b>	<b>\$ (9,392,000)</b>	<b>\$ 10,244,000</b>	<b>\$ (23,203,000)</b>	<b>\$ 26,852,000</b>	

HEALTH SCIENCES CENTER AND NORMAN CAMPUS



	FY 2013 YEAR	YEAR %CHANGE	FY 2012 YEAR	2013 SEP	MONTH %CHANGE	2012 SEP
RESEARCH	\$ 44,523,851	1.39%	\$ 43,914,889	\$ 13,142,540	3.42%	\$ 12,707,697
INSTRUCTION	\$ 6,420,882	10.77%	\$ 5,796,783	\$ 2,278,550	16.03%	\$ 1,963,689
CCE	\$ 11,849,244	-12.57%	\$ 13,552,652	\$ 3,756,416	-8.21%	\$ 4,092,292
OTHER	\$ 9,856,350	4.69%	\$ 9,414,646	\$ 4,638,661	29.74%	\$ 3,575,458
<b>TOTAL</b>	<b>\$ 72,650,327</b>	<b>-0.04%</b>	<b>\$ 72,678,970</b>	<b>\$ 23,816,167</b>	<b>6.61%</b>	<b>\$ 22,339,136</b>

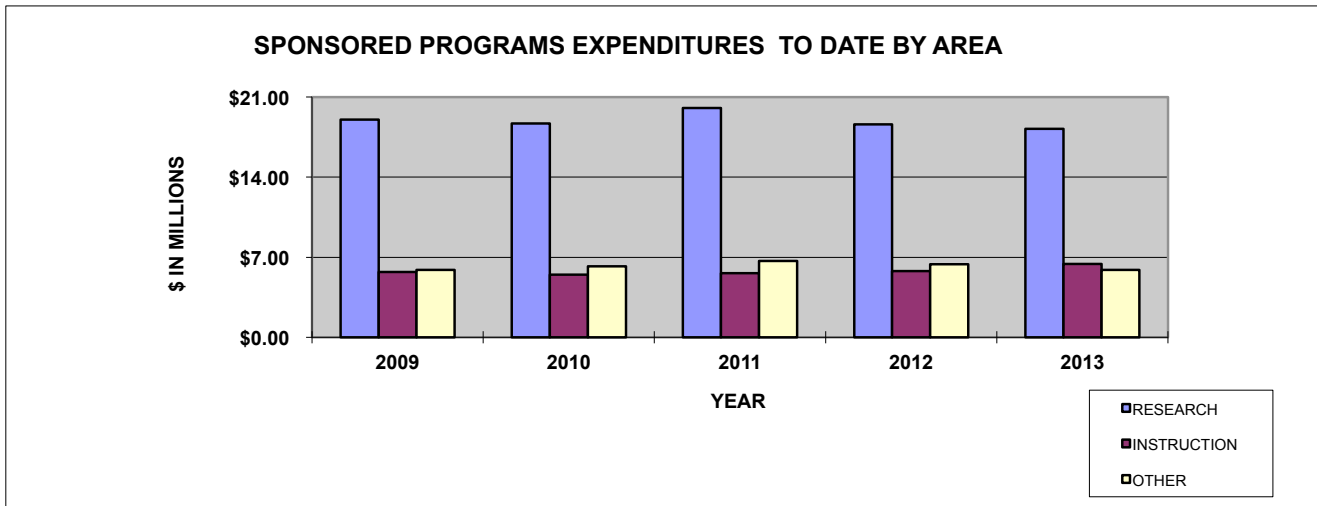
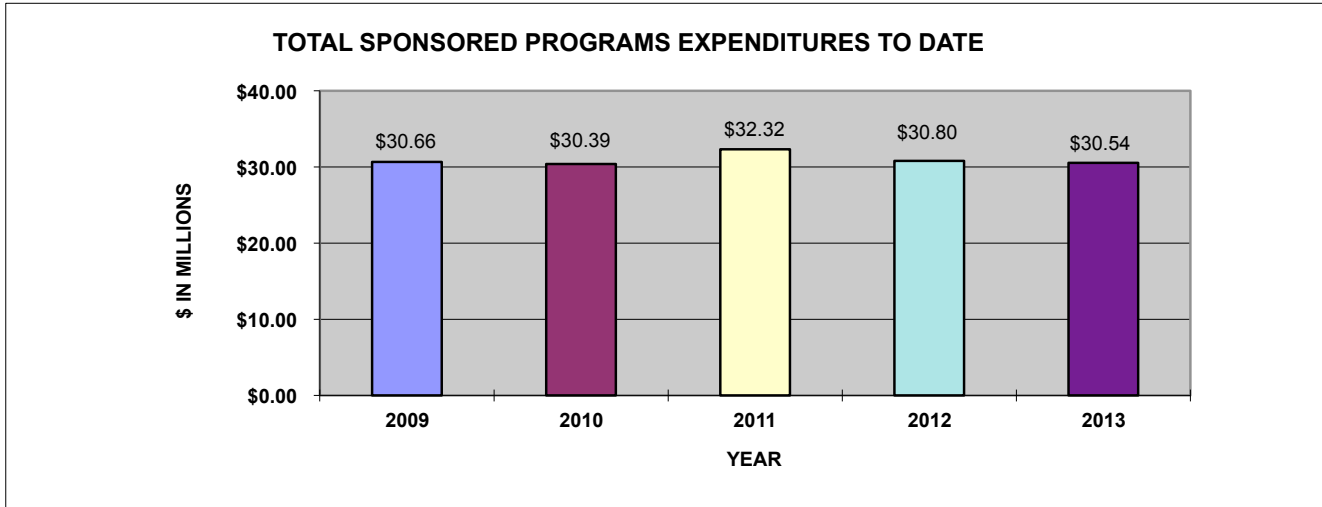
NORMAN CAMPUS



	FY 2013 YEAR	YEAR %CHANGE	FY 2012 YEAR	2013 SEP	MONTH %CHANGE	2012 SEP
RESEARCH	\$ 26,292,695	3.92%	\$ 25,301,801	\$ 7,248,887	2.62%	\$ 7,063,787
INSTRUCTION	\$ -	-	\$ -	\$ -	-	\$ -
CCE	\$ 11,849,244	-12.57%	\$ 13,552,652	\$ 3,756,416	-8.21%	\$ 4,092,292
OTHER	\$ 3,968,583	31.14%	\$ 3,026,161	\$ 2,466,077	77.29%	\$ 1,390,953
<b>TOTAL</b>	<b>\$ 42,110,522</b>	<b>0.55%</b>	<b>\$ 41,880,614</b>	<b>\$ 13,471,380</b>	<b>7.37%</b>	<b>\$ 12,547,032</b>



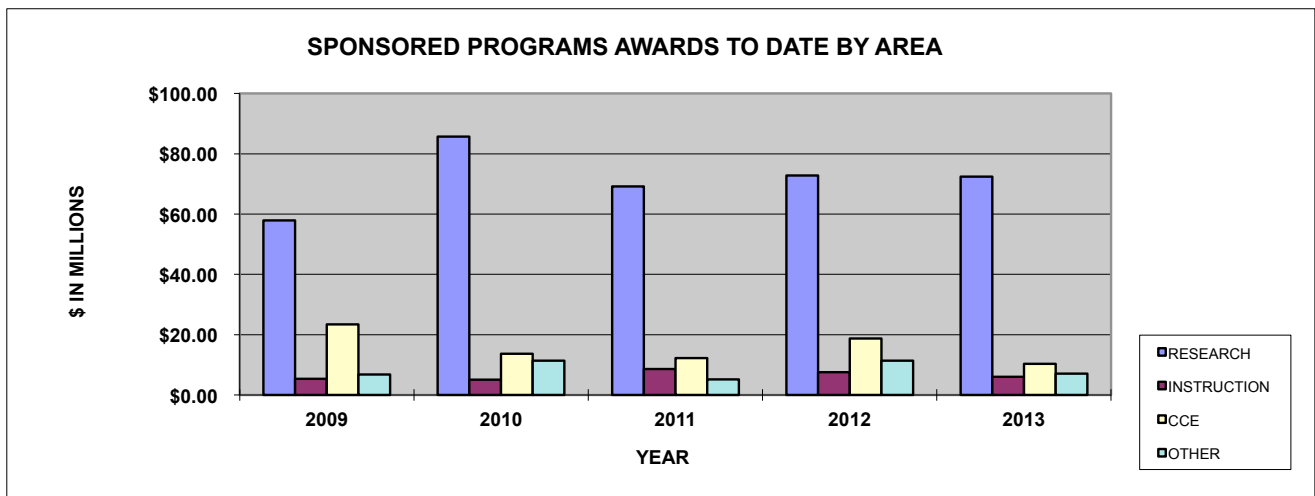
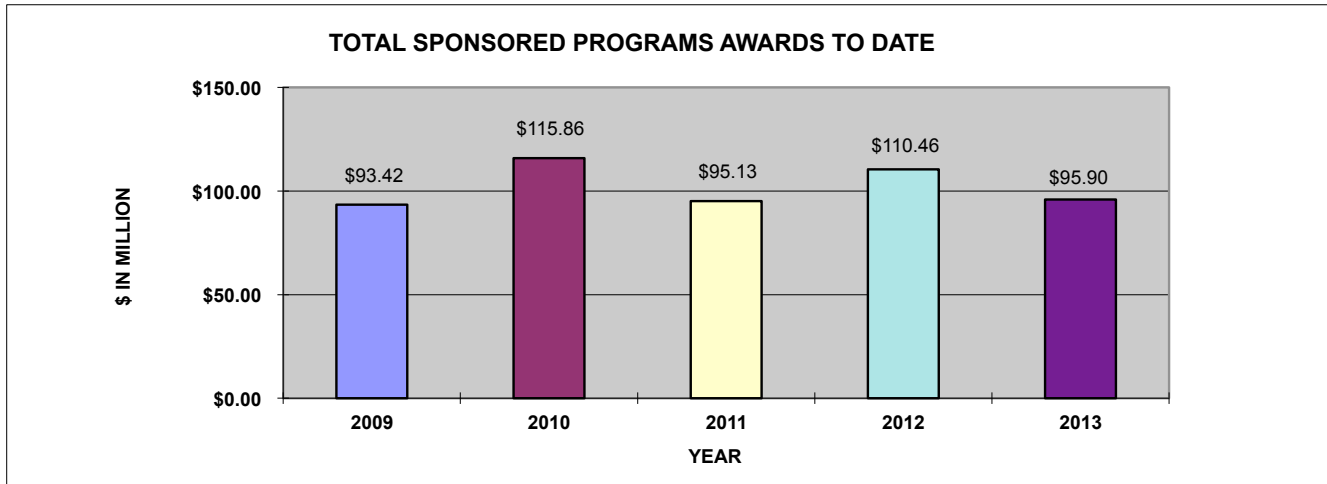
HEALTH SCIENCES CENTER



	FY 2013 YEAR	YEAR %CHANGE	FY 2012 YEAR		2013 SEP	MONTH %CHANGE	2012 SEP
RESEARCH	\$ 18,231,156	-2.05%	\$ 18,613,088		\$ 5,893,653	4.42%	\$ 5,643,910
INSTRUCTION	\$ 6,420,882	10.77%	\$ 5,796,783		\$ 2,278,550	16.03%	\$ 1,963,689
OTHER	\$ 5,887,767	-7.84%	\$ 6,388,485		\$ 2,172,584	-0.55%	\$ 2,184,505
<b>TOTAL</b>	<b>\$ 30,539,805</b>	<b>-0.84%</b>	<b>\$ 30,798,356</b>		<b>\$ 10,344,787</b>	<b>5.64%</b>	<b>\$ 9,792,104</b>

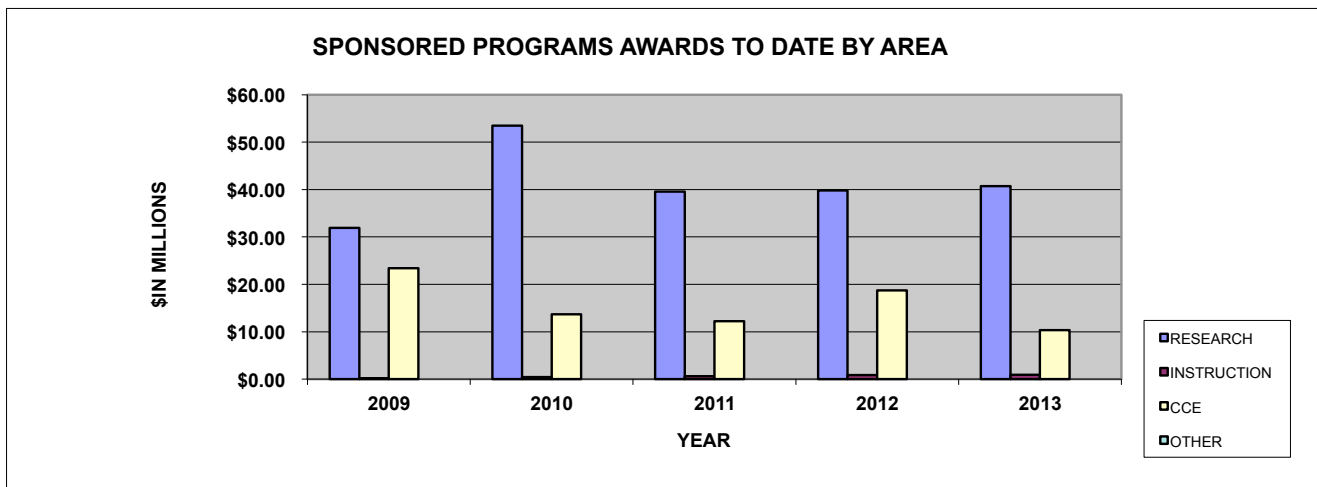
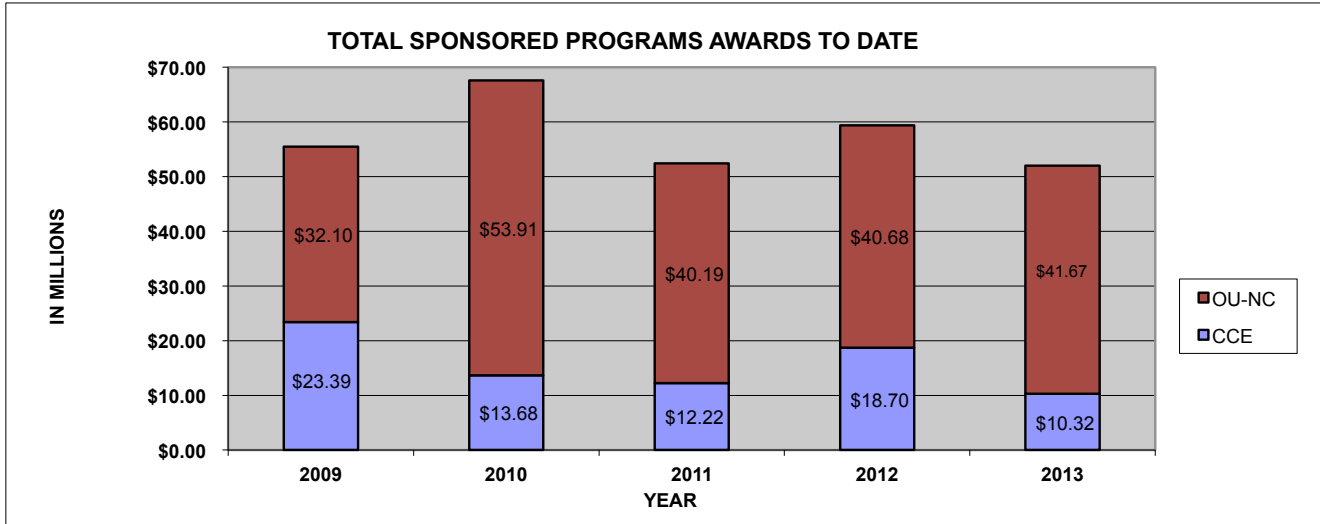
HEALTH SCIENCES CENTER

NORMAN CAMPUS AND HEALTH SCIENCES CENTER



	FY 2013 YEAR	YEAR %CHANGE	FY 2012 YEAR	2013 SEP	MONTH %CHANGE	2012 SEP
RESEARCH	\$ 72,451,203	-0.46%	\$ 72,784,185	\$ 20,649,645	-29.34%	\$ 29,223,889
INSTRUCTION	\$ 6,060,996	-20.32%	\$ 7,606,985	\$ 1,022,006	-66.08%	\$ 3,013,404
CCE	\$ 10,316,058	-44.84%	\$ 18,702,663	\$ 608,662	-79.15%	\$ 2,919,542
OTHER	\$ 7,076,562	-37.72%	\$ 11,362,253	\$ 180,925	-96.72%	\$ 5,523,482
<b>TOTAL</b>	<b>\$ 95,904,819</b>	<b>-13.17%</b>	<b>\$ 110,456,086</b>	<b>\$ 22,461,238</b>	<b>-44.79%</b>	<b>\$ 40,680,317</b>

NORMAN CAMPUS



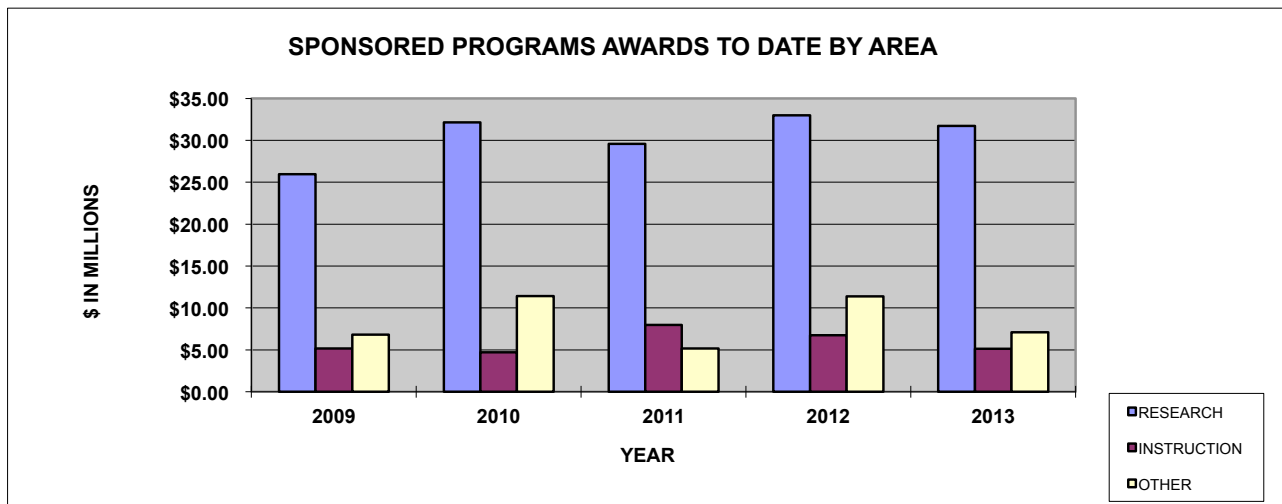
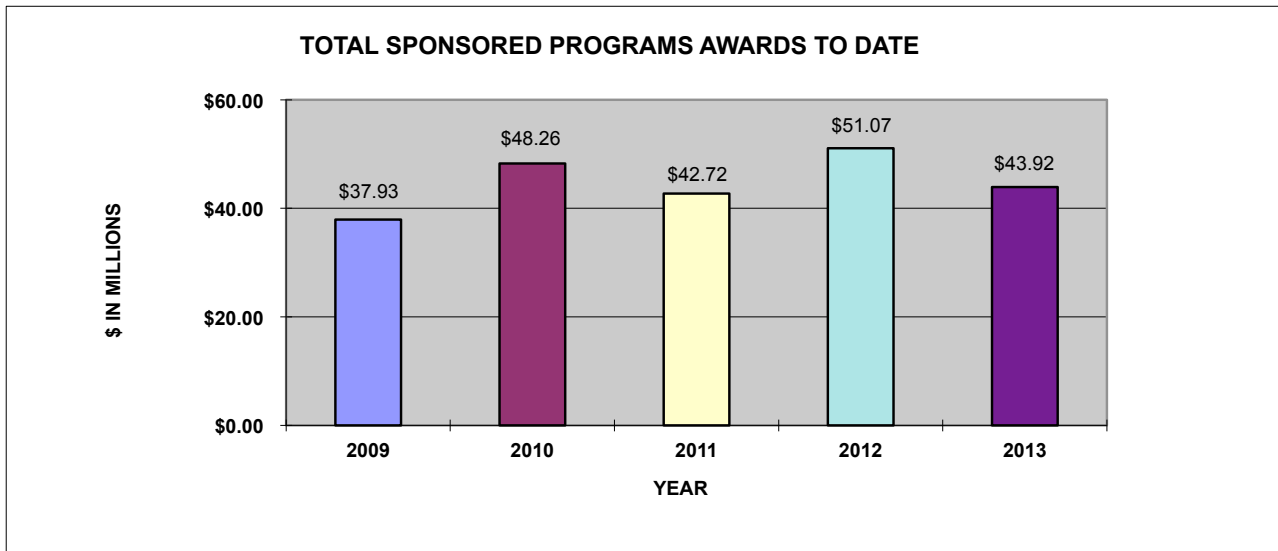
	FY 2013 YEAR	YEAR %CHANGE	FY 2012 YEAR		2013 SEP	MONTH %CHANGE	2012 SEP
RESEARCH	\$ 40,725,598	2.32%	\$ 39,801,458		\$ 11,993,846	-35.78%	\$ 18,674,800
INSTRUCTION	\$ 941,847	7.08%	\$ 879,571		\$ 808,347	-	\$ 433,481
CCE	\$ 10,316,058	-44.84%	\$ 18,702,663		\$ 608,662	-79.15%	\$ 2,919,542
TOTAL	\$ 51,983,503	-12.46%	\$ 59,383,692		\$ 13,410,855	-39.12%	\$ 22,027,823

NORMAN CAMPUS

**NORMAN CAMPUS  
REPORT OF CONTRACTS AWARDED (OVER \$250K)  
SEPTEMBER 2012**

<b>AWD #</b>	<b>AGENCY</b>	<b>TITLE</b>	<b>VALUE</b>	<b>PERIOD</b>	<b>PI(S)</b>
130089	NSF	Acquisition of a Molecular Beam Epitaxy (MBE) Chamber for Quantum-Engineered Structures and Devices	\$812,984	24 mo.	SANTOS, M (PHYAST)
130090	NSF	CIF: Small: Two-Dimensional Channel Modeling, Detection and Coding for Shingled Magnetic Recording	\$418,565	36 mo.	CRUZ, J (ECE)
130094	NSF	Improved Characterization and Prediction of Antarctic Weather and Climate Through Utilization of CONCORDIASI Data Set	\$273,473	24 mo.	PARSONS, D (METEOR)
130095	OF-STATE	Bangladeshi Professional Fellows Media Program	\$364,634	23 mo.	FOOTE, J (JOURN)
130097	OF-STATE	University Partnership with University of Gujrat in Pakistan	\$997,879	36 mo.	FOOTE, J (JOURN)
130100	NSF	NRI-Small: Robot Assistants for Teaching Children at Risk of Cerebral Palsy to Crawl and Walk	\$1,135,000	36 mo.	FAGG, A (CS)
130104	IN-CAS	Establishment of an Improved Numerical Weather Forecasting System for Chongqing Meteorological Service	\$281,192	13 mo.	KONG, F (CAPS)
130111	US-EDUC	Student Support Services	\$433,481	12 mo.	BINKLEY-JACKSON, D (THRESH)
130121	NP-TCCAP	Oklahoma Early Childhood Program Evaluation: Program Quality and Model Variation	\$406,808	13 mo.	CASTLE, S (EDUC-TUL)
130122	NSF	Fundamental processes influencing environmentally benign aqueous microemulsion-based methods for bio-oil extraction	\$255,242	36 mo.	SABATINI, D (CEES)
130126	NSF	Collaborative Research: IDBR: Enhancing & Disseminating Miniaturized Tracking Technology for Widespread Use on Small Migratory Songbirds	\$302,603	36 mo.	BRIDGE, E (BIOSVY)
130130	NSF	Investigation into the mechanisms for the maintenance of nocturnal convective systems	\$465,585	36 mo.	PARSONS, D (METEOR)
130131	NSF	MRI: Development of a Mobile Thermodynamic and Dynamic Profiling Facility for the Atmospheric Boundary Layer	\$663,267	24 mo.	PARSONS, D (METEOR)
<b>TOTAL</b>	<b>13</b>		<b>\$6,810,713</b>		

HEALTH SCIENCES CENTER



	FY 2013 YEAR	YEAR %CHANGE	FY 2012 YEAR	2013 SEP	MONTH %CHANGE	2012 SEP
RESEARCH	\$ 31,725,605	-3.81%	\$ 32,982,727	\$ 8,655,799	-17.95%	\$ 10,549,089
INSTRUCTION	\$ 5,119,149	-23.91%	\$ 6,727,414	\$ 213,659	-91.72%	\$ 2,579,923
OTHER	\$ 7,076,562	-37.72%	\$ 11,362,253	\$ 180,925	-96.72%	\$ 5,523,482
<b>TOTAL</b>	<b>\$ 43,921,316</b>	<b>-14.00%</b>	<b>\$ 51,072,394</b>	<b>\$ 9,050,383</b>	<b>-51.48%</b>	<b>\$ 18,652,494</b>

HEALTH SCIENCES CENTER

## HEALTH SCIENCES CENTER

## REPORT OF CONTRACTS AWARDED (OVER \$250K)

SEPTEMBER 2012

AWARD NO.	AGENCY	TITLE	VALUE	PERIOD	PI(S)
20082333	University of Washington	Cerebrovascular Disease in American Indians: Prevalence,	323,894	12 mos.	Ali,Tauqeer Ctr. American Indian Hlth Res
20091509	Natl Inst Diabetes Digestive Kidney Dis	Isolation and Characterization of Intestinal Stem Cells	372,645	12 mos.	Houchen,Courtney Wayne Medicine - Gastroenterology
20100612	National Eye Institute	Study of the Retinal Pigment Epithelium (RPE) Barrier	355,200	36 mos.	Le,Yun Zheng Medicine - Endocrinology
20100785	National Eye Institute	ER (Endoplasmic Reticulum) Stress & Diabetic Retinopathy	355,200	24 mos.	Zhang,Xin Medicine - Endocrinology
20111299	University of Oklahoma, Norman	Oklahoma COBRE in Structural Biology	484,343	10 mos.	Air,Gillian M Biochemistry & Molec Biology
20111321	Natl Inst of General Medical Sciences	Mentoring Translational Cancer Research in Oklahoma (CoB	2,110,372	9 mos.	Dhanasekaran,Natarajan Cancer Center Basic Research
20111451	Agency for Healthcare Research & Quality	Primary Care Extension in Oklahoma: An Evidence-Based Ap	499,663	13 mos.	Mold,James William Fam Med OKC "C" Accounts
20120281	National Heart, Lung and Blood Institute	AMPK as a Redox Sensor and Modulator	573,800	10 mos.	Zou,Ming-Hui Molecular Medicine
20120590	United States Department of Education	Project DATA: A Multisite Evaluation of a School-Based M	650,000	12 mos.	McBride,Bonnie J Peds - Developmental Pediatric
20121436	National Eye Institute	DNA Nanoparticle Formulations for Optimal Ocular Gene De	431,877	13 mos.	Naash,Muna Cell Biology
20121891	Natl Inst Diabetes Digestive Kidney Dis	The Role of Altered Permeability in Bladder Diseases	300,000	11 mos.	Hurst,Robert Evan Urology Sponsored Accounts
<b>TOTALS:</b>	<b>11</b>		<b>6,456,994</b>		

#### 2.6.6 – ACADEMIC CREDIT FOR MILITARY SERVICE

All students who are honorably discharged from the military services of the United States within three years of their enrollment at the University of Oklahoma are entitled to an award of academic credit for courses that are part of the students' military training or service and that meet the standards of the American Council on Education or equivalent standards. The award of credit shall be based on the University's admission standards and role, scope and mission, and supported by appropriate documentation of the military training or service, such as a form DD214, DA Form 1059, or other.



L. Dale Mitchell Baseball Park Expansion and Improvements Phase II

**POPULOUS**  
DRAWING PEOPLE TOGETHER



## 2450 John Saxon Boulevard

