

**MINUTES OF A REGULAR MEETING
THE UNIVERSITY OF OKLAHOMA BOARD OF REGENTS
December 2-3, 2002**

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**MINUTES OF A REGULAR MEETING
THE UNIVERSITY OF OKLAHOMA BOARD OF REGENTS
December 2-3, 2002**

A regular meeting of the Board of Regents governing The University of Oklahoma, Cameron University, and Rogers State University was called to order in the Scholars Room of the Oklahoma Memorial Union on The University of Oklahoma campus, Norman, Oklahoma, on Monday, December 2, 2002, at 3:15 p.m.

The following Regents were present: Regent Mary Jane Noble, Chairman of the Board, presiding; Regents G. T. Blankenship, Stephen F. Bentley, Tom Clark and Jon R. Stuart.

Absent from the meeting on December 2 were Regents Paul D. Austin and Christy Everest. Absent from the meeting on December 3 was Regent Paul D. Austin.

Others attending all or a part of the meeting included Mr. David L. Boren, President of The University of Oklahoma, Provosts Nancy L. Mergler and Joseph J. Ferretti, Vice Presidents Dennis Aebersold, M. Dewayne Andrews, Catherine Bishop, Nicholas Hathaway, Ken Rowe, Clarke Stroud, and Lee Williams; Brad Avery, Director of Internal Auditing; Joseph Harroz, Jr., General Counsel, Joe Castiglione, Director of Athletics, and Dr. Chris A. Purcell, Executive Secretary of the Board of Regents.

Those attending the meeting from Cameron University were Dr. Cindy Ross, President of the University, Provost Don Sullivan and Interim Vice President Terral McKellips.

Attending the meeting from Rogers State University were Dr. Joe A. Wiley, President of the University, and Vice Presidents Tom Volturo and Richard E. Boyd.

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 3:00 p.m. on November 27, 2002, both as required by 25 O.S. 1981, Section 301-314.

ROGERS STATE UNIVERSITY

REPORT OF THE PRESIDENT OF THE UNIVERSITY

President Wiley gave the Regents copies of *RSU Today* that featured a photo of Regent Clark on the front page and of Regent Noble on page two, taken during visits to the RSU campus. He reported that RSU has had the largest growth in enrollment in the state in the past few years and pre-enrollment figures for the spring semester are continuing that growth, running 62% above the same period last year. Following the 17.5% increase in the fall, this bodes for another record enrollment. Two things have happened in the last few weeks that President Wiley wants to bring to the Board's attention. One of the major differences in a regional institution and a doctoral-granting institution is the measurement used to signify success. OU and other doctoral-granting institutions measure growth and success in research dollar growth and the number of National Merit Scholars and the like. Regional institutions like RSU judge the quality of their students by how their graduates perform in the world of work, how ready employers are to hire subsequent graduates from the institution, and how graduates perform in graduate school programs.

Two things that will help improve RSU's image in northeast Oklahoma and which show that RSU is meeting needs were reported recently. First, the Tulsa Metropolitan Chamber of Commerce recently surveyed 3,000 employers in northeast Oklahoma and asked them to rate the quality of the graduates of educational institutions serving the metropolitan area. Of the three regional institutions included in the survey (RSU, Northeastern in Tahlequah, and Langston), RSU graduates were the highest rated, having a median rating of 4 out of 5, that was the same as the median rating for the University of Tulsa and The University of Oklahoma—Tulsa. The second happening involves the cyber-terrorism program at the University of Tulsa. This is one of eight federally funded programs in the nation. Students receive a master's degree in two years and work for the federal government. Forty-five students were accepted into TU's program last year, students from across the nation with undergraduate degrees from Stanford, OU, etc. Two of those forty-five were RSU alums. President Wiley stated that he recently received a letter from the director of the program stating that the two RSU students are performing equal to or better than the students from other parts of the country. These two events show that RSU is preparing their students and that the changes at the University are going in the right direction.

ACADEMIC CALENDAR 2003-04

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 A is for information only and will be submitted to the State Regents.

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

SUBSTANTIVE PROGRAM CHANGE

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 change in the academic program itemized below has been approved by the appropriate faculty, academic units and deans, the Curriculum Committee, the Academic Council, and the Vice President for Academic Affairs. The change is being submitted to the Board of Regents for approval prior to submission to the State Regents.

1. **PROGRAM: Police Science Certificate (080)**

PROPOSED CHANGE: Program deletion

COMMENTS: Lack of student interest and need for the program. Faculty recommended deletion of the program consistent with the 2001-2002 Technical-Occupational Degree Program Evaluation visit. The site evaluation team concurred with the recommendation in their final report. Students will be advised into other more suitable programs.

President Wiley recommended the Board of Regents approve the proposed change in the Rogers State University academic program.

Regent Stuart moved approval of the recommendation. The following voted yes on the motion: Regents Blankenship, Bentley, Clark and Stuart. The Chair declared the motion unanimously approved.

FEES REQUEST FOR 2003-2004

In accordance with policy established by the Oklahoma State Regents for Higher Education, requests for changes in fees will be considered by the State Regents one time each year, and requests must be received in their office by November 1 preceding the beginning of the fiscal year, July 1, in which the change is to be effective.

- A. Rogers State University requests a change in the Library Automation and Materials fee. The maximum fee authorized by the State Regents for Higher Education is \$2.25 per semester credit hour. The institution is currently charging \$2.00 per semester credit hour. This fee was last adjusted in the Fall semester of 2002. Rogers State University is requesting changing the fee from \$2.00 per semester credit hour to \$2.25 per semester credit hour. It is anticipated the additional revenue per year will be approximately \$16,400. Additional revenue will be used to purchase books and materials for the library.
- B. Rogers State University requests a change in the Student Technology Services Fee. The maximum fee authorized by the State Regents for Higher Education is the direct cost of services. The institution is currently charging \$6.00 per semester credit hour. This fee was last adjusted in the Fall semester of 2002. Rogers State University is requesting changing the fee from \$6.00 per semester credit hour to \$7.00 per semester credit hour. It is anticipated the additional revenue per year will be approximately \$65,400. The additional revenue will be used to enhance the computer labs, science labs, and technology service for the students.
- C. Rogers State University requests a change in the Student Facility Fee. The maximum fee authorized by the State Regents for Higher Education is \$7.30 per semester credit hour. The institution is currently charging \$4.30 per semester credit hour. This fee was last adjusted in the Fall of 1995. Rogers State University is requesting changing the fee from \$4.30 per semester credit hour to \$7.30 per semester credit hour. It is anticipated the additional revenue will be used to renovate existing structures on Campus to enhance the student quality of life, including, but not limited to, the relocation and renovation of the Student Union, and will include a new food court, enlarged bookstore, recreational facilities, development of a student health care infirmary and other improvements.

President Wiley recommended the Board of Regents approve the changes in fees for 2003-2004.

Regent Bentley moved approval of the recommendation. The following voted yes on the motion: Regents Blankenship, Bentley, Clark and Stuart. The Chair declared the motion unanimously approved.

EMPLOYEE STIPEND

President Wiley recommends each employee (not including himself), with a minimum of six months' service, a one-time stipend in an amount equal to 3% of their annual salary. Those employees with less than six months' service will receive a prorated stipend of up to 1.5% of their current salary. The stipends will be distributed with the December payroll.

Even though the State budget situation has worsened, RSU's financial situation is very solid. For example:

- 1) No general salary raises were granted in the 2002-03 budget, except for promotions.
- 2) June 30, 2002 unobligated cash increased by more than one million dollars over June 30, 2001, even though RSU's State appropriations were decreased by approximately \$500,000.
- 3) Our enrollment continues to grow faster than any other Oklahoma institution, generating significantly increased tuition and fee revenue above budgeted projections.
- 4) Our faculty and staff have embraced our cost-cutting measures and are working harder and taking on additional responsibilities in order to save money.
- 5) Our first quarter financial statements for FY03 show that we generated \$1.7 million more revenue than we expended.
- 6) Spring 2003 pre-enrollment currently is running 63% ahead of last year's pre-enrollment figures at this time, clearly indicating our 17.6% increase in Fall enrollment is likely to carry over to the Spring semester.

The cost of the proposed stipend is approximately \$332,000 and was included in the budget revision approved at the September board meeting.

President Wiley recommended the Board of Regents approve the Rogers State University faculty and staff stipend plan as submitted.

Regent Stuart moved approval of the recommendation. The following voted yes on the motion: Regents Blankenship, Bentley, Clark and Stuart. The Chair declared the motion unanimously approved.

UPDATE OF UNIVERSITY CAPITAL PROJECTS

Due to the rapid changes occurring to facilities and infrastructure on the main campus in Claremore and on the branch campuses of Pryor and Bartlesville, President Wiley is providing an update on current and future projects to the Board of Regents. Detail maps that were provided to the Board are attached hereto as Exhibit B.

President Wiley submitted the report of Campus Capital Projects to the Board of Regents for information and discussion.

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

CPB TELEVISION GRANTS

The Corporation for Public Broadcasting (CPB) Television Grants for the Fiscal Year 2003 for KRSC-TV are the Television Community Service Grant in the amount of \$467,661, the Television Interconnection Grant in the amount of \$10,614 and the Television Local Service Grant in the amount of \$77,148.

President Wiley recommended the Board of Regents ratify the CPB Television Grants in the amount of \$555,423.

Regent Bentley moved approval of the recommendation. The following voted yes on the motion: Regents Blankenship, Bentley, Clark and Stuart. The Chair declared the motion unanimously approved.

QUARTERLY FINANCIAL ANALYSIS

The Quarterly Financial Analysis reports for the period starting July 1, 2002 and ending September 30, 2002 are submitted for your review and consideration and are attached hereto as Exhibit C.

FINANCIAL ANALYSIS FOR THE PERIOD FROM JULY 1, 2002 TO SEPTEMBER 30, 2002

Statement of Revenues and Expenditures – Education and General, Part I - Unrestricted

Total revenues collected year-to-date of \$5,081,550 represents 30.5% of the revised current year budget. Year-to-date expenditures totaled \$3,349,234 or 17.6% of the revised current year budget.

Statement of Revenues and Expenditures – Education and General, Part II - Restricted

Total revenues collected year-to-date of \$428,129 represents 8.7% of the revised current year budget. Year-to-date expenditures totaled \$1,075,959 or 22.0% of the revised current year budget. Expenditures may exceed revenues since RSU must expend restricted funds before it can be reimbursed. Additionally, budgeted restricted grant revenues are generally not available until after the start of the federal fiscal year, which begins October 1.

Auxiliary Revenues by Source and Auxiliary Expenditures by Type

Total revenues collected year-to-date of \$571,925 represents 23.7% of the revised current year budget. Year-to-date expenditures totaled \$389,720 or 16.7% of the revised current year budget.

Schedule of Reserves

Reserves for Education and General, Part I at year-end continue to remain at a stable level and adhere to recommendations of the State Regents for Higher Education.

Reserves for Education and General, Part II include federal, state, and private funds that are expended and later reimbursed by the granting agencies, therefore, no reserves are maintained.

Reserves for Auxiliary Enterprises and Plant Funds are considered discretionary and available for expenditures in accordance with applicable guidelines and limitations.

This report was presented for information and discussion. No action was required.

ADMINISTRATIVE AND PROFESSIONAL PERSONNEL ACTION

RESIGNATION:

Campbell, Brett, Dean of Students, Student Affairs, December 31, 2002. Administrative Staff.
(Resignation – Accepted other employment)

President Wiley recommended the Board of Regents approve the administrative and professional personnel action listed above.

Regent Stuart moved approval of the recommendation. The following voted yes on the motion: Regents Blankenship, Bentley, Clark and Stuart. The Chair declared the motion unanimously approved.

LITIGATION

This item was included in the agenda for the purpose of meeting with General Counsel in executive session for a report on pending and possible litigation. No executive session was held, and there was no report.

PRESIDENT'S COMPENSATION

Regent Clark moved the Board meet in executive session for the purpose of discussing the President's performance, compensation and retirement package.

The executive session was held in the same location and began at 3:40 p.m.

The meeting reconvened in regular session at 3:45 p.m.

PRESIDENT'S COMPENSATION

This item was included in the agenda for a possible executive session for the purpose of a discussion of President Wiley's performance, compensation and retirement package.

Chairman Noble recommended a review of and possible action on the President's performance, compensation and retirement package.

Regent Stuart moved that President Wiley's annualized salary be increased by 3.5 percent, effective retroactive to July 1, 2002. The following voted yes on the motion: Regents Blankenship, Bentley, Clark and Stuart. The Chair declared the motion unanimously approved.

LOSHBAUGH HALL LABORATORY RENOVATION

At the Board of Regents' meeting on October 28, 2002, the Board ratified a grant from Founders and Associates in the amount of \$139,841 to renovate a Rogers State University Chemistry laboratory in Loshbaugh Hall. The Chemistry lab is an integral part of RSU's science programs. It is used to capacity each semester and is in need of renovation. This renovation will allow the University to install new or refinished cabinetry, paint, improve lighting, install an improved air-handling system, replace the flooring, install new fume hoods, refinish stock rooms, install new sinks, purchase specialty cabinets for chemicals, and update safety equipment.

On November 26, 2002, bids for the project were received and opened. The project architect, Mr. Jim Graber, Bill Ryan and representatives of the University, evaluated the bids. The President recommends Lassiter Richey Co., Inc. as the successful bidder, and recommends accepting the base bid and alternates 1B, 9B, 15B and 16B for a total of \$126,610. State statutes allow change orders to be issued for up to 15 percent cumulative increase in original amount of the project costing \$1,000,000 or less.

Board approval of this project will authorize the President or his designee to sign contracts, and will allow issuance of change orders of up to 15 percent of the contract amount and within project budget limitations. A complete tabulation of the bids received is attached.

President Wiley recommended the Board of Regents:

- I. Award a contract in the amount of \$126,610 to Lassiter Richey Co., Inc. for the renovation of the Chemistry laboratory in Loshbaugh Hall; and
- II. Authorize the President or his designee to sign the Agreement for Construction and the necessary change orders during the construction within the statutory and project budget limitations.

Regent Bentley moved approval of the recommendation. The following voted yes on the motion: Regents Blankenship, Bentley, Clark and Stuart. The Chair declared the motion unanimously approved.

CAMERON UNIVERSITY

REPORT OF THE PRESIDENT OF THE UNIVERSITY

President Ross discussed the second round of budget cuts that Cameron is facing and how the administration is communicating with the faculty, staff and students regarding these cuts. As with the first round of cuts, the administration hosted two open forums that were well attended. Dr. Ross used these forums to share strategy for meeting the funding cuts and to ask for suggestions. Many of the cuts made in this second round came from suggestions submitted after the first open forums that were held. The University has some one-time funds available to fund the current cuts, but will be eliminating four administrative positions. Two of the positions are filled by tenured faculty who will return to their departments. Dr. Ross reports that the campus community has been supportive in dealing with these issues.

Cameron sponsored the November "Friday Forum" of the Duncan Chamber of Commerce. This gave the University the opportunity to showcase some of their students from Duncan and was very well attended, with over 100 citizens there. In addition, the 2002 recipients of the Harold and Elizabeth Hackler Teaching Excellence Award will be honored at a banquet in Duncan on December 11. This year's winners include Dr. Ira Hawk, professor of physical science and Professor Joe Jones, assistant professor of physical education. In the past, campus administrators had made selections, but the process was altered this year to a committee comprised of faculty colleagues and students.

In community building news, eight faculty and staff joined President Ross in serving Thanksgiving Dinner, which was sponsored by Cameron Campus Ministry, to Cameron's international students. Several activities are scheduled for December that are designed to increase community interaction with the University and to promote unity among and between the faculty and staff. On Sunday, December 8, Cameron House will be the site of a holiday reception for community leaders and on December 12 it will host a reception for faculty and staff, including retired members of each group.

Finally, President Ross is happy to report collaboration between Cameron and Rogers State University. Dr. Wiley has graciously loaned Dr. Virginia Reasor, associate vice president, to Cameron for the months of November and December. She has great expertise in the areas of student success, recruitment and assessment. Dr. Reasor is meeting with a wide variety of constituencies and will present a report and recommendations that President Ross expects will help Cameron advance many initiatives.

ACADEMIC CALENDAR 2003-2004

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 is for information only and will be submitted to the State Regents and is attached hereto as Exhibit D.

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

CURRICULUM CHANGES

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 only. The course additions, deletions and modifications listed below have been approved by the Provost of Cameron University, upon recommendation of the respective departments and deans, and approved by the Curriculum Committee and Graduate Council.

COURSE ADDITIONS	
PREFIX/NUMBER	TITLE
EDUC 3613	Classroom Management
EDUC 4313	Practicum in the Elementary School
EDUC 4613	Professional Education Seminar

EDUC 4995	Directed Observation and Internship in Early Childhood
ENGL 4992	English Capstone
UNIV 5001-3	Special Topics in Graduate Studies
EDUC 5613	Reading Curriculum Development K-12
EDUC 5633	Administering and Individualizing the Reading Program
EDUC 5663	Teaching Reading in the Content
EDUC 5693	Trends and Issues in Children's and Young Adult Literature

COURSE DELETIONS	
PREFIX/NUMBER	TITLE
EDUC 3000	Elementary Education Advanced Seminar
EDUC 3033	Survey of Elementary Methods and Content
EDUC 3050	Secondary Education Teaching Seminar
EDUC 4612	Senior Seminar I
EDUC 4641	Senior Seminar II
ENGL 3313GR	African American Literature (Graduate Section Only)
ENGL 3323GR	American Indian Literature (Graduate Section Only)
ENGL 4713GR	Women in Literature (Graduate Section Only)
FAMSC 4123GR	Marriage (Graduate Section Only)
FAMSC 4173GR	Functional Family Systems (Graduate Section Only)
PSYCH 4423GR	Experimental Psychology-Graduate (Graduate Section Only)
EDUC 5673	Advanced Assessment and Improvement of Reading Abilities
EDUC 5683	Practicum in Reading-Group

COURSE MODIFICATIONS		
PREFIX/NUMBER	TITLE	CHANGES
EDUC 1800	Elementary Education Introductory Seminar (Old) Education Introductory Seminar (New)	Change in title and description.
EDUC 3513	Teaching Primary Reading	Change in prerequisites.
EDUC 4423	Language Arts Methods and Practicum (Old) Language Arts Methods (New)	Change in title, prerequisites and description.
EDUC 4443	Social Studies Methods and Practicum (Old) Social Studies Methods (New)	Change in title, prerequisites and description.
EDUC 4463	Mathematics Methods and Practicum (Old) Mathematics Methods (New)	Change in title and description.
EDUC 4483	Science Methods and Practicum (Old) Science Methods (New)	Change in title, prerequisites and description.
EDUC 4553	Diagnosis and Remediation of Reading Difficulties	Change in prerequisites and description.
EDUC 4935	Directed Observation and Internship in Primary Grades	Change in prerequisites and description.
EDUC 4945	Directed Observation and Internship in Intermediate/Middle School Grades	Change in prerequisites and description.
ENGL 2413	Old Testament Literature (Old) The Bible as Literature I (New)	Change in title, description and content.
ENGL 2423	New Testament Literature (Old) The Bible as Literature II (New)	Change in title, description and content.
ENGL 2543 (Old) ENGL 3043 (New)	Survey of English Literature to 1800	Change in level and number.
ENGL 2653 (Old) ENGL 3053 (New)	Survey of English Literature Since 1800	Change in level and number.

ENGL 2713 (Old) ENGL 3063 (New)	Survey of World Literature Through the Renaissance	Change in level and number.
ENGL 2723 (Old) ENGL 3073 (New)	Survey of World Literature Since the Renaissance	Change in level and number.
ENGL 2773 (Old) ENGL 3023 (New)	Survey of American Literature to 1865	Change in level and number.
ENGL 2883 (Old) ENGL 3033 (New)	Survey of American Literature Since 1865	Change in level and number.
ENGL 3313 (Old) ENGL 2313 (New)	African American Literature	Change in level and number.
ENGL 3323 (Old) ENGL 2323 (New)	American Indian Literature	Change in level and number.
ENGL 4713 (Old) ENGL 2343 (New)	Women in Literature	Change in level and number.
EDUC 5603	Improvement of Reading in the Classroom (Old) Methods of Teaching Reading in the Classroom (New)	Change in title and description.
EDUC 5623	Foundations of Reading (Old) Theoretical Foundations of Reading (New)	Change in title and description.
EDUC 5643	Assessment and Improvement of Reading Abilities	Change in prerequisites.
EDUC 5653	Practicum in Reading – Individual (Old) Clinical Practicum (New)	Change in title.

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

NON-SUBSTANTIVE PROGRAM CHANGES

The Oklahoma State Regents for Higher Education confer upon each institution the authority to approve program modifications that are non-substantive, but require the changes to be communicated to them for information only. The program modification listed below has been approved by the Provost of Cameron University, upon recommendation of the department and dean, and approved by the Graduate Council.

NON-SUBSTANTIVE PROGRAM MODIFICATIONS		
PROGRAM	PROPOSED MODIFICATION	COMMENTS
Master of Education (650)	<p>Add four courses: EDUC 5613, Reading Curriculum Development K-12; EDUC 5633, Administering and Individualizing the Reading Program; EDUC 5663, Teaching Reading in the Content; EDUC 5693, Trends and Issues in Children's and Young Adult Literature.</p> <p>Modify four courses: <i>Change title and description</i> - EDUC 5603, Improvement of Reading in the Classroom to Methods of Teaching Reading in the Classroom; <i>Change title and description</i> - EDUC 5623, Foundations of Reading to Theoretical Foundations of Reading; <i>Change prerequisite</i> - EDUC 5643, Assessment and Improvement of Reading Abilities; <i>Change title</i> - EDUC 5653, Practicum in Reading - Individual to Clinical Practicum.</p>	<p>The Reading Concentration in the M.Ed. Program does not meet NCATE and State standards. Further assessments indicate concentration objectives are not being appropriately met. After careful review of the learning objectives of the various courses and NCATE and State standards, the Graduate Faculty in the Department of Education proposed the itemized changes. With these changes, the Reading Concentration will meet NCATE and State requirements.</p>

	<u>Delete two courses:</u> EDUC 5673, Advanced Assessment and Improvement of Reading Abilities; EDUC 5683, Practicum in Reading – Group.	
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This was reported for information only. No action was required.

FEE REQUEST FOR 2003-2004

In accordance with policy established by the Oklahoma State Regents for Higher Education, requests for changes in fees will be considered by the State Regents one time each year. Requests must be received in their office by November 1 preceding the fiscal year in which the change is to be effective.

- A. Cameron University requests an increase in the Library Automation and Materials Fee from \$2.25 per credit hour to \$4.00 per credit hour effective with the fall 2003 semester. The additional revenue collected from this increase will be used for a total replacement of the library's enterprise software to enable the library to provide services through the internet to resident and distant learning students. It will also provide for the upgrade of hardware to accommodate the new software. The best available estimate for the cost of the upgrades is \$250,000. The fee increase will generate \$175,000 in additional revenues for fiscal year 2004. The statutory limit for this fee is \$2.25 per semester hour. This proposal is submitted in anticipation that the limit will be changed. In the event it is not changed or is set at less than \$4.00, the request will be modified. The last increase for this fee was in the fall semester of 2002.

- B. Cameron University requests an increase in the Student Technology Services Fee from \$7.00 per credit hour to \$8.00 per credit hour effective with the fall 2003 semester. The additional revenue collected from this increase will be used for the expansion and upgrade of the University network and to update and expand sites at which students access the network. Several new applications will be added including software packages to enable students to fully utilize the new enrollment management and student records software system, particularly via the internet. One major server will be replaced, and interactive TV facilities will be upgraded. A backlog of other proposed projects will be reviewed to establish a prioritized list in the event cost estimates for the current approved list exceed the actual cost. The best available estimate for the cost of the projects on the current list is \$800,000. The fee increase will generate \$100,000 in additional revenues for fiscal year 2004 bringing the total estimated revenues from the student technology services fee to \$800,000. The last increase for this fee was in the fall semester of 2002.

- C. Cameron University requests an increase of \$3.30 per credit hour for the Student Facility Fee and the elimination of the Stadium Fee of \$5.00 per semester resulting in a total Student Facility Fee of \$7.30 per credit hour effective with the fall 2003 semester. A substantial amount of deferred maintenance has been identified in facilities that support activities designed for student extracurricular educational, cultural and recreational functions. Projects have been proposed to update, enhance or bring up to standard portions of the gymnasium, theater, student union, and Shepler center. A prioritized list of projects is being developed, and will be presented at a later date in revisions to the Campus Master

Plan. Current cost estimates for the total list of projects far exceeds the revenues that can be generated at the current student facility fee level. Projects arising from life and safety issues will be given top priority, and will be addressed as early as possible.

Of immediate concern is the Oklahoma State Fire Marshall directive to install sprinkler systems in Shepler Center which houses students; areas for student activities; offices for student services, intercollegiate athletics, public safety and educational outreach; and some academic facilities. The best available estimate for the cost of the installation is \$600,000. The fee increase will generate \$330,000 in additional revenues in fiscal year 2004. The Stadium Fee of \$5.00 per semester will be eliminated to conform to the \$7.30 per credit hour statutory limit. Elimination of the stadium fee will reduce revenues by approximately \$50,000 per year. The current student facility fee is \$4.00. The last increase for this fee was in the fall semester of 1994.

- D. Cameron University requests an increase in the Student Activity Fee from \$5.00 per credit hour to \$5.35 per credit hour effective with the fall 2003 semester. In a separate agenda item, a recommendation is being made to add men's cross-country to the intercollegiate athletic programs offered by Cameron. Five scholarships, a total of nearly \$30,000, will be required to support the program. Athletic scholarships are funded from the revenues generated by student activity fees. An increase of \$.35 will generate approximately \$35,000 per year. The current statutory limit for student activity fees is \$5.00 per credit hour. This recommendation is made in anticipation that the statutory limit will be increased. If the limit is not increased or is set at less than \$5.35 per credit hour, this proposal will be modified accordingly.

President Ross recommended the Board of Regents approve the changes in fees for 2003-2004.

Regent Bentley moved approval of the recommendation. The following voted yes on the motion: Regents Blankenship, Bentley, Clark and Stuart. The Chair declared the motion unanimously approved.

REPLACEMENT OF ROOFS - SHEPLER CAFETERIA AND COMMUNICATIONS BUILDING

The State of Oklahoma, Department of Central Services solicited competitive bids for a roofing maintenance program for use by all State agencies. The initial contract period is one year from July 15, 2002, through July 14, 2003, and is awarded to Oklahoma Roofing and Sheet Metal, Inc.

The contract was solicited and awarded as "a firm fixed price contract for indefinite delivery and indefinite quantity for the supplies/services specified," based on unit pricing. The contract is available for all State Departments, Boards, Commissions, Agencies and Institutions in Quadrants 2 and 4 within the State of Oklahoma. Cameron University is located in Quadrant 4.

Cameron University has used State contracts for its roofing projects on a number of prior occasions with complete success. Benefits are numerous but include: 1) elimination of the architectural selection process and subsequent development of project specifications and

drawings; 2) elimination of the bid solicitation advertisement; 3) monitoring of contract performance, bonding, and insurance by the Construction and Properties Division of DCS. Past evaluation of pricing reflects a reduced cost using the State contract compared to local bids.

Funding for these projects will be from the Renewal and Replacement Fund and Section 13 Funds.

President Ross recommended the Board of Regents:

- I. Approve the replacement of the Shepler Cafeteria and Communications Buildings Roofs at a cost of \$76,544.26 for Shepler and \$59,056.22 for Communications; and
- II. Approve the contracting method for this work through use of State Contract #SW30308 awarded to Oklahoma Roofing and Sheet Metal, Inc.

Regent Clark moved approval of the recommendation. The following voted yes on the motion: Regents Blankenship, Bentley, Clark and Stuart. The Chair declared the motion unanimously approved.

MEN’S CROSS COUNTRY SPORT ADDITION

As an active member institution of the NCAA Division II, Cameron University is required to sponsor at least one all-male and one all-female team sport per season (NCAA Bylaws 3.2.1.4). In the past, golf has been the men’s sport designated for the fall season. New NCAA legislation impacts the Cameron golf program and limits sports activity with the student athlete to 24 days, which must be contained within a 45-day season. As a result, the Cameron team is no longer able to play the required number of tournaments to qualify golf as a fall sport. Although granted an exception for 2002-2003, in order to be in compliance with current NCAA bylaws, Cameron must add a new men’s fall sport for the 2003-2004 academic year.

A cost comparison has been performed on three sports selected as most closely meeting the profile of Cameron University, the Lone Star Conference, and southwest Oklahoma. Costs for each program are as follows (see attachment for details):

Men’s Cross Country	\$ 49,922
Men’s Soccer	\$ 440,278
Men’s Football	\$ 653,035

The Athletic Director and Intercollegiate Athletics Committee at Cameron University have recommended that Men’s Cross Country be established beginning competition in the 2003-2004 season. The Student Government Association and the Faculty Council support the recommendation.

Funding for Men’s Cross Country will require increasing the Athletic Scholarship budget by \$28,612 and the Athletic Operating budget by \$21,310. In a separate agenda item, Cameron is recommending an increase in the Student Activity Fee of \$.35 per credit hour to fund the scholarships and a portion of the operating costs. The remaining operating costs can be accommodated within the current budget.

Cost Comparisons for New Sport Recommendation

Men's Cross Country

Operating Expense	\$ 9,070	
Uniforms, shoes, insurance, video equipment, meals, transportation, lodging, etc.		
Scholarship Expense	28,612	
5 student athletes		
Personnel Expense	<u>12,240</u>	
Coaching staff		
 Total anticipated program cost		 \$ 49,922

Men's Soccer

Operating Expense	\$ 44,000	
Uniforms, shoes, balls, goals, insurance, field marking, video equipment, meals, transportation, lodging, etc.		
Scholarship Expense	51,426	
9 student athletes		
Personnel Expense	<u>72,352</u>	
Coaching staff		
 Total expenses	 \$167,778	
Less anticipated revenue	 - 2,500	
Subtotal	<u>\$165,278</u>	
Plus estimated cost of new field	 275,000	
Total anticipated program cost		\$440,278

Football

Operating Expense	\$135,189	
Uniforms, shoes, helmets, balls, insurance, practice equipment, video equipment, meals, transportation, lodging, recruiting, etc.		
Scholarship Expense	206,006	
36 student athletes		
Personnel Expense	<u>311,840</u>	
Coaching staff		
 Total expenses	 \$703,035	
Less anticipated revenue	 - 50,000	
Total anticipated program cost		\$653,035

President Ross recommended the Board of Regents approve Cameron University adding the sport of Men's Cross Country.

Sam Carroll, Athletic Director and Keith Vitense, Associate Professor of Physical Science were present to answer questions and discuss the recommendation with the Board.

Regent Clark moved approval of the recommendation. The following voted yes on the motion: Regents Blankenship, Bentley, Clark and Stuart. The Chair declared the motion unanimously approved.

QUARTERLY REPORT OF PURCHASES

Board policy requires that all purchases over \$125,000 must be referred to the Board of Regents for approval, and that a summary report of pertinent transactions be provided according to the following categories:

Purchases for the period of July – September 2002, are as follows:

- I. Purchase obligations between \$75,000 and \$125,000;
- II. Acquisition of goods and services pursuant to and funded by sponsored grants and contracts between the amounts of \$125,000 and \$300,000; and
- III. Sole source procurements in excess of \$35,000.

The quarterly report follows.

QUARTERLY REPORT OF PURCHASES July 1, 2002 through September 30, 2002

<u>Item</u>	<u>Description</u>	<u>Vendor</u>	<u>Award Amount</u>	<u>Explanation/Justification</u>
I.	PURCHASE OBLIGATIONS FROM \$75,000 TO \$125,000			
1	Maint. Agreement	Sungard Bi-Tech, Inc.	\$100,000	Maintenance of computer hardware/programs
II.	ACQUISITION OF GOODS AND SERVICES PURSUANT TO AND FUNDED BY SPONSORED GRANTS AND CONTRACTS BETWEEN THE AMOUNTS OF \$125,000 AND \$300,000			
	None			
III.	SOLE SOURCE PROCUREMENTS IN EXCESS OF \$35,000			
1	Postage	U. S. Postal Service	\$ 80,000	University postage
2	Water/sewage	City of Lawton	\$200,000	University water/sewage
3	Electricity	PSO	\$650,000	University electricity

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

QUARTERLY FINANCIAL ANALYSIS

Being reported this month is the Quarterly Financial Analysis for the quarter ended September 30, 2002. The following comments are submitted and charts are attached hereto as Exhibit E.

ALL FUNDS: CAMERON UNIVERSITY
STATEMENT OF REVENUES AND EXPENDITURES

1. At September 30, 2002, revenues for all funds were at \$12.8 million. These collections represent 31.4% of the budget.

2. Expenditures were at \$10.4 million, representing 22.1% of the budget. Revenues and expenditures for this fiscal year are in line with amounts budgeted.

STATEMENT OF REVENUES AND EXPENDITURES – EDUCATION AND GENERAL
PART I – UNRESTRICTED

1. Revenues – Revenues of \$8.6 million comprising 30.4% of the budget are reported. For the same quarter last fiscal year, there were revenues of \$8.1 million, comprising 28.6% of the budget.

2. Expenditures – Expenditures of \$6.5 million comprising 20.9% of the budget are reported. Comparable figures for the prior year show expenditures of \$6.7 million representing 21.8% of the budget.

STATEMENT OF REVENUES AND EXPENDITURES – EDUCATION AND GENERAL
PART II – RESTRICTED

1. Revenues – Revenues of \$3.2 million representing 34.2% of the budget are reported. Prior year revenues for the same period were \$2.7 million, representing 31.8% of the budget.

2. Expenditures – Expenditures of \$3.1 million comprising 32.9% of the budget. This is comparable to the prior year's expenditures of \$2.6 million at 30.9% of the budget.

Revenues and expenses have increased due to a rise in the amount of Federal Student Aid awards.

STATEMENT OF REVENUE AND EXPENDITURES – AUXILIARY ENTERPRISES

1. Revenues – Revenues for Auxiliary Enterprises are at anticipated levels.

2. Expenditures – Expenditures for Auxiliary Enterprises are at anticipated levels.

DISCRETIONARY RESERVES

Discretionary reserves represent that portion of the University's resources that are not currently budgeted for expenditure or are otherwise held for specific future uses. As such, resources of this nature are available to fund future capital projects, operating needs and/or unforeseen contingencies for any lawful purpose of the University.

E & G PART I

The E&G Part I discretionary reserves were \$2,156,694 on September 30, 2002.

E & G PART II

The E&G Part II discretionary reserves were \$453,146 on September 30, 2002.

AUXILIARY ENTERPRISES

Miscellaneous Auxiliary Funds and the Housing System have no discretionary reserves.

Facility Fee discretionary reserves are approximately \$2,748,000.

PLANT FUNDS

Section 13, Section 13 Offset and New College Funds currently have discretionary reserves of \$929,193. Private Sources discretionary reserve is \$135,530 at this time.

Renewal and Replacements have a discretionary reserve of \$1,607,874.

The Facility Fee Bond Fund has a discretionary reserve of \$479,369.

This report was presented for information and discussion. No action was required.

ACADEMIC PERSONNEL ACTIONS

APPOINTMENT:

Nelson, Debbie, M.A., Instructor, Library. Annual rate of \$35,000 for a twelve-month appointment. Salary will be prorated for the first term of appointment that begins on November 1, 2002, and ends on June 30, 2003. New tenure track faculty.

RETIREMENT:

Sullivan B. Don, Ph.D., Provost, December 31, 2002; named Provost Emeritus. Retirement previously approved; approval of Emeritus title only.

President Ross recommended the Board of Regents approve the academic personnel actions listed above.

Regent Bentley moved approval of the recommendation. The following voted yes on the motion: Regents Blankenship, Bentley, Clark and Stuart. The Chair declared the motion unanimously approved.

Dr. Ross pointed out that, while Dr. Sullivan had been Provost for a relatively short period of time, his tenure at the University goes back to his appointment as Vice President for Advancement in 1992. In that position he was responsible for developing a sustained fundraising effort that resulted in Cameron having the largest number of endowed positions of any regional university in the State. He was also crucial in advancing Cameron as a research university and furthering economic development in southwest Oklahoma.

Regent Bentley commented that he'd spent many years working with Provost Sullivan and appreciated his hard work. Dr. Sullivan said that this was the fourth Board of Regents he had worked with and it had been a true pleasure to work with this Board. He expressed particular thanks to Regent Bentley.

LITIGATION

This item was included in the agenda for the purpose of meeting with General Counsel in executive session for a report on pending and possible litigation. No executive session was held, and there was no report.

The meeting was adjourned for the day at 4:10 p.m.

The meeting reconvened at 9:22 a.m. on December 3, 2002 in the Scholars Room of the Oklahoma Memorial Union on The University of Oklahoma campus, Norman, Oklahoma. All Regents were present, with exception of Regent Austin.

THE UNIVERSITY OF OKLAHOMA

ACADEMIC CALENDAR 2003-2004 - HSC

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 F is for information only and will be submitted to the State Regents.

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

COURSE ADDITIONS AND DELETIONS - HSC

The Oklahoma State Regents for Higher Education require that all course additions and deletions be presented to the institution's governing board before they are forwarded for their consideration. Attached is a list of all such course additions that have been approved by the Senior Vice President and Provost, Health Sciences Center, upon the recommendation of the cognizant departments and colleges, the Graduate College when appropriate, and the Academic Program Council. In summary, this list of course changes includes:

Two (2) course Additions to fill curricula deficiencies and respond to student interest,
and

Thirty-three (33) course Deletions to remove course duplication.

If approved by the Board of Regents and the Oklahoma State Regents for Higher Education, these changes will take effect with the Fall 2003 semester.

COURSE CHANGES 2002-2003

Course Additions

ENDO 8405 Clinical Endodontics III

RLTN 4252 Nuclear Medicine Lab Regulations and Accreditation

Course Deletions

ANES 8990	Special Studies
BIOCD 8990	Special Studies
BIOCD 9991	Directed Readings
CELLD 8990	Special Studies
DENT 8990	Special Studies
DMS 8990	Special Studies
DSA 8204	Communication Research Methods I
DSA 8990	Special Studies
DSA 9213	Dental Care/Native American Health
DSA 9808	Periodontics & Restorative Dentistry
FPRO 9305	Clinical Fixed Prosthodontics V
FPRO 9316	Porcelain Fused to Metal Procedures
MID 8990	Special Studies
OCCL 8403	TMJ Pathology/Facial Pain
OCCL 8990	Special Studies
OD 8507	Cardio-Pulmonary Resuscitation
OD 8990	Special Studies
OP 8990	Special Studies
OP 9552	Advanced Oral Pathology
OP 9553	Forensic Odontology
OPDT 8990	Special Studies
ORTH 8990	Special Studies
OS 8602	Medical Basis for Dental Practice
OS 8990	Special Studies
OS 9991	Mini-Residency in Oral/Maxillofacial Surgery
PCOL 9701	Pharmacology
PERI 8990	Special Studies
PERI 9808	Periodontics in Restorative Practice
PSBSD 8902	Communications Interviewing
PSBSD 8990	Special Studies
RD 8990	Special Studies
RP 8990	Special Studies
RP 9955	Balanced Occlusion Dentures

President Boren recommended approval of course additions and deletions proposed for the Health Sciences Center campus.

Regent Clark moved approval of the recommendation. The following voted yes on the motion: Regents Blankenship, Bentley, Everest, Clark and Stuart. The Chair declared the motion unanimously approved.

PROFESSIONAL SERVICE AGREEMENTS - HSC

The University of Oklahoma Health Sciences Center (OUHSC) receives revenue from various sources. The following is a contract with an outside vendor, OU Medical Center, for services performed by OUHSC faculty. A description of services, funding source, and time period is included.

New-	HCA Health Services of Oklahoma, Inc. (OU Medical Center) College of Medicine Term of Agreement 07/01/02 to 06/30/03 Hospitalist Professional Service Agreement	\$191,100
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To provide professional services at OU Medical Center. To provide assistance in admitting patients, performing diagnostic tests, completing daily patient rounds, ordering consultations, prescribing medications and other patient care as required. Provide education and oversight of medical students and medical residents, as well as having on-call attending duties. Received on 9/13/02, returned to HCA for signature on 9/23/02 but not fully executed as yet.

President Boren recommended the Board of Regents approve the professional service agreements for The University of Oklahoma Health Sciences Center as listed.

Regent Everest moved approval of the recommendation. The following voted yes on the motion: Regents Blankenship, Bentley, Everest, Clark and Stuart. The Chair declared the motion unanimously approved.

REVISIONS OF THE FACULTY HANDBOOK - HSC

The last revision to the Health Sciences Center Faculty Handbook was in 2000. In Fall 2001, Provost Ferretti appointed a committee to review the handbook and propose revisions. The committee was composed of deans, faculty nominated from the Faculty Senate, Legal Counsel, and was chaired by a member of the Provost's staff. The proposed revisions, in most cases, are merely to clarify procedures or to bring policy in line with current practice. Other revisions were editorial in nature as sections were moved to improve the logical flow of the document.

The proposed revisions have been approved by the HSC Deans' Council and the Faculty Senate Executive Committee. All Faculty Senators were given access to an electronic copy of the proposed handbook revisions and provided an opportunity for input in mid-summer. 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 G.

REVISIONS OF THE FACULTY HANDBOOK - HSC

Section 2.3.8 – added a position description for the President, University of Oklahoma-Tulsa.

Section 2.8.1 College Administration (f) termination – Added a provision clarifying the Senior Vice President and Provost's option to not reappoint a dean or to remove a dean during their term if it is deemed in the best interest of the college or University.

Section 3.2.2 Administrative Titles (b) – Brought policy in line with practice by clarifying that staff who are administrators may hold titles such as Associate Dean or Assistant Dean.

Section 3.3.3 Appointments (d) – Clarified that temporary faculty may not appeal non-reappointment to the Faculty Appeals Board.

Section 3.3.4 Secondary Appointments (b) – Added a definition of secondary appointments.

Section 3.5 Faculty Accountability – Restated that all outside employment by faculty must be conducted through University contract, and all funds must be deposited in the Professional Practice Plan.

Section 3.12 Abrogation of Tenure, Severe Sanctions, Summary Suspension (d) – Added notification that an employee's failure to adhere to the University Compliance Program or other federal or state mandates requires that the University take quick and decisive action.

Section 3.12.1 Grounds for Abrogation of Tenure, Dismissal, or Severe Sanctions – Added as grounds (c) substantial, manifest, or repeated failure to adhere to University policies, including the University's Compliance Program; and (d) being placed on the United States Department of Health and Human Services' list of excluded individuals and entities.

Section 3.15.1 Faculty Appeals Board Process, Initiation of Appeal and Request for Hearing – Clarified the routes of appeal if the request for hearing relates to issues of academic freedom, academic due process, or other grievances or if the appeal relates to abrogation of tenure, dismissal, or severe sanctions.

Section 3.15.2 Formal Hearing Procedure – Clarified the steps of the establishing the hearing, selection of hearing committee members, and timeline.

Section 4.6 Health Sciences Center Student Enrollment in Norman Campus Courses – clarified the acquisition of permission and transcript notation.

Section 4.18 Academic Integrity - Added section.

Section 4.20 Commercial Term Papers was changed to Completion of Academic Work for Others.

Section 4.30 Student Health Insurance – clarified that all newly admitted students are required to have health insurance.

Section 4.36 Office of Student Services changed to Office of Student Affairs and a more clear mission statement was added to reflect the role of the University Vice President for Student Affairs.

Section 5.3 Reasonable Accommodation Policy – Clarified that students must self-identify as an individual with a disability and provide appropriate diagnostic information to substantiate the disability.

Section 5.6 University of Oklahoma Health and Safety Policy – Added a paragraph about the OU Tulsa Comprehensive Safety and Health Policy.

Section 5.12.1 Health Sciences Center Office of Alumni and Development – Added a description of the duties of this office.

Section 8 Research and Compliance - Consolidated all existing research sections and all new compliance sections in a new Section 8.

Section 9 Charter of the General Faculty and the Faculty Senate - Approved changes by the Health Sciences Faculty Senate on September 5, 2002.

Section 11.2.2 Notification of Student – Academic Misconduct Code – Clarified notations on the student's official transcript while student code proceedings are ongoing.

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

Regent Blankenship moved approval of the recommendation. The following voted yes on the motion: Regents Blankenship, Bentley, Everest, Clark and Stuart. The Chair declared the motion unanimously approved.

EMAIL SECURITY COMPLIANCE INITIATIVES FOR HIPAA - HSC

With the compliance deadline for the HIPAA privacy regulations just a few months away, time is a critical element in achieving as much progress as possible by the April 2003 date.

The privacy and security regulations mandated by the Health Insurance Portability and Accountability Act of 1996 (HIPAA) are of great importance to the healthcare community including Academic Medical Centers. HIPAA regulations are broken down into three main categories including:

1. Transaction Code Sets (TCS). This act stipulated that the Centers for Medicare and Medicaid Services would be directed to begin rejecting non-HIPAA compliant claims on the revised deadline of October 16, 2003.
2. Privacy – The U.S. Department of Health and Human Services (DHHS) published its Privacy Modification Rule on August 14, 2002. This document offers further, final guidance on the original HIPAA privacy rules. It does not alter the deadline for privacy – April 14, 2003. The Privacy rules mandate:
 - Assignment of responsibilities.
 - Defining and introducing policies to safeguard protected health information.
 - Risk analysis for all covered entities to assess the risks to the security and privacy of protected health information (PHI).
 - Certification of security controls provided by an internal organization or a third party.
 - Scalability is allowed – covered entities are allowed to consider “scalability” or the cost burden of implementation when deciding how to implement certain provisions.
 - Covered entities must restrict use and disclosures of PHI to “the minimum use or disclosure necessary to accomplish the purpose of the request.”
 - Covered entities must implement a process for receiving and responding to complaints.

- Security and privacy provisions must be incorporated into contracts with other organizations.
 - Options exist relating to the disclosure and use of de-identified (information in which patient identifiable or PHI information has been removed) information.
3. Security – Final regulations are anticipated in the fourth quarter of calendar year 2002. The regulations will adopt standards for the security of certain electronic identifiable health information of health plans, health care clearinghouses and certain health care providers. It implements administrative simplification initiatives that have a national scope beyond the Medicare and Medicaid programs.

Progress To-Date:

The HIPAA Steering Committee at HSC provides oversight for the initiatives required for compliance with HIPAA. Membership on this committee includes Ken Rowe, Vice President for Administrative Affairs, HSC; Marcia Bennett, Associate Vice President for Health Sciences; Dr. Dewayne Andrews, Executive Dean, College of Medicine; Dr. Gerry Clancy, Dean, College of Medicine-Tulsa; and Dennis Aebersold, Vice President for Information Technology and CIO. Reporting directly to the Steering Committee is the HIPAA Project Management Office which consists of membership from OU Physicians including executive management and MIS, Information Technology, Internal Auditing, the Compliance Office, and Legal Counsel.

Significant work has been done to move towards compliance with the Privacy rules:

- A Compliance Office was designated by the Board of Regents at the February 2000 meeting.
- The University's privacy policies and related forms have been drafted and have been approved by the Steering Committee in October 2002.
- An awareness campaign has been initiated to begin educating the workforce regarding HIPAA requirements through weekly FAQs distributed through email and a poster campaign.
- Work is progressing on developing comprehensive web-based training.

Compliance with Privacy rules requires that technical security initiatives be addressed. Again, significant progress has been made in this area, including:

- Security Awareness Program providing information and training to faculty, staff and students on all campuses.
- Security Training program for departmental LAN administrators.
- Windows 2000 implementation and roll up of resource domains to organizational units allowing appropriate group policies for servers, workstations and users.
- Perimeter firewall implementation at the HSC campus and Schusterman Center.
- Centralized authentication of campus IT resources on all campuses.

- Secure remote access to campus resources utilizing Virtual Private Network (VPN) technology.
- Development of University security policies.
- Task Forces appointed by Dr. Dewayne Andrews, Executive Dean, College of Medicine, and led by OU Physicians MIS management, have identified three areas as priorities for compliance:
 1. Physical security for technology assets containing protected health information (PHI): The recommendations from the task force provide for two Tier 2, or mission critical level, data centers on the HSC campus and one at the Schusterman Center to house PHI. An existing enterprise data center on the Norman campus is recommended for housing PHI.
 2. Network security initiatives including the development of a “Blue Zone” or protected network area for PHI. This will require the implementation of stringent security for the blue zone to house technology assets, including hardware and software that store or access PHI.
 3. E-Mail Security Solution to ensure the confidentiality and integrity of PHI for the HSC email system. As part of the teaching, healing and discovery mission of the Health Sciences Center approximately 5,000 members of the campus community use email to transport PHI.

Next Steps - Purchase of Email Security Software:

With the compliance deadline for the privacy regulations just a few months away, time is a critical element in achieving as much progress as possible by the April 2003 date.

The selection of a secure e-mail solution is in progress. In response to a formal competitive solicitation, the following vendors responded:

Company	Location
Entrust	Addison, TX
Baltimore Technologies	Needham Heights, MA
SBC DataComm	Oklahoma City
Sigaba Data In Motion	San Mateo, CA

The evaluation committee comprises the following individuals:

Greg Clifford, Director, Management Information Systems, OU Physicians
 David Sutton, Assistant Director, Management Information Systems, OU Physicians
 Becki Trepagnier, Director, Information Technology
 Randy Moore, Security Analyst, Information Technology
 Neal Clonts, Network Security Analyst, Information Technology
 David Horton, Technical Architect, Information Technology
 Daniel Fairless, Technical Architect, Information Technology
 Cori Loomis, Compliance Officer, Legal Counsel
 Bart Mercer, Internal Auditing
 Sally Garrison, Legal Counsel

Evaluation criteria are functionality of the product, ease of use, pricing, and market and financial stability of the vendor.

The Administration requests the authorization for the President or his designee to proceed with the selection, negotiation and awarding of a contract for an email security solution in an amount not to exceed \$605,000.

If the Board authorizes this action, the results of the selection and award will be formally reported to the Board at the meeting of next earliest opportunity.

The Oklahoma State Regents for Higher Education (OSRHE) implemented the Master Lease-Purchase program to facilitate for Oklahoma colleges and universities acquisitions of long-lived assets using the lease-purchase method. OSRHE submits funding requirements periodically through the Oklahoma Executive and Legislative Bond Oversight Commissions and the Oklahoma Development Finance Authority, the conduit-financing agency, and assists in developing and executing an appropriate plan of financing. Institutions service the bond debt using current operating funds. Certain dollar limits and useful life requirements must be met for an acquisition to qualify for the program. This service provided by OSRHE greatly reduces the time and effort that would otherwise be required for an institution to finance the acquisition of a major asset. A Reimbursement Resolution by the Board is required in the event - because of timing - University funds must be used for the original acquisition, and reimbursement is needed from the lease proceeds. This Resolution constitutes a declaration of official intent as is required by the reimbursement regulations set forth in Regulation Section 1.150-2 of the Internal Revenue Code.

Funding for these initiatives is available from institutional funds.

President Boren recommended the Board of Regents authorize the President or his designee:

- I. To compete, negotiate, and award a contract to the vendor representing the best value to the University for software to provide email security for the University to address compliance initiatives related to current privacy provisions and security provisions of the federal Health Information Portability and Accountability Act (HIPAA) in an amount not to exceed \$605,000, and to report the results of the acquisition at the meeting of next earliest opportunity; and
- II. To fund part or all of the acquisition using the Master Lease-Purchase Program administered by the Oklahoma State Regents for Higher Education and, in such event, to the extent the University utilizes its own funds for said purposes, authorize that such proceeds from the Master Lease-Purchase Program be utilized to reimburse the University.

Regent Blankenship moved approval of the recommendation. The following voted yes on the motion: Regents Blankenship, Bentley, Everest, Clark and Stuart. The Chair declared the motion unanimously approved.

RENOVATION OF SPACE FOR DEPARTMENT OF MEDICINE RELOCATION - HSC

At the May 2002 meeting, the Board of Regents approved the College of Medicine Renovations and Equipment project with a total cost of \$650,000. Relocation of the Department of Medicine to renovated space in the Williams Pavilion is included as a portion of this project.

Under their on-call agreement, Architects In Partnership, P.C. provided professional architectural and engineering services for the project. Construction documents were prepared and the project was advertised for bids.

The project includes the demolition and remodel of approximately 5,450 square feet of vacant space on the first floor of the Williams Pavilion. It will create Department of Medicine administrative offices, faculty offices, resident workspaces and a library/conference room. This represents the first of several projects intended to consolidate the administrative and faculty spaces of College of Medicine departments that are presently scattered over the Campus.

I. AWARD CONTRACT FOR CONSTRUCTION

On October 31, 2002, bids for the project were received from 11 firms. The bids have been evaluated by the project architects and representatives of the University administration (Michael Bronze, MD, Chair, Department of Medicine; Thomas Godkins, Assistant Vice President and Director of Capital Planning, HSC; Michael Moorman, Director, Architectural and Engineering Services; and Wilton Berry, Associate Campus Architect-HSC, Architectural and Engineering Services). A complete tabulation of the bids received is shown below.

It is recommended that a contract in the amount of \$287,397 be awarded to J. L. Walker Construction, Inc. of Oklahoma City, Oklahoma, the low bidder, as follows:

Base Proposal	\$ 250,000
Alternate No. 1, Plantation Shutters	<u>37,397</u>
Total Proposed Contract Amount	\$ 287,397

II. SIGN THE AGREEMENT

State statutes allow change orders to be issued for up to fifteen percent of the construction cost for projects costing one million dollars or less. Board approval of this phase of the project will authorize the President or his designee to sign the Agreement for Construction and will allow issuance of necessary change orders of up to fifteen percent of the contract amount, within project budget limitations.

The estimated total cost for this project is \$377,850, to be funded with College of Medicine funds.

TABULATION OF BIDS

DEPARTMENT OF MEDICINE RELOCATION TO WILLIAMS PAVILION

	J. L. Walker Construction, Inc. Okla City	Weaver Contracting, Inc. Edmond, OK	M. A. Wells Construction Co. Okla City	W. C. Doan Construction, Inc. Yukon, OK	M. L. Young Construction LLC Edmond, OK	R.Q.C., Inc. Wellston, OK
Base Proposal	\$ 250,000	\$ 248,900	\$ 254,316	\$ 268,000	\$ 271,000	\$ 274,950
Alternate No. 1, Plantation Shutters	<u>37,397</u>	<u>40,000</u>	<u>44,738</u>	<u>39,500</u>	<u>35,686</u>	<u>39,050</u>
Total, Base Proposal +	\$ 287,397	\$ 288,900	\$ 299,054	\$ 307,500	\$ 306,686	\$ 314,000

Alternate No. 1

	Selmon Enterprises, Inc. Norman, OK	D.G. Fenn Construction, Inc. Edmond, OK	Anderson & House, Inc. Okla City	JWS Construction Services Mustang, OK	Cactus Construction Co. Okla City
Base Proposal	\$ 271,000	\$ 298,875	\$ 299,900	\$ 308,000	\$ 393,512
Alternate No. 1, Plantation Shutters	47,400	44,151	55,000	52,400	42,150
Total, Base Proposal + Alternate No. 1	\$ 318,400	\$ 343,026	\$ 354,900	\$ 360,400	\$ 435,662

President Boren recommended the Board of Regents:

- I. Award a contract in the amount of \$287,397 to J. L. Walker Construction, Inc., the low bidder, for renovation of space on the first floor of the Williams Pavilion for relocation of the Department of Medicine; and
- II. Authorize the President or his designee to sign the Agreement for Construction and the necessary change orders during construction within the statutory and project budget limitations.

QUARTERLY REPORT OF SIGNIFICANT TRANSACTIONS WITH AFFILIATED ENTITIES - HSC

In previous meetings, the Board has authorized the Health Sciences Center to enter into affiliation agreements with agencies and organizations located nearby to enable and facilitate the teaching, research, and public service missions in the health sciences. Pursuant to these affiliation agreements, the Health Sciences Center has purchased the use of property/office space through the following lease agreements:

Lessor Entity	Begin Date	End Date	Sq Ft & Description	Amount
HCA	07-01-02	06-30-03	5,093 Clinic/Office Space at O'Donoghue	\$43,545.00
HCA	07-01-02	06-30-03	3,908 Clinic/Office Space at 711 SL Young Blvd	\$43,300.60
DMEI	07-01-01	06-30-03	15,369 Clinic/Office Space at Dean McGee Eye Institute	\$215,166.00

DMEI	07-01-02	06-30-03	15,474 Academic/Research Space at Dean McGee Eye Institute	\$216,636.00
OU Med Ctr	07-01-02	06-30-03	11,131 Office Space at 1122 NE 13 th St.	\$82,808.40

Also for the same purposes, the Health Sciences Center has purchased from affiliated entities the following goods and services:

Seller Entity	Begin Date	End Date	Description	Amount
DMEI	07-01-02	06-30-03	Business Manager Services	\$41,600.04
DMEI	07-01-02	06-30-03	Ophthalmic Technician Services	\$154,897.32
DMEI	07-02-02	06-30-03	Billing Services	\$83,419.92
DMEI	07-02-02	06-30-03	Personnel Services	\$255,008.64
OU Med Ctr	07-01-02	06-30-03	Autopsy Services	\$40,000.00

The University has received reimbursements or revenues from affiliated entities, as described below.

Paying Entity	Begin Date	End Date	Sq Ft & Description	Amount
Presbyterian Health Fndtn	07-01-02	06-30-03	Reimbursement of parking revenues at Research Park	\$125,000.00

This item was for information only. No action was required

SCHUSTERMAN CENTER MECHANICAL AND ELECTRICAL SYSTEM IMPROVEMENTS ENGINEER - TULSA

Since the Schusterman Center campus was acquired in 1999, several remodels and changes in use of spaces have occurred within the facilities. As a result of these major changes, the mechanical and electrical systems have been modified from their original design intent. It is proposed that a study of the mechanical and electrical systems be undertaken that will include recommended modifications for optimum operation and efficiency of the systems. As such, the University needs to secure the services of an engineering firm to take the lead and work with University staff in preparing the study.

The engineers will be expected to develop a report on the existing systems and a priority listing of proposed revisions. The report will also include a statement of probable costs to implement the revisions, as well as estimates of probable operational cost savings. Once recommended system revisions are determined to be feasible and funds are identified, the selected engineering firm will develop the bid documents necessary to implement the system changes and will provide bidding and construction administration phase services for the projects.

A committee was formed to interview and evaluate engineering firms to provide the required professional services. The committee was composed of the following:

Wilton Berry, Associate Campus Architect, HSC, Chair
 Charles Farney, Lead Operating Engineer, Operations, Tulsa
 Thomas Godkins, Assistant Vice President and Director of Capital Planning
 Raymond List, Director of Operations, Tulsa
 Peter Ray, P.E., Assistant Director of Operations, HSC Site Support

Proposals to provide the needed professional services for the project were received from eight engineering firms. Based on these proposals, information provided by the State of Oklahoma Department of Central Services and client references, four firms were selected by the interview committee for further evaluation; however, one of these firms withdrew its proposal from consideration. The committee conducted a detailed review and interview with each of the remaining three firms and rated them from highest to lowest as follows:

1. Consulting Engineers, Tulsa, Oklahoma
2. Cyntergy, LLC, Tulsa, Oklahoma
3. Phillips and Bacon, Inc., Tulsa, Oklahoma

SCHUSTERMAN CENTER MECHANICAL AND ELECTRICAL SYSTEM IMPROVEMENTS
 ENGINEERING FIRM EVALUATION SUMMARY

	<u>Consulting Engineers</u>	<u>Cyntergy, LLC</u>	<u>Phillips and Bacon, Inc.</u>
Quality of Engineering	126	108	93
Adherence to Cost Limits	35	32	31
Adherence to Time Limits	33	31	31
Volume of Changes	34	32	29
Stability of Firm	32	30	31
Total Points	260	233	215

President Boren recommended the Board of Regents:

- I. Rank in the order presented below engineering firms that are under consideration to provide professional services required for a mechanical and electrical systems study and system improvements at the Schusterman Center;
- II. Authorize the University administration to negotiate the terms of an agreement and a fee starting with the highest-ranked firm; and
- III. Authorize the President or his designee to execute the consultant contract.

Regent Stuart moved approval of the recommendation. The following voted yes on the motion: Regents Blankenship, Bentley, Everest, Clark and Stuart. The Chair declared the motion unanimously approved.

PROPOSALS, CONTRACTS AND GRANTS

In accord with Regents' policy, a list of awards and/or modifications in excess of \$100,000 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 1999 through 2003, and current month and year-to-date, are shown on the graphs and tables attached hereto as Exhibit H.

The Provisions of Goods and Services policy (amended March 15, 2000) provides that new contracts and grants in excess of \$100,000 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.

	FY02 Total Expenditures	FY03 Projection		FY02 Year-to-Date Expenditures	FY03 Year-to-Date Expenditures
UNIVERSITY OF OKLAHOMA	\$182,666,298	\$184,717,153		\$43,295,117	\$48,809,104
NORMAN CAMPUS	\$113,571,022	\$110,094,253		\$26,735,795	\$29,566,062
HEALTH SCIENCES CENTER	\$69,095,276	\$74,622,900		\$16,559,322	\$19,243,042

President Boren recommended the Board of Regents ratify the awards and/or modifications for September 2002 submitted with this Agenda Item.

Regent Everest moved approval of the recommendation. The following voted yes on the motion: Regents Blankenship, Bentley, Everest, Clark and Stuart. The Chair declared the motion unanimously approved.

ACADEMIC CALENDAR 2003-2004 - NC & COLLEGE OF 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 I is for information only and will be submitted to the State Regents.

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

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 Changes
Approved by Academic Programs Council - October 9, 2002

Addition of New Program:

College of Arts and Sciences

Knowledge Management, M.S. in Knowledge Mgt. (RPC 346, MC to be assigned): addition of master's program in Knowledge Management. Knowledge management is the systematic process of locating, selecting, organizing, representing and presenting information in a manner that contributes to organizational effectiveness. The program is designed to educate individuals to develop the combined capabilities of a business strategist, technology analyst, and a human resource professional. The program requires 36 hours divided into a 30-hour required core and 6 hours of Knowledge Management and cognate disciplines. Students enrolled in the M.S.K.M. program will be expected to demonstrate competence in basic hardware and software operations; Web design principles, including knowledge of HTML, SGML, and Web design software; and an object-oriented programming language such as C++ or JAVA. Competence may be demonstrated by completion of a skills test or by documentation of credit or noncredit learning experiences.

Reason for requested action: The information explosion and information overload are terms so comprehensively overused as to be trite. They are nevertheless matters of sincere and significant concern that have not yet been effectively addressed in many organizations. The M.S.K.M. degree program is designed to teach professionals how to successfully manage the overwhelming flow of information and knowledge within varying organizational settings.

College of Engineering

Environmental Engineering, M.S. in Env. Engr. (RPC 347, MC to be assigned): addition of master's program in Environmental Engineering. This proposed program has been offered as an area of concentration within the existing M.S. in civil engineering for a number of years. Program requirements are identical in structure to that of the civil engineering master's program. These requirements include 12 hours of core civil engineering/environmental science, 7-13 hours of guided electives, a course in technical communications, and a thesis or special topics requirement, for the thesis or non-thesis option. The total number of hours required is 30 for thesis and 32 for the non-thesis. There will be no new costs for additional faculty or support resources required for the proposed program.

Reason for requested action: To avoid student confusion and help prospective students seek admission to the appropriate graduate programs (between environmental engineering and environmental science), and to meet demand from students and employers for graduate environmental engineering degree programs.

Environmental Engineering, Ph.D. (RPC 348, MC to be assigned): addition of doctoral program in Environmental Engineering. This proposed program has been offered as an area of concentration within the existing Ph.D. in civil engineering for a number of years. Program requirements are identical in structure to that of the civil engineering doctoral

program. These requirements include a minimum of 48 hours of post-bachelor’s coursework (chosen by the advisory committee), a technical communications course, and 4-41 hours of dissertation research. At least 30 hours of CEES courses and at least 12 hours of courses outside CEES will be required. The total number of hours required is 90. There will be no new costs for additional faculty or support resources required for the proposed program. Reason for requested action: To avoid student confusion and help prospective students seek admission to the appropriate graduate programs (between environmental engineering and environmental science), and to meet demand from students and employers for graduate environmental engineering degree programs.

Changes in Program Requirements:

College of Arts and Sciences

Human Relations, Master of Human Rel. (RPC 329, MC 4903N): program requirement changes. Increase the total credit hours from 34 to 36, requiring that all core courses carry three credit hours, and reduce the number of credit hours outside the department from 10 to 9 hours.

Reason for requested action: To insure sufficient human relations and core coursework.

President Boren recommended the Board of Regents approve the proposed changes in Norman Campus academic programs.

Regent Stuart moved approval of the recommendation. The following voted yes on the motion: Regents Blankenship, Bentley, Everest, Clark and Stuart. The Chair declared the motion unanimously approved.

NONSUBSTANTIVE PROGRAM CHANGES - NC

The Oklahoma State Regents for Higher Education confer upon each institution the authority to approve modifications that are nonsubstantive, but require the changes to be communicated to them for information only. The program modifications 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 forwarded to the Board of Regents for information only.

Non-Substantive Program Changes
Approved by Academic Programs Council - October 9, 2002

Changes in Program Requirements:

College of Arts and Sciences

Social Work, M.S.W (RPC 211, MC 2104M): program requirement change. Eliminate the qualifying exam at the end of the first year. The student’s grade point average is considered a better tool to monitor the student’s progress.

Reason for requested action: The qualifying exam is no longer considered useful by the faculty in measuring the student’s mastery of the curriculum in the first year. A comprehensive exam will continue to be administered.

College of Education

Education Administration, M.Ed. (RPC 050, MC 0827N): course requirement changes and addition of areas of concentration. Replace EACS 5573 with 5693 and add EACS 6333 to the core requirements, reducing the foundation course requirements from six hours to three. The total number of hours required is unchanged at 36. Addition of four Areas of Concentration

include: Educational Administration, Curriculum and Supervision, Law and Policy, and Technology Leadership. Each area includes 18 hours of study in one of these four key areas within the graduate program.

Reason for requested action: Change in State requirements for Education Administration programs. Changes are based on leadership research for developing high achieving schools.

Addition of New Minor:

College of Arts and Sciences

Arabic (MC to be assigned): addition of new minor. The minor consists of 25 hours of coursework including 22 hours of Arabic and three hours of MLLL 3413, Arabic Literature and Culture.

Reason for requested action: All languages in Modern Languages, Literatures and Linguistics have a minor. This is necessary to support the Middle Eastern minor within the School of International and Area Studies.

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

COURSE CHANGES - NC

The Oklahoma State Regents for Higher Education confer upon each institution the authority to delete, modify and add courses. The course deletions, modifications and additions 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 forwarded to the Board of Regents for information only.

University of Oklahoma - Norman Campus
 Course Changes Approved by Academic Programs Council – October 9, 2002

COURSE DELETIONS

College of Engineering

C S	5033	Neural Networks
C S	5043	Fuzzy Logic
C S	5063	Computer Vision
C S	5273	Digital Image Processing

COURSE CHANGES

College of Arts and Sciences

ENGL	4583	Dryden, Swift, Pope, Johnson – change title to Major Authors in Eighteenth-Century British Literature
ENGL	4713	Poe, Hawthorne, and Melville – change title to Major Authors in Nineteenth-Century American Literature
ENGL	4723	Emerson, Thoreau, and Whitman – change title to Issues in Nineteenth-Century American Literature
GERM	3523	Advanced Conversation – change prerequisite
SOC	5283	Advanced Sociological Statistics – change title to Advanced Sociological Statistics I
SOC	5723	Seminar in the Sociology of the Family – change title to Sociology of the Family
SOC	5733	Seminar in Sex Roles – change title to Sociology of Gender
SOC	5913	Seminar in Applied Sociology – change title to Evaluation Research

SOC	5933	Seminar in Classical Sociological Theory – change title to Sociological Theory
SOC	5943	Gender and Power – change title to Inequality in a Global Perspective
SOC	6222	Advanced Multivariate Analysis – change number to 6243
SOC	6232	Advanced Qualitative Analysis – change number to 6253
SOC	6233	Seminar in Quantitative Methods – change title to Advanced Sociological Statistics II
SOC	6353	Special Topics in Social Ecology – change title to Special Topics in Demography
SOC	6373	Special Topics in Gender/Family – change title to Special Topics in the Family
SOC	6383	Seminar in Social Stratification – change number to 5383
SOC	6413	Seminar in Deviance and Social Control – change number to 5543
SOC	6823	Demographic Analysis – change number to 5823
SOC	6903	Seminar in Issues in Sociological Theory – change title to Issues in Sociological Theory
SOC	6913	Applied Organizational Analysis – change title to Public Service Internship

Price College of Business

MIS	5603	Advanced Database Management – change prerequisite
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College of Education

EACS	5593	The Principalship – change title to Principal Leadership
EACS	6033	Principles of Curriculum Development in Adult Education – change title to Advanced Curriculum Development
EACS	6213	Evaluation of Educational Institutions – change title to Policy Evaluation

College of Engineering

AME	3112	Solid Mechanics Lab – change prerequisite
AME	3143	Solid Mechanics I – change prerequisite
C E/E S	4114	Chemical Aspects of Environmental Science – add slashlisting with 5114
C E/E S	5114	Principles of Environmental Chemistry – change title to Chemical Aspects of Environmental Science
E S	4863	Environmental Impact Assessment – delete graduate credit
ECE	5033	Neural Networks – delete crosslisting
ECE	5043	Fuzzy Logic – delete crosslisting
ECE	5063	Computer Vision – delete crosslisting
ECE	5273	Digital Image Processing – delete crosslisting
TCOM	5123	Wireless Communication – add crosslisting with ECE

College of Fine Arts

DRAM	5111	Reading in Design Technology – change number to 5112
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Graduate College

GRAD	5990	Graduate Special Topics – increase maximum credit
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NEW COURSES

College of Arts and Sciences

CAS	5960	Directed Readings
SOC	5523	Criminology
SOC	5623	Race and Ethnicity
SOC	5833	Social Psychology
SOC	5863	Sociology of Law
SOC	6753	Historical and Comparative Sociology
SOC	6833	Seminar in Mortality
SOC	6843	Seminar in Fertility
SOC	6853	Seminar in Migration and Immigration

Price College of Business

MIS	5950	Special Topics
MIS	6960	Directed Readings in MIS
MIS	6980	Research for Doctoral Dissertation

College of Education

EACS	5363	Contemporary Curriculum Theorizing
EACS	5793	Technology Staff Development in Education
EACS	6663	Special Education Law

College of Engineering

AME	4253/5253	Implantable Devices
AME/CH E	5203	Bioengineering Principles
AME/CH E	5293	Transport in Biological Systems
E S	5863	Environmental Impact Assessment
ECE	5123	Wireless Communication

College of Geosciences

GEOL	1024	The History of the Earth and Life
GEOL	6233	Electron Microbeam Methods for the Earth and Materials Sciences

Graduate College

GRAD	6990	Graduate Advanced Special Topics
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This was reported for information only. No action was required

NAMING OF NEW WING TO FRED JONES JR. MUSEUM OF ART

RESOLUTION

WHEREAS, native Oklahoman Howard Lester, chairman of the board of San Francisco-based Williams-Sonoma Inc., and his wife, Mary, have committed a \$2.5 million gift to the University of Oklahoma Fred Jones Jr. Museum of Art's new wing, which will house the Weitzenhoffer Collection, the most important gift of French Impressionist ever given to a public university;

WHEREAS, the Lesters' gift was the largest of the private gifts to the museum addition, and was critical to the completion of the University's fund-raising campaign, which raised a total of \$7 million;

WHEREAS, Howard Lester, who was born and raised in Durant and finished high school in Altus, attended OU before embarking on a successful business career;

WHEREAS, he attained financial success in building and selling computer businesses;

WHEREAS, in 1976 he purchased Williams-Sonoma, which at that time consisted of four stores with \$4 million in annual sales, and oversaw the business's growth to the largest upscale home retail and mail order operation in the United States with 415 stores and annual sales of more than \$2.1 million;

WHEREAS, he served as chief executive officer of Williams-Sonoma from 1978 until February 2001, when he became chairman of the board;

WHEREAS, he continues to maintain close ties with Oklahoma, and was inducted into the Oklahoma Hall of Fame in 2001;

WHEREAS, he has been a major supporter of many charitable organizations and causes, including the M.D. Anderson Cancer Center and the First Tee Organization for Inner City Youth;

WHEREAS, he served on OU's Reach for Excellence National Campaign Committee and previously provided a major gift for the renovation of the Jimmie Austin OU Golf Course;

WHEREAS, Howard and Mary Lester's charitable endeavors and support of the University, in particular the couple's gift to the art museum, will ensure that Oklahomans – and art lovers everywhere – will have an opportunity to view the Weitzenhoffer Collection and all of OU's art collections;

NOW, THEREFORE, LET IT BE RESOLVED, that the new wing to the Fred Jones Jr. Museum of Art be named the "Mary and Howard Lester Wing."

President Boren recommended the Board of Regents approve the naming of the new wing to the Fred Jones Jr. Museum of Art, the Mary and Howard Lester Wing.

Regent Blankenship moved approval of the recommendation. The following voted yes on the motion: Regents Blankenship, Bentley, Everest, Clark and Stuart. The Chair declared the motion unanimously approved.

NAMING OF MULTI-PURPOSE RESEARCH FACILITY

RESOLUTION

WHEREAS, the recent \$6 million commitment from Vintage Petroleum chairman Charles Stephenson and his wife, Peggy – one of the largest gifts ever made to The University of Oklahoma from a Tulsa family – is making possible a cutting-edge interdisciplinary research facility on OU's new research campus;

WHEREAS, the \$27 million Multi-Purpose Research Facility will anchor OU's new University Research Campus; provide a unique cross-disciplinary environment for biologists and computer scientists, engineers and physicists, and other researchers who reach the highest level of achievement; stimulate economic development in Oklahoma, to one with higher-paying jobs based on research, high technology and intellectual property; add much-needed university research space; and benefit Oklahomans for years to come;

WHEREAS, Charles Stephenson, who earned his degree in petroleum engineering from OU in 1959, is one of the University's most distinguished alumni and valued advisers;

WHEREAS, he is a longtime member of the College of Engineering's Board of Visitors and currently serves on the board's executive committee and as a cabinet member for the College's \$100 million Campaign for Engineering, for which the couple's \$6 million gift is a lead gift;

WHEREAS, Charles Stephenson has served on the Board of Visitors of and the couple were founding donors to the Sarkeys Energy Center;

WHEREAS, Charles and Peggy Stephenson created an endowed chair in petroleum engineering and are founding members of OU's Seed Sower Society acknowledging donors to OU of \$1 million or more;

WHEREAS, in profound appreciation of their outstanding leadership, unwavering commitment, notable service and many contributions that have enhanced and will continue to enhance for years to come the quality of education and research at OU;

NOW, THEREFORE, LET IT BE RESOLVED, that the new interdisciplinary research facility on the University Research Campus be named the "Peggy and Charles Stephenson Research and Technology Center."

President Boren recommended the Board of Regents approve the naming of the Multi-purpose Research Facility, the Peggy and Charles Stephenson Research and Technology Center.

Regent Stuart moved approval of the recommendation. The following voted yes on the motion: Regents Blankenship, Bentley, Everest, Clark and Stuart. The Chair declared the motion unanimously approved.

NEPOTISM POLICY

Technical and substantive revisions have been made to the University's Nepotism Policy to clarify and strengthen the policy. The proposed policy provides an impartial method for obtaining waivers to the general prohibition against two persons being employed within the same budgetary unit who are related by consanguinity or affinity within the third degree. The policy has been reviewed and approved by the Health Sciences Center administration and the Norman Campus Faculty Senate. For convenience, a strikethrough and underlined version of the proposed changes to the current policy was also provided.

NEPOTISM POLICY

Except as prohibited by the laws of the State of Oklahoma, relationship by consanguinity (blood) or affinity (marriage) shall not, in itself, be a bar to appointment, employment, or advancement at the University of Oklahoma or, in the case of faculty members, to eligibility for tenure. The

University recognizes, however, that there is an inherent conflict of interest when an employee makes hiring, promotion, or salary decisions about a family member, although there may be extremely rare circumstances when the potential benefit to the University in having an employee supervise a family member outweighs the potential harm.

Therefore, no two persons who are related by consanguinity or affinity within the third degree shall be given positions in which either is directly responsible for making recommendations regarding employment, promotion, salary, or tenure for the other; nor shall either of two persons so related who hold positions in the same budgetary unit be appointed to an executive or administrative position in that unit or to a position involving administrative responsibility over it, as long as the other person remains in the unit, without first receiving a waiver that has been recommended by the Senior Vice President and Provost or the appropriate vice president and approved by the Board of Regents. In recommending the waiver, the Senior Vice President and Provost or the appropriate vice president must make a written statement of the facts that have led him/her to conclude that the benefit to the University in granting the waiver outweighs the potential harm. In addition, the Senior Vice President and Provost or the appropriate vice president must propose in writing a means by which a qualified, objective person, unrelated to the employee at issue, shall make performance evaluations and recommendations for compensation, promotion, and awards for that employee and state in writing how that means will avoid the conflict of interest. The statement and proposal for supervision shall be made part of the Regents agenda item. Further, a salary increase above the increase granted to all University employees in similar positions will not be granted to an employee who has been granted a waiver under this policy unless it has been approved by the applicable Provost and Senior Vice President or appropriate vice president and the President of the University. In the case where this policy is made applicable by a related party being elected to Committee A of an academic unit, approval of the Board of Regents is not required; however, all other provisions of this policy will continue to apply.

It is the responsibility of the head of the budget unit to seek a waiver before offering employment to any person whose employment without a waiver would violate this policy, and the willful failure to follow this policy may result in disciplinary action against the head of the budget unit. Notwithstanding any other provision of this policy, a conditional hire, prior to approval of the Board of Regents, may be made pursuant to this policy if deemed necessary for legitimate academic or business reasons if justified in writing by the appropriate vice president. At the next regular meeting of the Board of Regents, the written justification and the conditional hire will be considered by the Board of Regents.

Relatives within the third degree of relationship to an employee by consanguinity or affinity include the following: spouse; parent; parent of spouse; grandparent; grandparent of spouse; great-grandparent; great grandparent of spouse; uncle or aunt; uncle or aunt of spouse; brother or sister; brother or sister of spouse; son or daughter; son-in-law or daughter-in-law; grandson or granddaughter; grandson or granddaughter's spouse; great grandson or great granddaughter; and great grandson's or great granddaughter's spouse. For purposes of this policy, step and half relatives are considered to be related by affinity.

President Boren recommended the Board of Regents approve the Nepotism Policy as shown above.

Regent Stuart moved approval of the recommendation. The following voted yes on the motion: Regents Blankenship, Bentley, Everest, Clark and Stuart. The Chair declared the motion unanimously approved.

COMPLIANCE AND QUALITY IMPROVEMENT PROGRAM

The Board originally adopted the Program at its January 2002 meeting. At that time it was recognized that it would be beneficial to solicit additional input on the Program from faculty and staff. Since the adoption of the Program, the Director of Compliance has met with numerous members of the faculty and staff to solicit their comments and advice regarding the Program, including an ad hoc committee formed by the Norman Campus Faculty Senate for the purpose of reviewing the Program. The ad hoc committee included representatives from the Health Sciences Center (the Chair of its Faculty Senate, among others) and Tulsa. Pursuant to these meetings, proposed revisions have been made to the Program that are indicated in the marked copy of the Program attached hereto as Exhibit J. These revisions have been presented to the Health Sciences Center's Faculty Senate for information and have been approved by the Norman Campus Faculty Senate. The more significant changes include the following:

- More specificity is provided regarding the standards of conduct for research and environmental and radiation safety, and some of the unnecessary language regarding health care activities has been deleted to make the Program more balanced.
- Language focusing on training and education has been included to eliminate any perception that punitive action is the first priority.
- Goals of the Program have been restated to clarify that the emphasis is on assisting faculty.
- Language has been added to clarify that hotline is intended for areas covered by Program. The Hotline message has been revised.
- The exit interview provision has been deleted as it is believed to be too labor-intensive for the benefit derived.

President Boren recommended the Board of Regents approve the revisions to the Compliance and Quality Improvement Program (the "Program") indicated in the marked copy supplied to the Board of Regents.

Regent Clark moved approval of the recommendation. The following voted yes on the motion: Regents Blankenship, Bentley, Everest, Clark and Stuart. The Chair declared the motion unanimously approved.

HOLMBERG HALL RENOVATION AND ADDITION - NC

In August 2001, a \$12,275,000 grant from the Reynolds Foundation for the Holmberg Hall Renovation and Addition project was announced. Subsequently, a Construction Grant Agreement between the University of Oklahoma Foundation, Inc. and the Donald W. Reynolds Foundation was executed. The Reynolds Foundation indicated a strong preference for utilization of the construction management project approach. In September 2001, the permission of the Director of the Department of Central Services to utilize construction administration at-risk services for the project was granted, and the process to select a construction management firm commenced. At the December 2001 meeting, the Board of Regents ranked construction management firms for the Holmberg Hall Renovation and Addition project and authorized the administration to negotiate pre-construction phase construction management services and establish a guaranteed maximum price for construction. The Agreement for At-Risk Construction Management Services between the University and Flintco, Inc., the highest-ranked firm, was negotiated and executed.

The design development phase plans for the project were approved by the Board at the September 2002 meeting. Since that time, preparation of the construction documents by the project architects, Hardy Holzman Pfeiffer Associates, with the continuing assistance of the CM, has proceeded. Based on a detailed analysis of the approximately 75% complete construction documents, the CM proposes a guaranteed maximum price for construction of \$13,630,000. This price includes the cost of the work, the cost of direct project management services, and the construction manager's fee. It is recommended that this proposal be accepted and approved by the Board of Regents.

Upon acceptance of the guaranteed maximum price, the CM will begin preparation of bid packages for construction components and the solicitation of bids. Demolition and asbestos abatement started in September, and general construction is scheduled to begin in January 2003. Substantial completion of the project is expected to occur in September 2004.

Funding for this project, with an estimated total cost of \$17,900,000, will be provided from a \$12.275 million Reynolds Foundation grant, \$1.15 million in existing Oklahoma Development Finance Authority revenue bonds, and \$4.475 million from new revenue bonds to be retired with annual Section 13 and New College Fund allocations or other legally available resources.

President Boren recommended the Board of Regents approve the guaranteed maximum price of \$13,630,000 for construction of the Holmberg Hall Renovation and Addition project, as developed and proposed by the Construction Manager (CM), Flintco, Inc.

Regent Stuart moved approval of the recommendation. The following voted yes on the motion: Regents Blankenship, Bentley, Everest, Clark and Stuart. The Chair declared the motion unanimously approved.

FURNITURE FOR NEW CONSTRUCTION AT THE GAYLORD FAMILY-OKLAHOMA MEMORIAL STADIUM – NC

In connection with new construction proceeding on the north end of the Gaylord Family-Oklahoma Memorial Stadium, furniture is needed to complete the presentation and use of the space.

In response to a competitive solicitation, the following companies responded:

Company	Location
Corporate Interiors, Inc.	Plano, TX
Interiors 4 Business	Oklahoma City
Scott Rice	Oklahoma City

The evaluation committee comprised the following individuals:

Jeff Long, Senior Associate Director, Athletics
 Vicki Ferguson, Purchasing/Procurement Specialist I, Athletics
 Pamela S. Wallace, Head of Exhibits and Evaluation,
 Sam Noble Museum of Natural History
 Mark Keesee, Senior Buyer, Purchasing Department
 Pat Corley, Manager, Facilities Purchasing, Purchasing Department

Evaluation criteria were compliance with specifications and price. Evaluation results are summarized in the following table.

	Compliance with Specifications	Price
Corporate Interiors, Inc., Plano, TX	Yes	\$469,429.43
Interiors 4 Business, Oklahoma City, OK	Yes	\$511,965.50
Scott Rice, Oklahoma City, OK	No	\$418,776.79

The evaluation committee rated Corporate Interiors, Inc. of Plano, TX as representing best value. Although Scott Rice offered a lower bid for price, it was based on alternate furniture offerings that were not acceptable to the Athletic Department.

Funds for the acquisition are available in the budget of the Oklahoma Memorial Stadium Expansion and Improvements project.

President Boren recommended the Board of Regents authorize the President or his designee to award a purchase order in an amount not to exceed \$475,000 to Corporate Interiors, Inc. of Plano, Texas, the lowest acceptable bidder, for furniture in connection with new construction at the north end of the Gaylord Family-Oklahoma Memorial Stadium.

Regent Blankenship moved approval of the recommendation. The following voted yes on the motion: Regents Blankenship, Bentley, Everest, Clark and Stuart. The Chair declared the motion unanimously approved.

CONSULTING SERVICES FOR EMPLOYEE BENEFIT PLANS

To ensure the University continues to provide competitive employee benefits at reasonable and prudent costs, consulting services are needed to analyze existing programs, develop recommendations for program adjustments, assist in preparing requests for proposals, assist in analyzing and evaluating proposals, and assist in negotiating prices and terms and conditions.

In response to a competitive solicitation, the following companies responded:

Company	Location
Benefit Partners, Inc.	Dallas, Texas
Ernst & Young	Dallas, Texas
Marsh, Inc.	Oklahoma City
Wm M. Mercer	Dallas, Texas
The Quarles Group	Tulsa

The evaluation committee comprised the following individuals:

Julius Hilburn, Director of Human Resources
 Nick Kelly, Manager of Benefits, Human Resources
 Fred Daniel, Assistant Director, Human Resources
 David Carnavale, Associate Professor, Human Relations
 Steve Smith, Assistant Director of Purchasing

Evaluation criteria were qualifications, price, and demonstrated understanding and competence. The committee is in the process of reviewing and evaluating the proposals and presentations. Alternatives regarding the scope of work are being considered very thoroughly. Contract awards must be made prior to the Board's meeting in January 2003, but time was insufficient to complete the entire competitive process prior to the December 2002 meeting. Accordingly, authorization is requested at this time to complete the process, make the awards timely, and report the results to the Board at the next earliest possible meeting, which will likely be the January 2003 meeting.

Funds are available in the budget of the Human Resources Department.

President Boren recommended the Board of Regents authorize the President or his designee to compete, negotiate, and award a contract in an amount not to exceed \$225,000 annually, for consulting services for employee benefit plans, for the year beginning January 1, 2003, with option to renew for four additional one-year periods, and report the results to the Board at the next earliest possible meeting.

Regent Stuart moved approval of the recommendation. The following voted yes on the motion: Regents Blankenship, Bentley, Everest, Clark and Stuart. The Chair declared the motion unanimously approved.

NAMING OF THE OU FIELD HOUSE

RESOLUTION

WHEREAS, T. Howard McCasland (1895-1979) who was born near Duncan, Indian Territory, was an outstanding 1916 graduate of the University of Oklahoma, where he excelled in both academics and athletics.

WHEREAS, he was one of OU's most distinguished graduates and honored benefactors, who received OU's Distinguished Service Citation, was inducted into the Oklahoma Hall of Fame and, in 1972, was named Outstanding Oklahoma Oil Man.

WHEREAS, he played a pivotal role in OU's development as an alumni leader, serving as a Trustee of The University of Oklahoma Foundation from 1949 to 1973 and chairman of the Board of Trustees from 1958 to 1966, and as a leader in the first University-wide private gifts campaign in 1961, the Plan for Excellence.

WHEREAS, he was committed to his hometown of Duncan and Oklahoma and, through the McCasland Foundation, contributed to churches, orphanages, libraries, hospitals, parks, and educational and recreational programs.

WHEREAS, at OU, his special interest became faculty support, and he provided salary supplements for several outstanding professors, formally endowing the fund in 1975.

WHEREAS, this tradition of support for OU is continued by Howard and Vivian McCasland's children, both of whom are OU graduates -- Mary Frances Maurer Michaelis and T.H. McCasland Jr. -- and on into the next generations of their families.

WHEREAS, in addition to a recent \$1 million commitment to the Great Expectations: Campaign for Sooner Sports, the McCasland Foundation also committed \$500,000 to the Fred Jones Jr. Museum of Art addition and has provided longstanding and major support that has enriched

OU's academic, cultural and athletic resources, including endowed faculty positions, the Presidential Professorships Program, the Sam Noble Oklahoma Museum of Natural History, and OU Libraries.

WHEREAS, in profound appreciation of the McCasland Family and McCasland Foundation's outstanding leadership, unwavering commitment and service and their many contributions that will continue to enhance the quality of education and community life at OU for generations to come.

NOW, THEREFORE, LET IT BE RESOLVED, that the OU Field House be named the "Howard McCasland Field House" in honor of a great Oklahoman and OU alumnus.

President Boren recommended the Board of Regents approve the naming of the University of Oklahoma Field House, the Howard McCasland Field House.

Regent Everest moved approval of the recommendation. The following voted yes on the motion: Regents Blankenship, Bentley, Everest, Clark and Stuart. The Chair declared the motion unanimously approved.

TELEVISION AND SATELLITE STUDIO UPGRADE - NC

The Television and Satellite Services Department within the College of Continuing Education is currently using television cameras that are more than 14 years old. Sony has discontinued supporting the maintenance for them. Additionally, the existing analog technology is outdated and prevents the studio from offering high-quality digital programming. To provide students, faculty and staff with acceptable production capabilities, the department needs to upgrade certain technical equipment.

The acquisition in question is being accomplished without competition because the cameras specified must be compatible with other Sony equipment currently existing in the studio, and because the cameras specified are available only from Sony Corporation and not through its network of distributors. The department's cost value investment in the existing equipment is approximately \$525,000. To test pricing, the Purchasing department gathered quotes from the market place on equipment that is considered comparable. The price is judged to be fair and reasonable.

Funding for the upgrade is available within the Television and Satellite Services Department budget.

President Boren recommended the Board of Regents authorize the President or his designee to award a purchase order in the amount of \$177,935.00, to Sony Corporation Professional Sales Co. of Irving, TX as the sole source, for the upgrade of the Television and Satellite Studio at the Norman Campus.

Regent Blankenship moved approval of the recommendation. The following voted yes on the motion: Regents Blankenship, Bentley, Everest, Clark and Stuart. The Chair declared the motion unanimously approved.

UNIVERSITY RESEARCH CAMPUS-SOUTH INFRASTRUCTURE, CENTRAL CHILLED WATER AND ELECTRICAL PLANT – NC

Infrastructure improvements are underway at the University Research Campus-South for development of a modern and comprehensive research park. To support the utility needs of the National Weather Center and the Multipurpose Research and Technology Facility, as well as other future facilities to be located in this area, a central chilled water and electrical plant will be constructed at the southeast corner of Preble Street and Congress Avenue. The design development phase plans for the plant were approved by the Board of Regents at the October 2002 meeting.

The central chilled water and electrical plant will operate two 1,000-ton centrifugal chillers and two 250-ton chillers. The chillers will include refrigerant monitors and refrigerant recovery systems. Specifications and performance requirements for these four chillers were prepared by the consulting engineering firm of ZRHD, P.C., engineer of record for the central plant project.

In response to a competitive solicitation, the following companies responded:

Company	Location
The Trane Company	Oklahoma City
R. B. Akins	Oklahoma City
Carrier Corporation	Bethany

ZRHD reviewed each of the chiller proposals for conformance to the specifications and performance requirements and prepared a 20-year-life-cycle cost analysis using simple payback. The results of the consultant review and analysis were presented to the evaluation committee. The evaluation committee comprised the following individuals:

Brent Everett, Staff Engineer, Architectural and Engineering Services
 Scott Davis, Power Plant Manager, Physical Plant
 Don Carter, General Manager of Engineering, Physical Plant
 Eddie Huebsch, Analyst, Information Technology
 Pam Morris, Buyer, Purchasing

The evaluation committee established and utilized the following criteria: (1) compliance with the specifications, (2) installed cost, (3) life cycle cost, and (4) operating issues and reliability. The evaluation committee rated The Trane Company of Oklahoma City as representing best value. Evaluation results are summarized in the following table.

	Compliance with Specifications	Installed Cost	Life Cycle Cost (20 year)	Operating Issues and Reliability	Overall
The Trane Company	59	76	200	118	453
Carrier Corporation	69	77	177	108	431
R. B. Akins (York)	65	90	125	55	335

Funding for construction of the central plant, including this purchase of four chiller units, is included in the National Weather Center and the Multipurpose Research and Technology Facility project budgets.

President Boren recommended the Board of Regents authorize the President or his designee to award a purchase order in an amount not to exceed \$675,000 to The Trane Company of Oklahoma City for the acquisition of four chiller units, for the University Research Campus-South Central Chilled Water and Electrical Plant.

Regent Everest moved approval of the recommendation. The following voted yes on the motion: Regents Blankenship, Bentley, Everest, Clark and Stuart. The Chair declared the motion unanimously approved.

POST-SEASON ATHLETIC CONTEST

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 Everest moved approval of the recommendation. The following voted yes on the motion: Regents Blankenship, Bentley, Everest, Clark and Stuart. The Chair declared the motion unanimously approved.

ON-CALL ARCHITECTS AND ENGINEERS QUARTERLY REPORT

In June 1999, the Board authorized a group of architectural and engineering firms to provide professional services required for small projects; and in July 2001, twelve additional architectural firms and seven additional civil engineering and surveying firms were added to the pool of on-call consultants. The work completed during the first quarter of Fiscal Year 2003 by on-call architectural and engineering firms is summarized below.

For the Norman Campus:

<u>Firm Name</u>	<u>Date Initiated</u>	<u>Work Performed</u>	<u>Fee</u>
Glover-Smith-Bode, Inc. Oklahoma City	March 12, 2002	Design and Construction Documents (Law Center Courtroom and Classroom Remodel)	\$24,690

December 2-3, 2002			28381
Kirkpatrick, Forest Curtis, Inc. (formerly Kirkpatrick Engineering Company) Oklahoma City	November 7, 2001	Inspection and Recommendations (Okla. Memorial Union Roof Panels)	\$1,959
Miles Associates, Inc. Oklahoma City	June 22, 2001	Design and Construction Documents (Carnegie Building East Entry)	\$20,000
Carter & Burgess, Inc. Oklahoma City	July 9, 2002	Topographic Survey (URC-South Central Chilled Water and Electrical Plant)	\$10,000
Cornerstone Surveying Services, Inc. Norman	November 20, 2001	Civil Engineering Design (Okla. Memorial Union Drainage Improvements)	\$4,955
Determan Scheirman Consulting Engineers Oklahoma City	February 8, 2002	Design and Project Specifications (Okla. Memorial AHU and Air Distribution System)	\$7,500

For the Health Sciences Center Campus:

None

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

ON-CALL CONSTRUCTION-RELATED SERVICES QUARTERLY REPORT

In December 2000, the Board of Regents authorized the administration to award a contract for on-call construction-related services for the Norman, Health Sciences Center and Tulsa campuses to Warden Construction of Stillwater, Oklahoma. It was indicated that the administration would provide a quarterly report to the Board for all work completed for the three campuses. In addition, it was indicated that the administration would seek prior Board approval for any project that had an estimated cost of \$125,000 or greater.

Work completed during the first quarter of Fiscal Year 2002/03 by Warden Construction is summarized below.

For the Norman Campus:

<u>Building/Location</u>	<u>Project Description</u>	<u>Cost of Work</u>
2750 Venture Boulevard	General remodel of interior spaces	\$61,450
Wilkinson House, Jones House and Jefferson House	Install new carpet and cove base in all rooms, hallways and lounges	\$55,918
Sarkeys Energy Center	Install tertiary pump and heat exchanger	\$88,167
Couch Center	Replace carpet in various hallways	\$ 3,455

December 2-3, 2002

28382

Walker Center	Replace carpet in various hallways	\$37,135
North Campus Mesonet Site	Construct new roadway and concrete vault	\$38,577
McCarter Hall	Replace carpet on 3rd, 4th and 5th floor	\$14,686
Chemistry Building	Remodel room 106	\$15,042
Copeland Hall	Remodel rooms 101 and 149	\$10,738
Walker Center	Replace carpet in various rooms on the 2nd, 3rd, 7th and 9th floors	\$ 9,140
Cate Center Dorm 1	Replace carpet in rooms 44 and 46	\$ 1,428
Cate Center Dorm 2	Replace carpet in room 47	\$ 759
Cate Center Dorm 4	Replace carpet on 3rd and 4th floors	\$ 4,157
Adams Center	Replace carpet in various rooms in Johnson and Muldrow towers	\$ 6,598
Couch Center	Replace carpet in various rooms on the 4th, 6th, 10th and 12th floors	\$ 5,935
Cross Center Dorm C	Replace carpet in rooms 107, 124, 127 and 438	\$ 2,348
Cate Cafeteria	Replace carpet in office area	\$ 2,134
Boyd House	Install new floor covering in the basement	\$ 4,198
Gould Hall	Install new carpet in room G27	\$ 827
Collums Commissary	Remodel room 144	\$14,465
Yorkshire Apartments	Remove and replace section of concrete floor in support of a plumbing repair	\$ 799
Physical Sciences Center	Install new carpet in rooms 511-520	\$ 4,325
<u>For the Health Sciences Center:</u>		
Stanton L. Young Walk	Relocate water line from beneath fountain	\$65,910
Basic Sciences Education Building	Renovate Labs 329-331A	\$64,876
Stanton L. Young Walk Williams Pavilion Dedication Plaza	Installation of cobblestone sidewalk	\$13,571

Stanton L. Young Walk

Replace two cast stones

\$ 9,317

For the Tulsa Campus:

No activity for First Quarter of FY 2002/03.

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

QUARTERLY FINANCIAL ANALYSIS

By request of the Board of Regents, the Quarterly Financial Analysis for the three months ended September 30, 2002 is attached hereto as Exhibit K. The detailed information upon which the attached Executive Summary is based was distributed separately to the Regents prior to the December meeting.

QUARTERLY FINANCIAL ANALYSIS
for the three months ended September 30, 2002
EXECUTIVE SUMMARY

Highlights from the Quarterly Financial Analysis (QFA) for the three months ended September 30, 2002 are presented below for information only. For more detailed information, see the QFA report that was distributed separately to the Regents prior to the December meeting.

ALL FUNDS, COMBINED

- Available resources of \$340.6 million exceeded expenditures of \$313.2 million, resulting in a net increase of \$27.4 million.

NORMAN CAMPUS

- Total available resources of \$158.5 million exceeded expenditures of \$145.0 million, resulting in a net increase of \$13.5 million.
- Education and General resources of \$91.4 million exceeded expenditures of \$68.6 million, resulting in a net increase of \$22.8 million.
- Of the thirteen major auxiliary enterprises and services units (those generating year-to-date revenues of \$500,000 or more), nine are reporting net increases to the bottom line. The four reporting decreases have accumulated sufficient reserves to fund their respective losses or entered into working capital loan agreements with the University to do so. The losses are primarily due to normal (i.e., seasonal) sales fluctuation patterns.

HEALTH SCIENCES CENTER

- Total available resources of \$182.1 million exceeded expenditures of \$168.2 million, resulting in a net increase of \$13.9 million.
- Education and General resources of \$35.8 million exceeded expenditures of \$30.8 million, resulting in a net increase of \$5 million.
- Of the five major auxiliary enterprises and service units (those generating year-to-date revenues of \$500,000 or more) four are reporting net increases to the bottom line. The one unit reporting a decrease has accumulated sufficient reserves to fund their loss.

- Professional Practice Plan (PPP) resources of \$46.8 million exceeded expenditures of \$44.0 million, resulting in a net increase of \$2.8 million.
- Heartland Health Plan resources of \$56.1 million trailed expenditures of \$57.1 million, resulting in a net decrease of \$1.0 million.
-

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

QUARTERLY REPORT OF PURCHASES

The Board of Regents' policy governing acquisition of goods and services states that:

- I. Purchases over \$125,000 must be referred to the Board for approval (except as provided below in II.B.), and
- II. The following are to be provided quarterly to the Board as an information item.
 - A. Purchase obligations from \$75,000 and \$125,000,
 - B. Acquisition of goods and services pursuant to and funded by sponsored grants and contracts between the amounts of \$125,000 and \$300,000, and
- III. Sole source procurements in excess of \$35,000.

Said quarterly report is attached hereto as Exhibit L.

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

REGENTS' FUND QUARTERLY FINANCIAL REPORT

This summary report is provided in accordance with University of Oklahoma Board of Regents policy. The summary highlights all of the financial activity within the Regents' Fund since the June 30, 2002 report. Detailed charts and information are attached hereto as Exhibit M.

REGENTS' FUND
QUARTERLY FINANCIAL REPORT
September 30, 2002
EXECUTIVE SUMMARY

Highlights from the Regents' Fund Quarterly Financial Report for the three months ended September 30, 2002 are presented below for information only.

ALL FUNDS

- As of September 30, 2002, the Regents' Fund consisted of 146 individual funds with a combined net market value of approximately \$51.4 million.

CONSOLIDATED INVESTMENT FUND (CIF OR ENDOWED FUNDS)

- Cash and investments held by the CIF at September 30, 2002, had a net market value of \$36.5 million, which is down \$3.2 million (8.1%) from June 30, 2002.
- During the quarter ended September 30, 2002, the CIF realized a total return of -9.8%, trailing the benchmark return of -9.2%.
- During the year ended September 30, 2002, the CIF realized a total return of -6.2%, which exceeded the benchmark return of -7.9% by 170 basis points.

SHORT-TERM INVESTMENT FUND (STIF OR NON-ENDOWED FUNDS)

- Cash and investments held by the STIF at September 30, 2002, had a net market value of \$12.6 million, which was up \$1.9 million (17.5%) from June 30, 2002. This increase was due primarily to the receipt of new gifts and the collection of Athletic Department priority seating funds.
- During the quarter ended September 30, 2002, the STIF realized a total return of 0.5%, which exceeded the benchmark return of 0.4%.
- During the year ended September 30, 2002, the STIF realized a total return of 2.3%, which exceeded the benchmark return of 1.7% by 60 basis points.

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

ACADEMIC PERSONNEL ACTIONS - NC & HSCHealth Sciences Center:

LEAVES OF ABSENCE:

Adler, Jill, Clinical Instructor in Pediatrics, medical leave of absence with pay, July 25, 2002 through December 31, 2002.

Alleman, Anthony M., Assistant Professor of Otorhinolaryngology, medical leave of absence without pay extended, October 1, 2002 through October 14, 2002.

Haynie, Mary E., Assistant Professor of Internal Medicine, Tulsa, medical leave of absence with pay, September 16, 2002 through November 11, 2002.

Levine, Norman S., Professor of Surgery, Chief, Section of Plastic Surgery, and Adjunct Professor of Dermatology, medical leave of absence with pay, August 20, 2002 through November 1, 2002.

REAPPOINTMENTS:

Elkins, Ronald C., M.D. Professor Emeritus of Surgery, annualized rate of \$12,500 for 12 months (\$1,041.67 per month), 0.15 time, September 1, 2002 through June 30, 2003.

Epstein, Robert Bernard, M.D., Professor Emeritus of Medicine, annualized rate of \$34,668 for 12 months (\$2,889.00 per month), 0.37 time, November 1, 2002 through June 30, 2003.

Lenaerts, Marc Eugene, M.D., Assistant Professor of Neurology, annualized rate of \$55,000 for 12 months (\$4,583.33 per month), September 19, 2002 through June 30, 2003. Consecutive term appointment.

NEW APPOINTMENTS:

Bartoli, Heather Anne, Clinical Instructor in Family and Preventive Medicine, annualized rate of \$60,000 for 12 months (\$5,000.00 per month), October 1, 2002 through June 30, 2003.

Hoover, Penny L., M.D., Clinical Assistant Professor of Family and Preventive Medicine, annualized rate of \$15,000 for 12 months (\$1,250.00 per month), 0.25 time, October 1, 2002 through June 30, 2003.

Kalapura, Thomachan, M.D., Assistant Professor of Medicine, annualized rate of \$70,000 for 12 months (\$5,833.33 per month), October 8, 2002 through June 30, 2003. New consecutive term appointment.

Perkins, Patricia Ann, Clinical Instructor in Neurology, annualized rate of \$75,000 for 12 months (\$6,250.00 per month), January 1, 2003 through June 30, 2003.

Sadanandan, Priya, M.D., Assistant Professor of Medicine, annualized rate of \$60,000 for 12 months (\$5,000.00 per month), October 2, 2002 through June 30, 2003. New consecutive term appointment.

Tawk, Maroun M., M.D., Assistant Professor of Medicine, annualized rate of \$60,000 for 12 months (\$5,000.00 per month), October 1, 2002 through June 30, 2003. New consecutive term appointment.

Tfayli, Arafat Hussein, M.D., Assistant Professor of Medicine, annualized rate of \$60,000 for 12 months (\$5,000.00 per month), September 13, 2002 through June 30, 2003. New consecutive term appointment.

CHANGES:

Ahluwalia, Bhagwat D., title changed from Clinical Associate Professor to Professor Emeritus of Radiological Sciences, October 1, 2002.

Barranco, Vincent P., Clinical Professor of Family Medicine, Tulsa and Clinical Professor and Vice Head, Department of Dermatology, Tulsa; salary changed from without remuneration to annualized rate of \$12,000 for 12 months (\$1,000.00 per month), 0.10 time, November 1, 2002 through June 30, 2003.

Brandt, Edward Newman, Jr., Regents' Professor, Health Administration and Policy, College of Public Health, Clinical Professor of Medicine, Adjunct Professor of Biostatistics and Epidemiology, Adjunct Professor of Family and Preventive Medicine, Director of the Center for Health Policy Research and Development, College of Public Health, and Adjunct Professor of Psychiatry and Behavioral Sciences; title Chair of Health Administration and Policy deleted; salary changed from annualized rate of \$170,000 for 12 months (\$14,166.67 per month) to annualized rate of \$164,000 for 12 months (\$13,666.67 per month), October 1, 2002 through June 30, 2003. Removal of \$6,000 administrative supplement for serving as department chair.

Buckner, Carl, Dean, Professor of Pharmaceutical Sciences, title Dean, College of Pharmacy, deleted; November 13, 2002.

Candler, Christopher S., title changed from Assistant Dean for Curriculum Development, College of Medicine, to Associate Dean for Education, College of Medicine; retains titles Assistant Professor of Medicine and Director, Office of Educational Development and Support, College of Medicine, November 1, 2002.

Copeland, Kenneth, Professor and Vice Chair of Pediatrics and The Paul and Ruth Jonas Chair in Diabetes, salary changed from annualized rate of \$92,700 for 12 months (\$7,725.00 per month) to annualized rate of \$182,700 for 12 months (\$15,225.00 per month), October 1, 2002 through June 30, 2003. Change due to College of Medicine Compensation Plan. Tenurable base salary \$92,700.

Cox, Mark R., Assistant Professor of Research, Department of Occupational and Environmental Health, salary changed from annualized rate of \$41,000 for 12 months (\$3,416.67 per month), 0.62 time, to annualized rate of \$33,065 for 12 months (\$2,755.41 per month), 0.50 time, October 1, 2002 through June 30, 2003. Change in FTE.

Criswell, Dan F., Assistant Professor of Family and Preventive Medicine, given additional title Interim Program Director, Lawton Residency Program, November 1, 2002.

Evans, Kenneth Leon, title changed from Associate Professor to Clinical Associate Professor of Family and Preventive Medicine, salary changed from annualized rate of \$105,080 for 12 months (\$8,756.66 per month) to annualized rate of \$52,542 for 12 months (\$4,378.33 per month), 0.50 time, November 1, 2002 through June 30, 2003.

Gregory, Mark E., Clinical Associate Professor of Family and Preventive Medicine, salary changed from annualized rate of \$19,200 for 12 months (\$1,600.00 per month), 0.18 time, to annualized rate of \$14,400 for 12 months (\$1,200.00 per month), 0.14 time, October 1, 2002 through June 30, 2003. Change in FTE.

Hall, Nancy K., title changed from Associate Dean for Admissions and Medical Education, College of Medicine, to Associate Dean for Academic Affairs, College of Medicine; retains titles Professor of Pathology, Adjunct Professor of Dermatology, Adjunct Associate Professor of Microbiology and Immunology, Adjunct Associate Professor of Allied Health Sciences, Adjunct Associate Professor of Pharmacy, Adjunct Associate Professor of Dentistry, November 1, 2002.

Hedlund, Rodd E., Clinical Instructor in Pediatrics, title Adjunct Assistant Professor of Rehabilitation Sciences deleted, September 10, 2002.

Humphrey, George Bennett, Clinical Professor of Pediatrics, Tulsa, salary changed from without remuneration to annualized rate of \$42,000 for 12 months (\$3,500.00 per month), 0.30 time, December 1, 2002 through June 30, 2003.

Kamble, Rammurti T., Assistant Professor of Medicine, salary changed from annualized rate of \$97,800 for 12 months (\$8,150.00 per month) to annualized rate of \$60,000 for 12 months (\$5,000.00 per month), July 1, 2002 through June 30, 2003. Department error. Correction to base salary.

Kling, O. Ray, title changed from Vice Provost for Academic Affairs and Dean of the Graduate College to Associate Dean for Academic Affairs, College of Public Health; retains titles of Professor of Obstetrics and Gynecology, Adjunct Professor of Psychiatry and Behavioral Sciences, Adjunct Professor of Zoology, and Adjunct Associate Professor of Physiology; salary changed from annualized rate of \$124,152 for 12 months (\$10,346.00 per month) to annualized rate of \$116,152 for 12 months (\$9,679.34 per month), January 1, 2003 through June 30, 2003. Changing primary appointment. Removal of \$8,000 administrative supplement for serving as Vice Provost for Academic Affairs.

Robertson, Madeline Jane, Associate Professor of Health Administration and Policy, given additional titles Adjunct Associate Professor of Psychiatry and Behavioral Sciences and Adjunct Associate Professor of Family and Preventive Medicine, October 1, 2002.

Smith, Kevin Stewart, Clinical Associate Professor of Oral and Maxillofacial Surgery, College of Dentistry, Adjunct Associate Professor of Surgery, and Adjunct Associate Professor of Communication Sciences and Disorders, title changed from Associate Program Director to Program Director of Oral and Maxillofacial Surgery Residency Program, College of Dentistry, salary changed from annualized rate of \$51,776 for 12 months (\$4,314.67 per month), 0.75 time, to annualized rate of \$77,210 for 12 months (\$6,424.16 per month), 0.80 per month, October 1, 2002 through June 30, 2003. Includes an administrative supplement of \$21,982 for additional responsibilities as Program Director of the Oral and Maxillofacial Surgery Residency Program.

Voth, Douglas Wade, Professor of Medicine, title Director of Development deleted, given additional titles Interim Dean, College of Pharmacy, and Professor of Pharmacy Clinical and Administrative Sciences; salary changed from annualized rate of \$120,000 for 12 months (\$10,000.00 per month) to annualized rate of \$150,000 for 12 months (\$12,500.00 per month), November 13, 2002 through June 30, 2003. Includes an administrative supplement of \$30,000 while serving as Interim Dean.

RESIGNATIONS AND/OR TERMINATIONS:

Alleman, Anthony M., Assistant Professor of Otorhinolaryngology, October 15, 2002.

Allen, Christine, Clinical Instructor in Pediatrics, June 30, 2002.

Holmberg, Barbara J., Instructor in Obstetrics and Gynecology, October 31, 2002 (with accrued vacation through December 4, 2002).

Khammar, George S., Assistant Professor of Medicine, September 21, 2002 (with accrued vacation through November 6, 2002).

Little, Sharon, Clinical Assistant Professor of Family Medicine, Tulsa, August 28, 2002.

RETIREMENTS:

Elkins, Ronald C., Clinical Professor of Surgery, July 1, 2002; named Professor Emeritus of Surgery. Approval of Emeritus title only. Retirement previously approved June 28, 2002.

Gray, Barry A., Professor of Medicine, July 1, 2002; named Professor Emeritus of Medicine. Approval of Emeritus title only. Retirement previously approved September 11, 2002.

Haglund, Roger V., Clinical Professor and Vice Chair of Urology, Tulsa, September 1, 2002; named Clinical Professor Emeritus of Urology, Tulsa. Approval of Emeritus title only.

Norman Campus:

LEAVES OF ABSENCE:

Cifelli, Richard L., Professor of Zoology and Curator, Samuel Noble Oklahoma Museum of Natural History, extended sick leave of absence, October 18, 2002 through January 17, 2003.

Milhouse, Virginia H., Associate Professor of Human Relations, extended sick leave of absence extended October 1, 2002 through November 30, 2002.

NEW APPOINTMENTS:

Friday, Elbert W., Ph.D., Professor of Meteorology, WeatherNews Chair in Applied Meteorology, and Director of the Sasaki Applied Meteorology Research Institute, annualized rate of \$55,000 for 12 months (\$4,583.33 per month), 0.49 time, November 1, 2002 through October 31, 2003. One-year renewable term appointment.

Oliver, Dean S., Ph.D., Professor, Eberly Family Chair in Petroleum and Geological Engineering and Director of the Mewbourne School of Petroleum and Geological Engineering, annualized rate of \$145,000 for 12 months (\$12,083.33 per month), December 1, 2002 through June 30, 2003. New academic administrator. Tenure credentials under review.

Thai, Joseph T., Associate Professor of Law, annualized rate of \$70,000 for 9 months (\$7,777.78 per month), August 16, 2003 through May 15, 2004. New tenure-track faculty.

CHANGES:

Bauman, Jr., William C., Associate Professor of Architecture, salary temporarily changed from annualized rate of \$52,368 for 9 months (\$5,818.67 per month) to annualized rate of \$56,368 for 9 months (\$6,263.11 per month), August 16, 2002 through May 15, 2003. \$4,000 one-time merit stipend.

Rogers, Michael R., Professor of Music, given additional title Kenneth and Bernadine Russell Professor of Music Theory, salary changed from annualized rate of \$61,256 for 9 months (\$6,806.22 per month) to annualized rate of \$63,256 for 9 months (\$7,028.44 per month), August 16, 2002. Paid \$2,000 while serving as Kenneth and Bernadine Russell Professor in Music Theory.

Taylor, E. Laurette, Associate Professor of Health and Sport Sciences, Chair of the Department of Health and Sport Sciences extended July 1, 2003 through June 30, 2005, salary remains at annualized rate of \$76,342 for 12 months (\$6,361.83 per month).

Wahl, Michael I., Associate Professor of Architecture, salary temporarily changed from annualized rate of \$52,732 for 9 months (\$5,859.11 per month) to annualized rate of \$56,732 for 9 months (\$6,303.56 per month), August 16, 2002 through May 15, 2003. \$4,000 one-time merit stipend.

RESIGNATION AND/OR TERMINATION:

Steger, Paul A., Associate Professor of Drama, December 31, 2002.

ADDITIONAL HSC CHANGE:

Sullivan, Carole A., Dean, College of Allied Health, Professor of Radiologic Technology, given additional title The Stuart Miller Professor of Allied Health, December 1, 2002 through June 30, 2003.

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

Regent Stuart moved approval of the recommendation. The following voted yes on the motion: Regents Blankenship, Bentley, Everest, Clark and Stuart. The Chair declared the motion unanimously approved.

President Boren reports the following death:

Patrick, Polly E., Assistant Professor of Communications Sciences and Disorders, September 29, 2001.

ADMINISTRATIVE AND PROFESSIONAL PERSONNEL ACTIONS - NC & HSC**Health Sciences Center:****NEW APPOINTMENTS:**

Klein, Jason Charles, Nurse Practitioner, Department of Urology, annualized rate of \$60,500 for 12 months (\$5,041.67 per month), November 8, 2002. Professional Staff.

CHANGES:

Bennett, Marcia M., PhD, title changed from Associate Vice President for Health Sciences, Department of the Provost's Office, to Vice Provost for Academic Affairs, Department of the Provost's Office, January 1, 2003. Academic Administrator.

Gould, Constance, Director of Tulsa Human Resources, Department of Tulsa Human Resources, salary changed from annualized rate of \$69,010 for 12 months (\$5,750.83 per month) to annualized rate of \$75,000 for 12 months (\$6,250.00 per month), December 1, 2002. Administrative Staff. Market Adjustment.

Grigsby, Scott, title changed from OU Physicians Chief Operating Officer to OU Physicians Director of Planning and Development, Department of OU Physicians, November 1, 2002. Managerial Staff.

Heath, Phillip, Ultrasonographer Technologist, Department of OU Physicians Faculty Clinics, salary changed from annualized rate of \$63,000 for 12 months (\$5,250.00 per month) to annualized rate of \$66,150 for 12 months (\$5,512.50 per month), October 1, 2002. Professional Staff. Probationary Increase.

MacDurmon, George W., title changed from Radiation Safety Officer to University Radiation Safety Officer, Department of Radiation Safety, October 4, 2002; salary changed from annualized rate of \$93,600 for 12 months (\$7,800.00 per month) to annualized rate of \$98,600 for 12 months (\$8,216.67 per month), December 1, 2002 Professional Staff. Promotion.

Marcham, Cheryl Lynn, title changed from Environmental Health and Safety Officer to University Environmental Health and Safety Officer, Department of Environmental Health & Safety, salary changed from annualized rate of \$69,167 for 12 months (\$5,763.92 per month) to annualized rate of \$74,167 for 12 months (\$6,180.58 per month), December 1, 2002. Administrative Staff. *Reclassification.*

Owen, David L., Campus Network Manager, Department of Information Technology, salary changed from annualized rate of \$79,000 for 12 months (\$6,583.33 per month) to annualized rate of \$82,950 for 12 months (\$6,912.50 per month), December 1, 2002 Professional Staff.

Seamans, Susan G., title changed from Legal Counsel to Associate General Counsel, Department of Legal Counsel, November 1, 2002. Administrative Staff.

Norman Campus:

CHANGES:

Bradley, Clifton D., Associate Dean of Students, given additional title Director of Center for Student Life, salary changed from annualized rate of \$66,560 for 12 months (\$5,546.67 per month), to annualized rate of \$76,560 for 12 months (\$6,380.00 per month), November 1, 2002. Administrative Officer. *Retention.*

Nelson, Stanton M., Special Assistant to the President, salary changed from annualized rate of \$47,000 for 12 months (\$3,916.67 per month), .50 time, to annualized rate of \$57,000 for 12 months (\$4,750.00 per month), .50 time, October 1, 2002. Administrative Staff.

O'Geary, James S., title changed from Administrator II to Director of Human Research Participation Protection, Office of Research Administration, 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), October 1, 2002. Changing from Administrative Staff to Administrative Officer.

RESIGNATIONS AND/OR TERMINATIONS:

Green, Matthew B., Development Associate II, Engineering Dean's Office, December 1, 2002. Managerial Staff.

Kulasekharan, Sridhar, Information Technology Analyst III, Oklahoma Climatological Survey, October 1, 2002.

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

Regent Everest moved approval of the recommendation. The following voted yes on the motion: Regents Blankenship, Bentley, Everest, Clark and Stuart. The Chair declared the motion unanimously approved.

LITIGATION

This item was included in the agenda for the purpose of meeting with General Counsel in executive session for a report on pending and possible litigation. No executive session was held, and there was no report.

MICHAEL F. PRICE COLLEGE OF BUSINESS EXPANSION - NC

At the January 2002 meeting, the Board of Regents approved the design development phase plans for the Michael F. Price College of Business Expansion project. The expansion of the Price College of Business facilities consists of a 57,000-square-foot addition that will attach to the existing building at the northeast side. The three-floor addition will house eight tiered classrooms, two flat-floor classrooms, the undergraduate and graduate advising and admissions areas, the Business Communications Center, and a new commons area for both student study and college functions.

In addition to the expansion of the building, Asp Avenue and Brooks Street will be modified. Asp Avenue will terminate at a new turn-around at Kuhlman Court; and Brooks Street will be closed between Jenkins Avenue and Asp Avenue and developed as a landscaped pedestrian mall.

The total budget for this project is anticipated to be approximately \$18 million with funding provided by private and other University sources. The development of the construction documents for the project is nearing completion, and the project will be advertised for bids as soon as funding allows.

President Boren recommended the Board of Regents authorize the University administration to advertise and to receive bids for construction of the Michael F. Price College of Business Expansion project.

Regent Stuart moved approval of the recommendation. The following voted yes on the motion: Regents Blankenship, Bentley, Everest, Clark and Stuart. The Chair declared the motion unanimously approved.

AMENDMENT TO THE UNIVERSITY OF OKLAHOMA DEFINED CONTRIBUTION RETIREMENT PLAN

The Plan is qualified under Section 401(a) of the Internal Revenue Code of 1986, as amended (the "Code"), and provides retirement benefits to benefits eligible employees. The Economic Growth and Tax Relief Reconciliation Act of 2001 ("EGTRRA") requires the Plan to incorporate certain technical changes before the end of the 2002 plan year. The amendment incorporates the required IRS model language.

President Boren recommended the Board of Regents adopt an amendment to The University of Oklahoma Defined Contribution Retirement Plan (the "Plan") to be effective January 1, 2002.

Regent Stuart moved approval of the recommendation. The following voted yes on the motion: Regents Blankenship, Bentley, Everest, Clark and Stuart. The Chair declared the motion unanimously approved.

MINUTES

Regent Bentley moved approval of the minutes of the Regular Meeting held on October 28-30, 2002 as printed and distributed prior to the meeting. The following voted yes on the motion: Regents Bentley, Everest, Clark and Stuart. The Chairman declared the motion unanimously approved.

PRESIDENT'S COMPENSATION

Regent Bentley moved the Board meet in executive session for the purpose of a review of the President's performance, compensation and retirement package.

The executive session was held in the same location and began at 10:00 a.m.

The meeting reconvened in regular session at 10:35 a.m.

PRESIDENT'S REPORT

President Boren began his report by thanking the Board for allowing him to teach his class and be late to the meeting. He announced two anonymous gifts to the Michael F. Price College of Business Expansion Project, totaling \$6.7 million. These gifts, that he hopes to announce the donors' names in the future, allowed the Board to approve the earlier item initiating this \$18 million project. Plans call for the 55,000 square foot facility to be complete in the fall of 2004. The two gifts announced at this time were for \$2.5 million and \$4.2 million.

The President then introduced Dr. Larry Michaelsen, David Ross Boyd Professor, Professor of Management, and director of the Integrated Business Core to discuss the IBC program. The program began in 1995, and as of last spring students have donated over \$569,000 to charities. Dr. Michaelsen talked about the four courses of the IBC program: management, marketing, legal studies and business administration. Students enrolled in the four courses are divided into companies and each company is responsible for developing a business plan, producing and/or purchasing a product, marketing the product, and all steps in between. Proceeds from product sales plus volunteer time are donated to a non-profit charity designated by the company. He then introduced a representative of each of the four companies. Tyson Curtis of IB Koozin' for a Broozin' spoke of their company's problem in not securing copyright permission before producing and selling their poster (of Roy Williams' fantastic play against Chris Simms in the 2001 OU-Texas game) and the learning experience that was for the group. Permission to use the image was secured from the photographer and the Oklahoma Publishing Company. The company's profits are being donated to the Special Olympics and to the Roy Williams Foundation. The IB Zubbin' company is selling Zubs, a versatile product that can be folded in about fifteen different ways to wear on your head or neck. All profits from this group go to the American Cancer Society. The IB Supportin' company is selling miniature footballs that

play *Boomer Sooner* and football helmet hood ornaments. This company ran into problems when the supplier of the mini footballs stopped production after their initial order sold out and the hood ornaments were not delivered due to a west coast port strike. Profits from this company went to Positive Tomorrows in Oklahoma City. The final company is Boomer Bottles. This company is selling OU Nalgene water bottles that are virtually indestructible. One of their marketing strategies that has been very successful is that purchasers may fill their bottle for half price at campus food outlets. Profits from this company go to the Cystic Fibrosis Foundation.

President Boren then introduced Professor Allen Hertzke and Professor Emeritus Tom Boyd. These two are part of a new Religious Studies program at the University that, since beginning in August, has over 1000 students enrolled in classes and at least 35 majors so far. Professor Hertzke discussed the collaborative effort of the faculty, with twelve different departments represented in the curriculum. Twenty-five faculty members are offering 29 religious studies classes for the spring semester. Professor Boyd talked about the enormous energy and interest in this subject in the country and here on campus. Both professors are very excited about the focus of the program and the opportunities it is providing to help students, from those who are contemplating careers in the ministry to those who are interested in business and working with people of different religious backgrounds.

PRESIDENT'S COMPENSATION

This item was included in the agenda for a possible executive session for the purpose of a discussion of President Boren's performance, compensation and retirement package.

Chairman Noble recommended a review of and possible action on the President's performance, compensation and retirement package. The recommendation was detailed as follows:

That the Board amend President Boren's employment contract and deferred compensation, effective December 1, 2002, in the following ways:

1. Extend the term of his contract to the original term of five years;
2. Maintain his present salary, but whenever there is a general faculty salary increase he will have his salary increased by a percentage equal to that of the average faculty salary percentage increase on the Norman Campus or, if there is a general faculty salary reduction, he will have his salary reduced by a percentage equal to that of the average faculty salary percentage decrease on the Norman campus;
3. Replace his existing Supplemental Retirement plan with a revised Supplemental Retirement Plan that, considering the benefit provided by the existing defined benefit program ("OTRS"), the existing University's defined contribution program ("DCP"), and Social Security, will provide a benefit which provides a retirement replacement ratio to president Boren, with a 100% right of survivorship to his wife of the same amount, equal to 90% of the replacement ratio of the average career member of the faculty who would be eligible to retire with full benefits today. This replacement ratio and resulting benefit will be based on President Boren's average high three-year salary history, which need not be based on consecutive years. This revised Supplemental Retirement Plan will vest consistent with the vesting schedule for OTRS and may consist of more than one

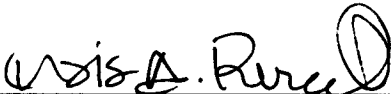
plan/program in order to qualify under IRS rules and regulations. Benefits will commence at retirement, but no earlier than five (5) years from the effective date of this contract, unless earlier payment occurs due to death or disability.

It was further recommended that the Board of Regents authorize the Chair of the Board to negotiate, review and execute the final employment contract, revised Supplemental Retirement Plan (and any components of such Plan) on behalf of the Board of Regents and any and all other documents necessary to effect this action.

Regent Bentley moved approval of the recommendation. The following voted yes on the motion: Regents Blankenship, Bentley, Everest, Clark and Stuart. The Chair declared the motion unanimously approved.

Each Regent took the opportunity to speak about President Boren and the many things his leadership has done for and brought to the University. Regent Blankenship spoke of President Boren turning down significant increases in salary the Board has offered or giving them back to the University as a gift. He and Mrs. Boren are members of the Seed Sower Society, where membership is established by gifts of \$1 million or more. Mr. Blankenship stated, "This motion goes to the heart of what we would feel necessary to try to compensate you on your magnificent efforts." Chairman Noble wanted to remind people of what the President has done for the University. When he started a \$250 million capital campaign people thought he was crazy, but ultimately over \$500 million was raised. The number of endowed chairs and professorships has increased incredibly and the number of OU Associates has increased from 18,000 to over 80,000. Regent Clark remarked that he is constantly asked what it is like to work with David Boren and what he tells people is that you have to look at what he has accomplished in the last seven years, how his leadership has changed the giving climate to a very generous giving climate, while raising the faculty and the campus to a whole new standard. He stated, "You are also very involved in the campus life and have done all of this with class, style and integrity. You put students first and they appreciate that." Regent Bentley echoed that statement when he said, "I appreciate very much how you worry about the students and how the Board's actions affect them." Regent Everest said that she is very impressed with the way President Boren brings in young people and give them an opportunity to flourish in leadership positions. Regent Stuart declared that he appreciate the vision President Boren has brought to the school and that there is no difference between the President's vision and the Regents' resolve, which is what makes this a flagship university. President Boren remarked that there is no distance between his goals and those of this Board; they are like a team sharing this vision and he knows no other president has ever felt the encouragement that he has from this Board. He said, "Your encouragement means so much to me and my relationship with every member of this Board is a personal one so I would like to thank each of you personally for what you mean to the University and to myself. I know Molly would want me to convey all of this to you also. No Regent I have worked with has put themselves first, but instead has put the University first. I appreciate you recognizing my old age and I appreciate your attempts to increase my salary. I very honored to be president of this University, but more honored to be a faculty member her. I appreciate everything."

There being no further business, the meeting adjourned at 11:37 a.m.



Chris A. Purcell
Executive Secretary of the Board of Regents

December 2-3, 2002

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

Intersession begins May 12, 2003

Intersession ends May 23, 2003

Alternative Schedules (please describe any alternative schedules)

Selected courses will be offered in a shortened format. Each 16 week regular semester will be divided into two 8-week blocks. Similarly the 8-week summer session will be divided into two 4-week blocks enabling students to take selected courses in a shortened format. Other courses requested by business or industry may be taught in intensive shortened formats to accommodate the need of the employer and the employee.

Signature of President _____ **Date** _____



- ① STUDENT HOUSING
- ② RENOVATION OF MARKHAM
- ③ REMOVAL OF BUILDINGS
- ④ NEW PHYSICAL PLANT FACILITIES
- ⑤ NEW PARKING LOT
- ⑥ NEW LOOP ROAD

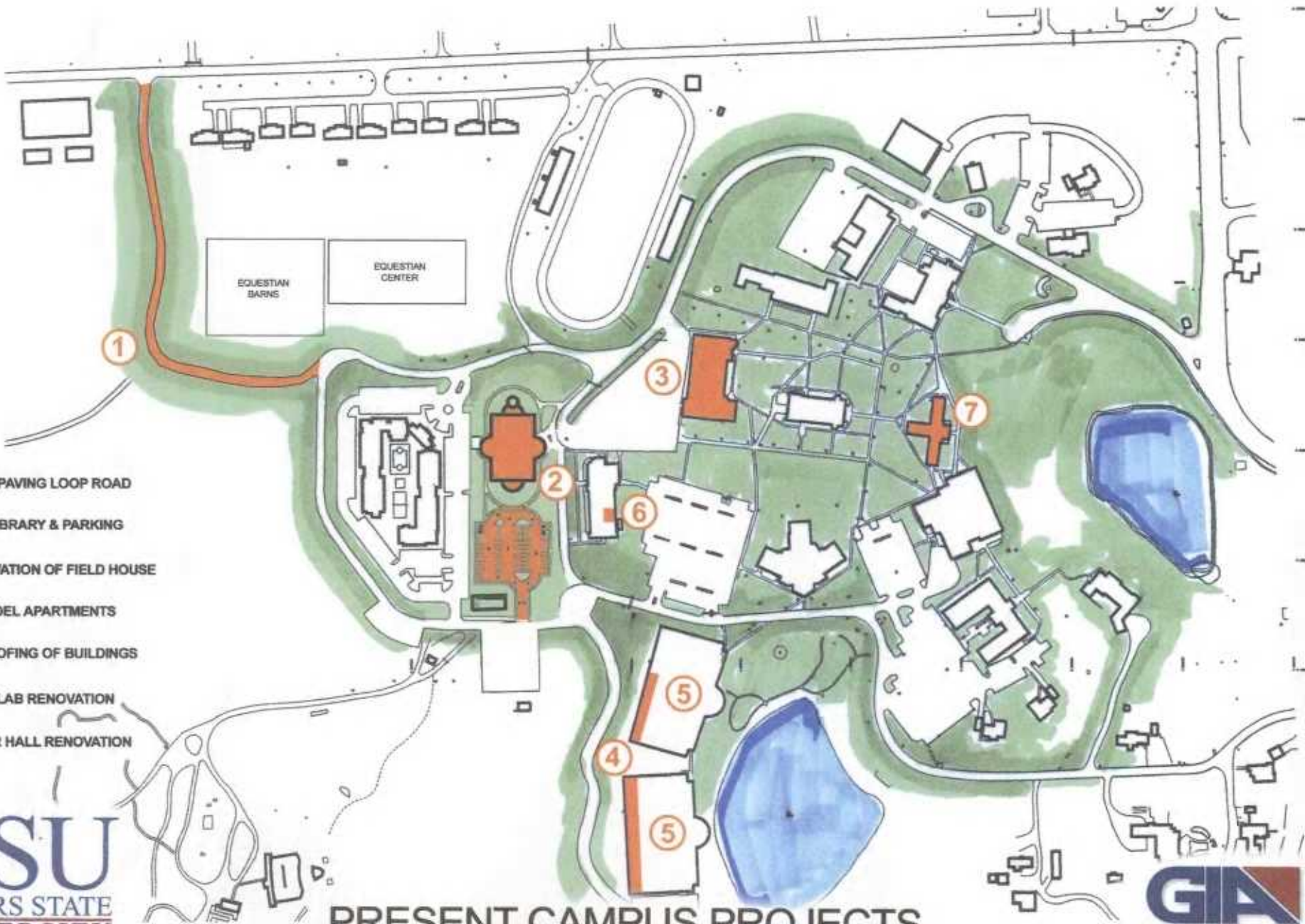
RSU
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UNIVERSITY

COMPLETED CAMPUS PROJECTS

GA
GRABER & MEL

11.13.02

EXHIBIT B



- ① FINISH PAVING LOOP ROAD
- ② NEW LIBRARY & PARKING
- ③ RENOVATION OF FIELD HOUSE
- ④ REMODEL APARTMENTS
- ⑤ RE-ROOFING OF BUILDINGS
- ⑥ CHEM LAB RENOVATION
- ⑦ MEYER HALL RENOVATION

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PRESENT CAMPUS PROJECTS



11.13.02

- 1 RENOVATION OF MEYER HALL PHASE TWO
- 2 DEVELOPMENT OF CAMPUS MALL
- 3 CIRCLE DRIVE PARKING
- 4 REMODEL OF LIBRARY INTO STUDENT UNION
- 5 NEW BUILDING AT NATURE CONSERVATORY
- 6 NEW ECONOMIC DEVELOPMENT CENTER
- 7 RELOCATION OF EQUESTRIAN CENTER & HORSES
- 8 REMODEL ART STUDIO
- 9 RENOVATION OF PREP HALL

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PHASE TWO



11.13.02



- ① NEW STUDENT HOUSING
- ② FUTURE CLASSROOM BUILDINGS
- ③ PERFORMING ARTS CENTER
- ④ POST HALL RENOVATION

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UNIVERSITY

PHASE THREE FUTURE

11.13.02 **GIA**
GRABER & IMEL



**ROGERS STATE UNIVERSITY
FINANCIAL ANALYSIS
FOR THE PERIOD FROM JULY 1, 2002 TO SEPTEMBER 30, 2002**

Schedule 1: Statement of Revenues and Expenditures – Education and General, Part I - Unrestricted

Total revenues collected year-to-date of \$5,081,550 represents 30.5% of the revised current year budget. Year-to-date expenditures totaled \$3,349,234 or 17.6% of the revised current year budget.

Schedule 2: Statement of Revenues and Expenditures – Education and General, Part II - Restricted

Total revenues collected year-to-date of \$428,129 represents 8.7% of the revised current year budget. Year-to-date expenditures totaled \$1,075,959 or 22.0% of the revised current year budget. Expenditures may exceed revenues since RSU must expend restricted funds before it can be reimbursed. Additionally, budgeted restricted grant revenues are generally not available until after the start of the federal fiscal year, which begins October 1.

Schedules 3 and 3a: Auxiliary Revenues by Source and Auxiliary Expenditures by Type

Total revenues collected year-to-date of \$571,925 represents 23.7% of the revised current year budget. Year-to-date expenditures totaled \$389,720 or 16.7% of the revised current year budget.

Schedule 4: Schedule of Reserves

Reserves for Education and General, Part I at year-end continue to remain at a stable level and adhere to recommendations of the State Regents for Higher Education.

Reserves for Education and General, Part II include federal, state, and private funds that are expended and later reimbursed by the granting agencies, therefore, no reserves are maintained.

Reserves for Auxiliary Enterprises and Plant Funds are considered discretionary and available for expenditures in accordance with applicable guidelines and limitations.

Rogers State University
Statement of Revenues and Expenditures
Education & General, Part I - Unrestricted
For the Period from July 1, 2002 to September 30, 2002

Schedule 1

	Original Budget	Revised Budget	Current Y-T-D	Percent of Current Revised Budget
<i>Revenues by Source:</i>				
State Appropriations	\$12,401,259	\$11,892,855	\$3,058,972	25.7%
Tuition and fees	4,284,794	4,284,794	1,861,577	43.4%
Other sources	506,301	506,301	161,001	31.8%
	<u>17,192,354</u>	<u>16,683,950</u>	<u>5,081,550</u>	<u>30.5%</u>
<i>Budgeted reserves</i>	<u>1,624,621</u>	<u>2,355,663</u>		
Total budgeted resources	<u>\$18,816,975</u>	<u>\$19,039,613</u>	<u>\$5,081,550</u>	<u>26.7%</u>
<i>Expenditures by Function:</i>				
Instruction	\$ 8,943,524	\$ 8,940,032	\$1,419,070	15.9%
Public Service	\$ 311,754	\$ 312,078	\$ 40,960	13.1%
Academic support	2,914,843	2,898,380	613,516	21.2%
Student services	1,252,743	1,282,124	267,528	20.9%
Institutional support	2,606,868	2,620,673	611,241	23.3%
Operation of plant	2,203,192	2,296,135	360,444	15.7%
Scholarships	584,051	660,051	36,475	5.5%
	<u>18,816,975</u>	<u>19,009,473</u>	<u>3,349,234</u>	<u>17.6%</u>
Excess revenues over (under) expenditures	<u>-</u>	<u>30,140</u>	<u>1,732,316</u>	
<i>Expenditures by Organizational Area:</i>				
Academic Affairs:				
Academic programs	417,873	452,873	-	0.0%
Bartlesville campus	578,976	521,675	92,826	17.8%
Pryor campus	127,163	132,738	33,126	25.0%
School of Liberal Arts	2,052,800	2,091,829	460,761	22.0%
School of Business & Technology	1,621,584	1,636,329	289,013	17.7%
School of Math, Science & Health Sciences	1,650,849	1,614,411	343,141	21.3%
Other instructional expense	2,494,279	2,490,177	200,203	8.0%
Libraries	945,245	890,272	191,812	21.5%
Broadcast and media services	273,430	290,546	61,011	21.0%
Other academic support	1,696,168	1,717,562	360,693	21.0%
Student services	1,252,743	1,282,124	267,528	20.9%
Executive management	872,190	883,373	273,906	31.0%
Fiscal operations	453,605	444,169	91,349	20.6%
General administration	649,704	653,583	92,311	14.1%
Public Service	311,754	312,078	40,960	13.1%
Public relations/Development	631,369	639,548	153,675	24.0%
Operation of plant	2,203,192	2,296,135	360,444	15.7%
Scholarships	584,051	660,051	36,475	5.5%
	<u>\$18,816,975</u>	<u>\$19,009,473</u>	<u>\$3,349,234</u>	<u>17.6%</u>

Rogers State University
Statement of Revenues and Expenditures
Education & General, Part II - Restricted
For the Period from July 1, 2002 to September 30, 2002

Schedule 2

	Original Budget	Revised Budget	Current Y-T-D	Percent of Current Revised Budget
<i>Revenues by Source:</i>				
Federal grants and contracts	\$ 2,034,921	\$ 2,034,921	\$ 405,215	19.9%
State and local grants and contracts	424,153	424,153	4,559	1.1%
Private grants and contracts	98,493	98,493	18,355	18.6%
PY Reserves	2,336,977	2,336,977	-	
	<u>\$ 4,894,544</u>	<u>\$ 4,894,544</u>	<u>\$ 428,129</u>	<u>8.7%</u>
<i>Expenditures by Function:</i>				
Instruction	\$ 550,839	\$ 550,839	\$ 146,470	26.6%
Public Service	1,618,535	1,618,535	285,488	17.6%
Academic Support	231,656	231,656	112,069	48.4%
Student Services	2,268,304	2,268,304	482,130	21.3%
Scholarships (FWS, SEOG)	225,210	225,210	49,802	22.1%
	<u>4,894,544</u>	<u>4,894,544</u>	<u>1,075,959</u>	<u>22.0%</u>
Excess revenues over (under) expenditures				
<i>Expenditures by Organizational Area:</i>				
Student Aid (FWS, SEOG)	225,210	225,210	49,802	22.1%
Project Aspire	357,035	357,035	53,324	14.9%
Hasbrouck Grant	-	-	-	-
Molecular Bio Lab Equip	68,427	68,427	-	0.0%
Will Rogers Memorial	94,000	94,000	21,183	22.5%
Summer Science Academy	6,377	6,377	5,504	86.3%
Founders Grant	-	-	66,459	-
OXLEY Grant	25,000	25,000	-	0.0%
KRSC - TV	1,613,469	1,618,535	285,488	17.6%
Carl Perkins	231,656	231,656	4,730	2.0%
NewNet Telecommunications	-	-	107,339	-
Talent Search	331,143	331,143	59,415	17.9%
Upward Bound - Math/Science	409,612	409,612	105,598	25.8%
Upward Bound	465,564	465,564	111,108	23.9%
Educational Opportunity Center	672,147	672,147	138,673	20.6%
Student Support Services	389,838	389,838	67,336	17.3%
	<u>\$ 4,889,478</u>	<u>\$ 4,894,544</u>	<u>\$ 1,075,959</u>	<u>22.0%</u>

Rogers State University
Statement of Revenues and Expenditures
Auxiliary Enterprises
For the Period from July 1, 2002 to September 30, 2002

Schedule 3

	Original Budget	Revised Budget	Current Y-T-D	Percent of Current Revised Budget
<i>Revenues:</i>				
Student Fees	\$ 655,241	\$ 655,241	\$ 278,573	42.5%
Housing System	154,318	154,318	18,998	12.3%
Miscellaneous Auxiliaries	1,409,192	1,409,192	245,213	17.4%
Other	194,200	194,200	29,141	15.0%
	<u>\$ 2,412,951</u>	<u>\$ 2,412,951</u>	<u>\$ 571,925</u>	<u>23.7%</u>
 <i>Expenditures:</i>				
Student Fees	\$ 662,813	\$ 662,813	\$ 50,228	7.6%
Housing System	124,318	124,318	44,737	36.0%
Miscellaneous Auxiliaries	1,386,062	1,386,062	279,804	20.2%
Other	158,462	158,462	14,951	9.4%
	<u>\$ 2,331,655</u>	<u>\$ 2,331,655</u>	<u>\$ 389,720</u>	<u>16.7%</u>

Rogers State University
Auxiliary Revenues by Source
For the Period from July 1, 2002 to September 30, 2002

Schedule 3a

	Original Budget	Revised Budget	Current Y-T-D	Percent of Current Revised Budget
Student Fees:				
Activity Fees	\$ 259,659	\$ 259,659	\$ 112,833	43.5%
Facility Fees	216,440	216,440	94,527	43.7%
Parking Fees	75,502	75,502	31,996	42.4%
Culture & Recreation Fees	71,240	71,240	27,983	39.3%
Health Science	27,400	27,400	9,314	34.0%
Student Services UPA	5,000	5,000	1,920	38.4%
	<u>655,241</u>	<u>655,241</u>	<u>278,573</u>	<u>42.5%</u>
Housing System				
Student Housing	-	-	799	
Faculty Housing	46,666	46,666	13,615	29.2%
Apartments	107,652	107,652	4,584	4.3%
	<u>154,318</u>	<u>154,318</u>	<u>18,998</u>	<u>12.3%</u>
Miscellaneous Auxiliaries				
Horse Management	15,000	15,000	343	2.3%
Bit by Bit Program	132,730	132,730	925	0.7%
Food Service	310,000	310,000	73,454	23.7%
Kiddie Kollege	176,144	176,144	35,785	20.3%
Bookstore	105,000	105,000	63,245	60.2%
Vending	55,500	55,500	27,982	50.4%
Motor Pool	70,000	70,000	7,124	10.2%
Telecommunications	160,000	160,000	-	0.0%
Administrative Services	384,818	384,818	36,355	9.4%
	<u>1,409,192</u>	<u>1,409,192</u>	<u>245,213</u>	<u>17.4%</u>
Other				
Continuing Education	17,200	17,200	5,079	29.5%
General Auxiliary	77,300	77,300	22,809	29.5%
Oklahoma Historical Society	91,200	91,200	-	0.0%
Library	5,500	5,500	1,103	20.1%
OMA House	3,000	3,000	150	5.0%
	<u>194,200</u>	<u>194,200</u>	<u>29,141</u>	<u>15.0%</u>
	<u>\$ 2,412,951</u>	<u>\$ 2,412,951</u>	<u>\$ 571,925</u>	<u>23.7%</u>

Rogers State University
Auxiliary Expenditures by Type
For the Period from July 1, 2002 to September 30, 2002

Schedule 3b

	Original Budget	Revised Budget	Current Y-T-D	Percent of Current Revised Budget
Student Fees:				
Activity Fees	\$ 169,224	\$ 169,224	\$ 9,431	5.6%
General student activities	97,012	97,012	21,982	22.7%
Facility Fees	216,440	216,440	238	0.1%
Parking Fees	75,502	75,502	2,200	2.9%
Culture & Recreation Fees	72,235	72,235	4,299	6.0%
Health Science	27,400	27,400	10,444	38.1%
Student Services UPA	5,000	5,000	1,634	32.7%
	<u>662,813</u>	<u>662,813</u>	<u>50,228</u>	<u>7.6%</u>
Housing System				
Student Housing	-	-	-	-
Faculty Housing	46,666	46,666	7,633	16.4%
Apartments	77,652	77,652	37,104	47.8%
	<u>124,318</u>	<u>124,318</u>	<u>44,737</u>	<u>36.0%</u>
Miscellaneous Auxiliaries				
Horse Management	14,821	14,821	3,606	24.3%
Bit by Bit Program	105,843	105,843	32,639	30.8%
Food Service	349,523	349,523	70,900	20.3%
Kiddie Kollege	173,057	173,057	42,611	24.6%
Bookstore	115,000	115,000	-	0.0%
Vending	28,000	28,000	7,561	27.0%
Motor Pool	55,000	55,000	4,949	9.0%
Telecommunications	160,000	160,000	25,864	16.2%
Administrative Services	384,818	384,818	91,674	23.8%
	<u>1,386,062</u>	<u>1,386,062</u>	<u>279,804</u>	<u>20.2%</u>
Other				
Continuing Education	24,243	24,243	8,162	33.7%
General Auxiliary	67,350	67,350	3,866	5.7%
Oklahoma Historical Society	59,461	59,461	1,722	2.9%
Library	5,500	5,500	1,201	21.8%
OMA House	1,908	1,908	-	0.0%
	<u>158,462</u>	<u>158,462</u>	<u>14,951</u>	<u>9.4%</u>
	<u>\$2,331,655</u>	<u>\$ 2,331,655</u>	<u>\$ 389,720</u>	<u>16.7%</u>

Rogers State University
Schedule of Reserves
September 30, 2002

Schedule 4

<u>Fund/Source of Reserve</u>	<u>Balance</u>
<i>Education & General, Part I</i>	2,200,623
<i>Education & General, Part II</i>	-
<i>Auxiliary Enterprises</i>	1,285,093
<i>Plant Funds</i>	
Section 13 Offset:	910,612
Bond Reserve:	
Cash with Trustee	158,753
Less: Required Reserve	(157,500) 1,253

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

	Summer 2003	Fall 2003	Spring 2004
Intersession begins	<u>Jul 28</u>	<u>Dec 15</u>	<u>May 10</u>
Intersession ends (including final exams)	<u>Aug 15</u>	<u>Jan 2</u>	<u>May 28</u>

Alternative Schedules (please describe any alternative schedules)

- A. An 8-week session within the Fall and Spring semesters.
- B. Night classes during each Summer, Fall, Spring session.
- C. A Duncan off-campus program.
- D. An Altus off-campus program.
- E. Weekend workshop courses and MBA Program.

Signature of President _____ Date _____

Cameron University

Statement of Revenues and Expenditures - All Funds

For the Period Ended September 30, 2002 with Comparative Totals for the Period Ended September 30, 2001.

	(1)	(2)	(3)	(4)	(5)	(6)	(7)
	Original Annual Budget	Current Revised Annual Budget	Current Y-T-D Actual	Previous Y-T-D Actual	Expected Percentage of Current Budget	Percent of Current Budget	Percent of Previous Yr Current Budget
Revenues:							
Unrestricted	28,938,117	28,166,422	8,565,936	8,118,530	29.5%	30.4%	28.6%
Restricted	9,470,351	9,470,351	3,238,006	2,686,364	33.0%	34.2%	31.8%
Auxiliary Enterprises	3,159,952	3,159,952	1,001,786	1,216,742	35.8%	31.7%	39.9%
Subtotal Revenues	41,568,420	40,796,725	12,805,728	12,021,636	30.8%	31.4%	30.1%
Budgeted Reserve	832,974	946,492	946,492	150,000	100.0%	100.0%	100.0%
Prior Year Carryover	6,289,333	6,289,333	6,289,333	5,631,740	100.0%	100.0%	100.0%
Total Revenues	48,690,727	48,032,550	20,041,553	17,803,376	42.0%	41.7%	42.3%
Expenditures:							
Instruction	19,707,759	19,259,550	3,947,582	3,976,397	20.7%	20.5%	20.9%
Research	544,999	542,751	151,008	113,338	25.1%	27.8%	22.4%
Public Service	1,178,859	1,166,600	270,904	223,654	22.6%	23.2%	22.0%
Academic Support	1,471,572	1,436,772	248,437	316,119	19.5%	17.3%	21.7%
Student Services	3,094,751	4,903,010	665,159	645,878	17.7%	13.6%	21.8%
Institutional Support	5,734,773	5,650,562	886,539	714,049	14.7%	15.7%	13.8%
Operations & Maint of Plant	4,992,273	4,907,268	979,294	1,176,608	22.5%	20.0%	25.0%
Scholarships & Fellowships	4,692,349	4,692,349	2,510,622	2,104,122	52.0%	53.5%	50.5%
Auxiliary Enterprises	4,306,722	4,306,722	707,211	838,540	22.5%	16.4%	28.5%
Total Expenditures	45,724,057	46,865,584	10,366,756	10,108,705	23.1%	22.1%	24.1%
Current Revenues Over/(Under) Expenditures	2,966,670	1,166,966	9,674,797	7,694,671			

Statement of Revenues and Expenditures - Education & General, Part I - Unrestricted

For the Period Ended September 30, 2002 with Comparative Totals for the Period Ended September 30, 2001.

	(1)	(2)	(3)	(4)	(5)	(6)	(7)
	Original Annual Budget	Current Revised Annual Budget	Current Y-T-D Actual	Previous Y-T-D Actual	Expected Percentage of Current Budget	Percent of Current Budget	Percent of Previous Yr. Current Budget
Revenues:							
State Appropriations	19,596,317	18,824,622	4,885,099	5,089,470	25.7%	26.0%	25.5%
Tuition & Fees	7,764,989	7,764,989	3,355,782	2,766,641	42.0%	43.2%	40.8%
Grants, Contracts, & Reimbursements	704,311	704,311	196,418	128,343	22.1%	27.9%	16.4%
Endowment Income	600,000	600,000	0	0	0.0%	0.0%	0.0%
Organized Activity	20,000	20,000	1,500	2,697	17.2%	7.5%	27.0%
Other Sources	252,500	252,500	127,137	131,379	53.0%	50.4%	55.7%
Total Revenues	28,938,117	28,166,422	8,565,936	8,118,530	29.5%	30.4%	28.6%
Budgeted Reserve	832,974	946,492	946,492	150,000	100.0%	100.0%	100.0%
Prior Year Carry Over	2,175,893	2,175,893	2,175,893	2,049,517	100.0%	100.0%	100.0%
Budgeted Resources	31,946,984	31,288,807	11,688,321	10,318,047	35.5%	37.4%	33.7%
Expenditures by Function:							
Instruction	19,498,195	19,049,986	3,901,979	3,913,978	20.7%	20.5%	20.9%
Research	131,219	128,971	22,262	24,812	17.9%	17.3%	18.5%
Public Service	352,153	339,894	84,446	86,707	24.5%	24.8%	24.2%
Academic Support	1,446,972	1,412,172	244,943	315,135	19.6%	17.3%	21.9%
Student Services	1,816,851	1,825,406	439,524	437,793	24.0%	24.1%	24.0%
Institutional Support	3,709,321	3,625,110	875,677	704,425	22.4%	24.2%	20.7%
Operation & Maint of Plant	4,992,273	4,907,268	979,294	1,176,608	22.5%	20.0%	25.0%
Scholarships	0	0	0	0	0.0%	0.0%	0.0%
Total Expenditures	31,946,984	31,288,807	6,548,125	6,659,458	21.3%	20.9%	21.8%
Current Revenues Over/(Under) Expenditures	0	0	5,140,196	3,658,589			
Expenditures by Organizational Area:							
Academic Affairs:							
School of Business	2,289,975	2,273,071	532,578	486,792	23.3%	23.4%	23.1%
School of Education & Behavioral Sciences	3,011,845	2,912,900	607,893	606,915	20.9%	20.9%	20.9%
School of Liberal Arts	5,087,447	5,090,840	1,072,072	1,084,166	21.3%	21.1%	21.5%
School of Science & Technology	4,068,520	3,626,838	759,492	768,365	20.7%	20.9%	20.5%
Other Instructional Expense	3,788,004	3,910,997	642,111	666,210	17.0%	16.4%	17.7%
Associate Provost	570,099	558,035	121,067	125,871	22.8%	21.7%	23.9%
Research	131,219	128,971	22,262	24,812	17.9%	17.3%	18.5%
Broadcast & Media Svcs	352,153	339,894	84,446	79,572	24.0%	24.8%	23.2%
Athletics	682,305	677,305	166,766	174,051	25.8%	24.6%	27.1%
Libraries	1,236,427	1,210,368	226,120	288,376	20.2%	18.7%	21.7%
Ancillary Support	100,471	91,730	18,823	26,759	21.9%	20.5%	23.3%
Admission/Records	581,015	579,098	153,186	148,239	26.2%	26.5%	26.0%
Fiscal Operations	717,157	703,128	176,405	182,061	25.6%	25.1%	26.1%
Student Affairs	1,235,836	1,246,308	286,338	289,554	23.0%	23.0%	23.0%
Executive Management	1,809,814	1,755,808	369,465	241,882	18.2%	21.0%	15.5%
Development	378,534	378,534	82,924	105,741	24.4%	21.9%	27.0%
General University	5,906,163	5,804,982	1,226,177	1,360,092	23.0%	21.1%	24.8%
Total Expenditures/Area	31,946,984	31,288,807	6,548,125	6,659,458	21.3%	20.9%	21.8%

Statement of Revenues and Expenditures - Education & General, Part II - Restricted

For the Period Ended September 30, 2002 with Comparative Totals for the Period Ended September 30, 2001.

	(1)	(2)	(3)	(4)	(5)	(6)	(7)
	Original Annual Budget	Current Revised Annual Budget	Current Y-T-D Actual	Previous Y-T-D Actual	Expected Percentage of Current Budget	Percent of Current Budget	Percent of Previous Yr. Current Budget
Revenues:							
Federal Grants & Contracts	7,269,425	7,269,425	2,783,896	2,291,458	38.3%	38.3%	38.3%
State & Local Grants & Contracts	2,125,914	2,125,914	138,803	102,006	6.1%	6.5%	5.6%
Private Grants & Contracts	75,012	75,012	315,307	292,900	232.9%	420.3%	45.4%
Total Revenues	9,470,351	9,470,351	3,238,006	2,686,364	33.0%	34.2%	31.8%
Expenditures by Function:							
Instruction	209,564	209,564	45,603	62,419	20.8%	21.8%	19.8%
Research	413,780	413,780	128,746	88,526	27.5%	31.1%	23.8%
Public Service	826,706	826,706	186,458	136,947	21.7%	22.6%	20.8%
Academic Support	24,600	24,600	3,494	984	9.9%	14.2%	5.6%
Student Support	1,277,900	1,277,900	225,635	208,085	18.0%	17.7%	18.4%
Institutional Support	2,025,452	2,025,452	10,862	9,624	0.5%	0.5%	0.5%
Operation & Maint of Plant	0	0	0	0	0.0%	0.0%	0.0%
Scholarships	4,692,349	4,692,349	2,510,622	2,104,122	52.0%	53.5%	50.5%
Total Expenditures by Function	9,470,351	9,470,351	3,111,420	2,610,707	31.9%	32.9%	30.9%
Current Revenues Over/(Under)							
Expenditures	0	0	126,586	75,657			
Expenditures by Organizational Area:							
Student Support	426,928	426,928	87,868	60,403	17.9%	20.6%	15.2%
McNair Post-Baccalaureate	367,560	367,560	45,312	46,657	14.0%	12.3%	15.6%
AHEC Grant	234,564	234,564	50,900	18,690	20.4%	21.7%	19.0%
Poverty in Oklahoma	119	119	0	0	100.0%	0.0%	0.0%
SW OK Economic Development	62,617	62,617	20,364	0	16.3%	32.5%	0.0%
U S Fish & Wildlife	14,730	14,730	1,661	4,466	44.7%	11.3%	78.0%
Upward Bound	440,234	440,234	108,553	98,572	24.3%	24.7%	23.9%
Talent Search	396,880	396,880	76,813	78,878	20.5%	19.4%	21.6%
Fire Support	203,872	203,872	40,846	41,643	21.4%	20.0%	22.8%
A R I Grant	43,023	43,023	8,243	10,646	26.9%	19.2%	34.6%
National Science Foundation	24,493	24,493	8,240	21,313	31.3%	33.6%	28.9%
Eisenhower Grant	0	0	0	0	100.0%	0.0%	0.0%
Perkins Vo-Tech	67,826	67,826	0	390	0.2%	0.0%	0.5%
AMSTEP	8,318	8,318	0	0	0.0%	0.0%	0.0%
Benchmarking QIG	2,500	2,500	0	0	0.0%	0.0%	0.0%
ASCOG	4,192	4,192	2,635	0	31.4%	62.9%	0.0%
Ntl Geographic Society	235	235	0	0	100.0%	0.0%	0.0%
US Dept of Agriculture	29,211	29,211	23,766	1,121	100.0%	81.4%	3.6%
Technology Battle Lab	3,674	3,674	0	5,656	50.0%	0.0%	60.6%
CASI Research	34,180	34,180	27,574	0	40.3%	80.7%	0.0%
OCAST (Cosmetics)	0	0	0	9,720	100.0%	0.0%	100.0%
OCAST (Halliburton)	31,289	31,289	13,862	10,602	55.2%	44.3%	66.2%
OCAST (AST/MultiMedia)	109	109	108	6,691	100.0%	99.4%	18.2%
OCAST (Eagle Systems)	22,000	22,000	0	2,316	6.1%	0.0%	12.1%
OCAST (DRC Systems)	17,823	17,823	10,017	0	28.1%	56.2%	0.0%
OCAST (Tec-Masters)	18,338	18,338	4,175	0	11.4%	22.8%	0.0%
Ft. Sill WIDD	12,662	12,662	0	1,023	2.4%	0.0%	4.9%
Oklahoma Humanities	5,130	5,130	0	0	0.0%	0.0%	0.0%
Preservation Assistance	402	402	0	0	100.0%	0.0%	0.0%
Ft. Sill VoTech	31,390	31,390	0	0	0.0%	0.0%	0.0%
EPSCOT	794	794	150	525	100.0%	18.9%	35.7%
Walmart/NCR	0	0	0	1,330	100.0%	0.0%	99.9%
Small Business	7,475	7,475	0	0	0.0%	0.0%	0.0%
N A S A - OSU EPSCOR	0	0	0	365	100.0%	0.0%	16.3%
N A S A - Others	2,739	2,739	0	620	9.2%	0.0%	18.4%
Science/Tech Grants	340	340	0	144	100.0%	0.0%	26.9%
OK-LSAMP (Louis Stokes)	37,140	37,140	0	10,800	13.2%	0.0%	26.5%
Summer Bridge Program	10,933	10,933	9,023	10,316	78.3%	82.5%	74.1%
N A S A - OU	6,795	6,795	4,500	4,302	45.3%	66.2%	24.3%
America Counts/Reads	1,619	1,619	1,468	436	100.0%	90.7%	19.3%
Service Learning	3,060	3,060	924	314	100.0%	30.2%	5.3%
Magne Tech	8,905	8,905	0	0	0.0%	0.0%	0.0%
Federal Workstudy	188,076	188,076	43,858	33,862	20.1%	23.3%	16.9%
General University	2,004,879	2,004,879	7,865	2,815	0.3%	0.4%	0.2%
Student Aid	4,693,297	4,693,297	2,512,696	2,126,093	51.8%	53.5%	50.1%
Total Expenditures by Org Area	9,470,351	9,470,351	3,111,420	2,610,707	31.9%	32.9%	30.9%

Statement of Revenues and Expenditures - Auxiliary Enterprise Summary

For the Period Ended September 30, 2002 with Comparative Totals for the Period Ended September 30, 2001.

	(1)	(2)	(3)	(4)	(5)	(6)	(7)
	Original Annual Budget	Current Revised Annual Budget	Current Y-T-D Actual	Previous Y-T-D Actual	Expected Percent Current Budget	Percent Current Budget	Percent Previous Current Budget
Revenues:							
Student Activities	719,052	719,052	274,963	235,539	36%	38%	33%
Misc Auxiliaries	657,300	657,300	125,111	73,397	17%	19%	16%
Housing System	1,223,100	1,223,100	353,717	583,801	39%	29%	48%
Facility Fee	452,000	452,000	208,683	283,797	49%	46%	51%
Concerts and Recreational Services	108,500	108,500	39,312	40,208	36%	36%	35%
Total Revenues	3,159,952	3,159,952	1,001,786	1,216,742	36%	32%	40%
Prior Year Carry Over	4,113,440	4,113,440	4,113,440	3,582,223	100%	100%	100%
Budgeted Resources	7,273,392	7,273,392	5,115,226	4,798,965	71%	70%	73%
Expenditures:							
Student Activities	971,578	971,578	178,249	313,608	26%	18%	34%
Misc Auxiliaries	1,251,907	1,251,907	171,194	161,970	15%	14%	16%
Housing System	1,361,626	1,361,626	297,561	318,840	23%	22%	24%
Facility Fee	394,629	394,629	44,546	34,256	10%	11%	8%
Concerts and Recreational Services	326,982	326,982	15,661	9,866	4%	5%	3%
Total Expenditures	4,306,722	4,306,722	707,211	838,540	19%	16%	21%
Current Revenues Over/(Under) Expenditures	2,966,670	2,966,670	4,408,015	3,960,425	52%	54%	52%

Statement of Revenues and Expenditures - Student Activities

For the Period Ended September 30, 2002 with Comparative Totals for the Period Ended September 30, 2001.

	(1)	(2)	(3)	(4)	(5)	(6)	(7)
	Original Annual Budget	Current Revised Annual Budget	Current Y-T-D Actual	Previous Y-T-D Actual	Expected Percent Current Budget	Percent Current Budget	Percent Previous Current Budget
Revenues:							
Student Activity Fee	530,720	530,720	194,768	183,010	35%	37%	34%
Ticket Sales	18,000	18,000	1,191	7,241	23%	7%	40%
Camps	138,500	138,500	53,287	37,677	33%	38%	27%
Other	31,832	31,832	25,716	7,611	67%	81%	54%
Total Revenues	719,052	719,052	274,963	235,539	36%	38%	33%
Prior Year Carry Over	253,526	253,526	253,526	228,546	100%	100%	100%
Budgeted Resources	972,578	972,578	528,489	464,085	52%	54%	50%
Expenditures:							
Collegian	23,211	23,211	2,237	871	7%	10%	4%
Cheerleaders	1,677	1,677	939	0	28%	56%	0%
Intramurals	8,062	8,062	423	292	5%	5%	4%
Natural Science	8,279	8,279	600	767	8%	7%	8%
Student Government	11,328	11,328	3,741	2,390	28%	33%	23%
Student Activities	16,214	16,214	6,082	4,935	35%	38%	32%
Wichita	16,673	16,673	1,304	5,553	17%	8%	25%
Science Fair	0	0	0	11	0%	0%	0%
Honors Program	5,707	5,707	11	413	3%	0%	7%
ROTC	2,094	2,094	180	314	13%	9%	17%
Senior Day	1,500	1,500	0	0	0%	0%	0%
Recruitment/Orientation/Placement	8,529	8,529	1,457	972	15%	17%	13%
CU/TV	12,148	12,148	2,036	202	9%	17%	2%
Athletics	395,559	395,559	12,896	166,777	23%	3%	43%
Camps	357,402	357,402	133,857	117,648	37%	37%	37%
Other	103,195	103,195	12,485	12,463	12%	12%	12%
Total Expenditures	971,578	971,578	178,249	313,608	26%	18%	34%
Current Revenues Over/(Under) Expenditures	1,000	1,000	350,240	150,477	26%	36%	16%

Statement of Revenues and Expenditures - Misc Auxiliary

For the Period Ended September 30, 2002 with Comparative Totals for the Period Ended September 30, 2001.

	(1)	(2)	(3)	(4)	(5)	(6)	(7)
	Original Annual Budget	Current Revised Annual Budget	Current Y-T-D Actual	Previous Y-T-D Actual	Expected Percent Current Budget	Percent Current Budget	Percent Previous Current Budget
Revenues:							
KCCU	369,000	369,000	71,292	55	10%	19%	0%
Concessions	15,000	15,000	(19,695)	961	-62%	-131%	6%
Library Photocopy	13,000	13,000	4,330	4,328	24%	33%	14%
Educational Outreach	25,000	25,000	13,375	12,292	51%	54%	49%
Other	235,300	235,300	55,809	55,761	24%	24%	24%
Total Revenues	657,300	657,300	125,111	73,397	17%	19%	16%
Prior Year Carry Over	641,207	641,207	641,207	630,969	100%	100%	100%
Budgeted Resources	1,298,507	1,298,507	766,318	704,366	62%	59%	64%
Expenditures:							
Telephone	181,978	181,978	63	490	0%	0%	0%
Auxiliary Operations	16,000	16,000	20,632	11,301	80%	129%	31%
KCCU	374,522	374,522	114,954	28,836	24%	31%	17%
Farm Acct	23,517	23,517	856	281	2%	4%	1%
Auxiliary Operations Administrative Cost	130,431	130,431	0	(2,274)	-1%	0%	-2%
Educational Outreach	50,000	50,000	746	16,062	17%	1%	32%
Liberal Arts	5,615	5,615	0	80	1%	0%	1%
Library Photocopy	62,254	62,254	4,761	2,186	5%	8%	3%
Post Office	12,294	12,294	213	226	2%	2%	2%
Carpool	88,770	88,770	13,925	18,392	20%	16%	24%
Maintenance Service	78,044	78,044	1,815	25,288	15%	2%	27%
Student Affairs	2,094	2,094	42	0	1%	2%	0%
Concessions	36,526	36,526	685	1,813	4%	2%	5%
Sports Publications	7,395	7,395	2,326	3,215	36%	31%	41%
Business Office	21,582	21,582	11	47,568	110%	0%	221%
Print Shop	134,372	134,372	9,871	5,696	6%	7%	5%
Instructional Technology	3,139	3,139	294	2,810	30%	9%	51%
Other	23,373	23,373	0	0	0%	0%	0%
Total Expenditures	1,251,907	1,251,907	171,194	161,970	15%	14%	16%
Current Revenues Over/(Under) Expenditures	46,600	46,600	595,124	542,396	47%	45%	48%

Statement of Revenues and Expenditures - Housing System

For the Period Ended September 30, 2002 with Comparative Totals for the Period Ended September 30, 2001.

	(1)	(2)	(3)	(4)	(5)	(6)	(7)
	Original Annual Budget	Current Revised Annual Budget	Current Y-T-D Actual	Previous Y-T-D Actual	Expected Percent Current Budget	Percent Current Budget	Percent Previous Current Budget
Revenues:							
Cafeteria	472,600	472,600	105,930	224,554	35%	22%	48%
Vending	60,000	60,000	47,188	37,657	71%	79%	63%
Bookstore	205,000	205,000	47,292	57,116	25%	23%	28%
Shepler Center	430,000	430,000	130,180	243,910	43%	30%	57%
Student Phones	20,000	20,000	10,081	10,822	52%	50%	54%
Cable/Computer Hookup	35,500	35,500	10,094	9,166	33%	28%	37%
Utilities	0	0	2,953	576	14%	0%	29%
Total Revenues	1,223,100	1,223,100	353,717	583,801	39%	29%	48%
Prior Year Carry Over	86,864	86,864	86,864	0	50%	100%	0%
Budgeted Resources	1,309,964	1,309,964	440,582	583,801	41%	34%	48%
Expenditures:							
Cafeteria	414,500	414,500	95,774	107,538	24%	23%	24%
Vending	23,167	23,167	3,766	4,804	18%	16%	21%
Bookstore	34,142	34,142	6,949	12,471	22%	20%	24%
Shepler Center	554,525	554,525	124,439	166,679	24%	22%	25%
Student Phones	15,000	15,000	5,366	3,479	29%	36%	23%
Cable/Computer Hookup	35,500	35,500	8,151	770	13%	23%	3%
Utilities	284,792	284,792	53,116	23,099	22%	19%	25%
Total Expenditures	1,361,626	1,361,626	297,561	318,840	23%	22%	24%
Current Revenues Over/(Under) Expenditures	(51,662)	(51,662)	143,021	264,961	18%	12%	24%

Statement of Revenues and Expenditures - Facility Fee

For the Period Ended September 30, 2002 with Comparative Totals for the Period Ended September 30, 2001.

	(1)	(2)	(3)	(4)	(5)	(6)	(7)
	Original Annual Budget	Current Revised Annual Budget	Current Y-T-D Actual	Previous Y-T-D Actual	Expected Percent Current Budget	Percent Current Budget	Percent Previous Current Budget
Revenues:							
Facility Fee	452,000	452,000	208,683	283,797	49%	46%	51%
Total Revenues	452,000	452,000	208,683	283,797	49%	46%	51%
Prior Year Carry Over	2,883,861	2,883,861	2,883,861	2,485,051	100%	100%	100%
Budgeted Resources	3,335,861	3,335,861	3,092,544	2,768,848	92%	93%	91%
Expenditures:							
Facility Fee	394,629	394,629	44,546	34,256	10%	11%	8%
Total Expenditures	394,629	394,629	44,546	34,256	10%	11%	8%
Current Revenues Over/(Under) Expenditures	2,941,232	2,941,232	3,047,998	2,734,592	82%	81%	83%

Statement of Revenues and Expenditures - Concerts and Recreational Services

For the Period Ended September 30, 2002 with Comparative Totals for the Period Ended September 30, 2001.

	(1)	(2)	(3)	(4)	(5)	(6)	(7)
	Original Annual Budget	Current Revised Annual Budget	Current Y-T-D Actual	Previous Y-T-D Actual	Expected Percent Current Budget	Percent Current Budget	Percent Previous Current Budget
Revenues:							
PAC	35,000	35,000	34,938	34,893	100%	100%	100%
Plus Program	5,000	5,000	5,000	5,000	50%	100%	0%
Investment-Concert and Recreation	5,000	5,000	2,213	5,147	22%	44%	0%
Academic Cultural Fee	25,000	25,000	(37,839)	(39,832)	-155%	-151%	-159%
Festival Year	20,000	20,000	20,000	20,000	50%	100%	0%
Concerts and Lectures	18,500	18,500	15,000	15,000	81%	81%	81%
Total Revenues	108,500	108,500	39,312	40,208	36%	36%	35%
Prior Year Carry Over	247,982	247,982	247,982	237,657	103%	100%	106%
Budgeted Resources	356,482	356,482	287,294	277,865	82%	81%	82%
Expenditures:							
PAC	35,500	35,500	10,750	7,748	26%	30%	22%
Plus Program	5,820	5,820	303	1,117	10%	5%	15%
Investment-Concert and Recreation	0	0	0	0	0%	0%	0%
Academic Cultural Fee	192,661	192,661	0	0	0%	0%	0%
Festival Year	54,663	54,663	1,580	0	1%	3%	0%
Concerts and Lectures	38,338	38,338	3,029	1,001	5%	8%	3%
Total Expenditures	326,982	326,982	15,661	9,866	4%	5%	3%
Current Revenues Over/(Under) Expenditures	29,500	29,500	271,633	267,999	78%	76%	79%

Cameron University
 Summary of Reserves
 For the Period Ending September 30, 2002

Schedule 5CU

DISCRETIONARY RESERVES

Type/Source of Reserve

<i>Education & General Part I</i>		2,156,694
<i>Education & General Part II</i>		
Excess Indirect Cost		453,146
<i>Auxiliary Enterprises Contingency</i>		
Student Activities		
Investment	145,000	
Less Working Capital	<u>145,000</u>	0
Miscellaneous Auxiliary	694,000	
Less Working Capital	<u>694,000</u>	0
Housing System	0	
Less Working Capital	<u>0</u>	0
Facility Fee	3,048,000	
Less Working Capital & Other Commitments	<u>300,000</u>	2,748,000
<i>Plant Funds</i>		
Section 13/New College		913,648
Section 13 Offset		15,545
Private Sources		135,530
Renewal & Replacement-Auxiliary Enterprises		1,607,874
Facility Fee Bond Fund		479,369
Total Discretionary Reserves		<u>8,509,806</u>

OKLAHOMA STATE REGENTS FOR HIGHER EDUCATION
655 Research Parkway, Suite 200, Oklahoma City

Institution: University of Oklahoma Health Sciences Center

ACADEMIC CALENDAR FOR 2003 - 2004

Summer I Session (2003):

- | | | |
|----|---|----------------|
| 1. | Semester begins (first day of classes) | <u>June 2</u> |
| 2. | Please list dates for all holidays and breaks | |
| | Independence Day | <u>July 4</u> |
| 3. | Semester ends (including final exams) | <u>July 28</u> |
| 4. | Commencement date (graduation ceremony) | <u>July 28</u> |

Summer II Session (2003):

- | | | |
|----|---|------------------|
| 1. | Semester begins (first day of classes) | <u>July 1</u> |
| 2. | Please list dates for all holidays and breaks | |
| | Independence Day | <u>July 4</u> |
| 3. | Semester ends (including final exams) | <u>August 22</u> |
| 4. | Commencement date (graduation ceremony) | <u>August 22</u> |

Fall Semester (Fall 2003):

- | | | |
|----|---|-------------------------|
| 1. | Semester begins (first day of classes) | <u>August 25</u> |
| 2. | Please list dates for all holidays and breaks | |
| | Labor Day | <u>September 1</u> |
| | Thanksgiving | <u>November 26 - 30</u> |
| 3. | Semester ends (including final exams) | <u>December 19</u> |
| 4. | Commencement date (graduation ceremony) | <u>December 19</u> |

Second Semester (Spring 2004):

- | | | |
|----|---|----------------------|
| 1. | Semester begins (first day of classes) | <u>January 12</u> |
| 2. | Please list dates for all holidays and breaks | |
| | Martin Luther King, Jr. Day | <u>January 19</u> |
| | Spring Break | <u>March 13 - 21</u> |
| 3. | Semester ends (including final exams) | <u>May 7</u> |
| 4. | Commencement date (graduation ceremony) | <u>May 8</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):

	AUGUST 2003	DECEMBER 2003	MAY 2004
Intersession begins	<u>July 29</u>	<u>December 22</u>	<u>May 10</u>
Intersession ends	<u>August 23</u>	<u>January 10</u>	<u>May 29</u>

Reporting Officer: _____ Date: _____
 Joseph J. Ferretti, Ph.D.
 Senior Vice President and Provost

Signature of President: _____ Date: _____
 David L. Boren

2. UNIVERSITY GOVERNMENT AND ADMINISTRATION

Vice President for Administrative Affairs, Health Sciences Center 2.3.6

The Vice President for Administrative Affairs is the chief administrative and fiscal officer for the Health Sciences Center and is one of the Executive Officers of the University of Oklahoma. Responsibilities include planning and directing the activities of the Controller and Financial Services, ~~Personnel Services~~ Human Resources, Campus Police and Public Safety, Operations, Budget, and Purchasing Administration, ~~Educational Support Services, and Landscaping Services~~, Faculty House, and Parking and Transit Services.

(Vice President for Administrative Affairs, 8-17-98)

Vice President for Research, Health Sciences Center 2.3.7

The Vice President for Research is responsible for the development and/or dissemination of official policies in the research and creative activity area. The Vice President for Research works with faculty to identify and obtain funding for research and scholarly and creative endeavors both in and outside the University. The Vice President for Research also promotes and facilitates patent prosecuting and licensing of faculty/staff inventions with commercial potential the development of commercializable intellectual property relating to health care. The Vice President for Research has responsibility for and oversight of ~~for~~ the Office of Research Administration, ~~Grants and Contracts, and the~~ Laboratory Animal Resources, Program and the Institutional Biosafety Review Committee.

(Vice President for Research, 8-17-98)

President, The University of Oklahoma - Tulsa Campus 2.3.8

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

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

Interim Appointments of President, Senior Vice President and Provost, Vice Presidents, and Deans 2.3.89

It is the policy of the University Regents to appoint to the position of Interim President, Interim Senior Vice President and Provost, Interim Vice President, or Interim Academic Dean persons who will not be candidates for the permanent positions. In the instance where the person appointed to an interim position is eligible to be a candidate, it shall be so stated at the time of ~~her or his~~ the interim appointment.

(Regents, 1-20-86, 3-21-95)

Administrative Search Committees

2.75

The selection of the President and other administrators is the responsibility of the ~~Board of University Regents~~, and any process leading to that selection is the prerogative of the particular Board in office at the time the selection process is to be initiated. It is suggested that administrative search committees make nominations and recommendations concerning candidates and that the President of the University and the ~~Board of University Regents~~ be guided by them in most instances, but it is understood that the President and the ~~Board of University Regents~~ shall not be bound by nor limited to nominations and recommendations of administrative search committees. (For effect of interim appointments on the searches, see Section 2.3.89). The spirit and letter of all applicable equal opportunity and affirmative action regulations shall be followed.

Administrative Search Committees include those for:

(a) President of the University

It is recommended that the presidential search committee have representation by the faculty from the Norman Campus, the Health Sciences Center, student(s), and staff. The ~~Board of University Regents~~ would appoint these members from nominees selected by the following organizations: faculty members by the appropriate Faculty Senate; student member(s) by the University of Oklahoma Student Association or the Health Sciences Center Student Association; and staff member(s) by the Staff Senate, Norman Campus, or the Staff Senate, HSC Campus. Faculty members shall constitute a majority. There shall be twice as many nominees as there are positions. The ~~Board of University Regents~~ shall designate other members as deemed appropriate. Designees from outside the University shall be subject to the approval of the ~~Board of University Regents~~.

(b) Provosts, Vice Presidents, and Vice Provosts

The committee shall have faculty, student, and staff representation. The President of the University shall appoint these members from nominees selected by the following organizations: faculty members, by the appropriate Faculty Senate; student member(s), by the University of Oklahoma Student Association or the Health Sciences Center Student Association; and staff member(s), by the Staff Senate, Norman Campus, or the Staff Senate, HSC Campus. Faculty members shall constitute a majority. There shall be twice as many nominees as there are positions. The President of the University ~~can~~ may designate other members as deemed appropriate; provided designees from outside the University shall be subject to the approval of the ~~Board of University Regents~~.

(c) Deans

The committee shall have faculty, student, and staff representation. The procedure for selecting student and staff representation shall be as outlined in paragraph (b). Upon requesting nominations by faculty members, the President of the University shall designate the number of positions to be filled from (1) the ~~general~~ regular faculty of the particular college or unit involved, and (2) from the University faculty at large. The former shall constitute a majority of committee positions and shall be nominated by the ~~general~~ regular faculty of the college or unit involved. There shall be at least one position filled from the University faculty at large from nominations made by the Faculty Senate. In all cases, there shall be twice as many nominees as there are positions. The President of the University shall make all appointments.

(Regents, 5-12-83, 3-21-95)

College Administration**2.8.1**

The dean is the chief administrative officer of a college and is responsible for providing leadership and administrative support to the programs and faculty of the college and for representing the college in relations with other colleges and administrative officers of the University.

The dean of a college is nominated to the University Regents by the President after considering the recommendation of the Senior Vice President and Provost (Section 2.7.5 (c)). ~~Continuation of appointment of deans is recommended by the Senior Vice President and Provost after consultation with appropriate administrators, faculty, and students.~~

- (a) **Administrative Duties.** The dean is responsible for carrying out the policies of the University and college and is responsible for the preparation and submission of the budget for the college and for its implementation when approved. Using guidelines approved for the college, the dean makes recommendations through the Senior Vice President and Provost to the President for the appointment, promotion, tenure, dismissal, retirement, and for other personnel decisions pertaining to faculty members in the college. Units affected should be consulted and their advice considered in developing such recommendations.
- (b) **Leadership Function.** The dean has an obligation to foster the welfare of the entire college faculty and staff and to encourage and facilitate their work and professional development. The dean appraises faculty members of University, college, and departmental policies and requires compliance. The dean is responsible for the review and evaluation of the academic programs within the college and is expected to provide guidance to the faculty in developing appropriate and effective academic programs.
- (c) **Organization.** The dean is responsible for the administrative organization of the college. The faculty of a college usually is organized into distinct academic units, such as departments. The organization of such units is recommended by the dean and approved by the Senior Vice President and Provost, President and, as appropriate, the University Board of Regents. The units provide groupings for faculty associated with one or more related academic programs and disciplines and provide for active participation by the faculty in carrying out the work of the college.

At times, it is in the best interest of a college to reorganize among its units in order to respond to new circumstances or to strengthen existing programs. Before such a recommendation, the dean will inform and consult with the faculty of the units affected (see Appendices IF and JG).

- (d) **Evaluation.** The primary purpose of an evaluation is to provide constructive information toward improved performance of the dean. The information will be made available to the dean and University officers to whom the dean is responsible. Evaluation of the dean's performance is carried out by those University officers to whom the dean is responsible. It includes, but is not limited to, confidential evaluation by the faculty of the college.
 - 1) Performance evaluations will be conducted of all deans by the Senior Vice President and Provost at least every three years. The evaluation shall include:
 - (a) A self-assessment by the dean.

- (b) Confidential evaluation by the faculty of the college conducted by the Senior Vice President and Provost.
 - (c) A formal consultation between the dean and the Senior Vice President and Provost.
- 2) Evaluation Procedures and Criteria. Evaluation procedures should provide the opportunity for input into the evaluation from the faculty, chairs/directors, and as deemed appropriate by the Senior Vice President and Provost, from the staff, students, and appropriate external constituencies of the college.
- (e) Vacancy. Whenever a vacancy occurs in the office of a college dean dean's position, the Senior Vice President and Provost shall appoint an interim dean of the college until a permanent dean assumes responsibility for the college. Prior to the appointment, the Senior Vice President and Provost shall seek input from representatives of the faculty, chairs/directors, and staff of the college involved to obtain advice on an appropriate candidate for the interim dean. (For the effect of an interim appointment on the selection procedure for a new dean, see Section 2.3.89.)
 - (f) Termination. The Senior Vice President and Provost may decide not to reappoint a dean or may decide to remove a dean if it is determined to be in the best interest of the college and the University. The Senior Vice President and Provost shall inform the faculty of such a decision.

(Regents, 1-26-99)

Departmental Administration

2.8.2

An academic unit of a college, usually called a department, is administered by a chair (or an equivalent title recommended by the college and approved by the Senior Vice President and Provost and the President). The chair provides leadership in matters of policy determined by the faculty of the department, operating within guidelines provided by the University of Oklahoma Board of Regents of the University of Oklahoma, University administrative officers, and the college. The departmental faculty is defined as all members who are within the general faculty and includes the chair. In colleges not divided into separate units, the college faculty is the equivalent of the departmental faculty, and the dean performs the duties and functions of the chair.

- (a) Departmental Chairs. The chair has a leadership function and is accountable both to the department and to the dean for the performance of this function. The chair represents the department in relations with other departments, with the deans, with other administrative officers of the University, and with affiliated institutions. The chair is expected to encourage and facilitate the work, quality, and professional development of the department. The chair is the immediate supervisor of the faculty within the department and is expected to aid the faculty in their professional development; to develop and maintain a high standard of performance from faculty; and to ensure that departmental personnel comply with University, Health Sciences Center, college, and departmental policies.
- 1) Functions. The chair shall take the initiative in reporting the needs and championing the causes of the department to the dean. This includes a basic responsibility for obtaining merited recognition of faculty members with respect to promotions, salary increases, and support for career development. Other leadership functions include implementing the Affirmative Action Plan, summarizing the program review, and recommending tenure

considerations. The chair provides leadership in all matters of policy as determined by the faculty, dean, and Senior Vice President and Provost.

- 2) Department Responsibilities. The chair determines procedures for carrying on the work of the department. Such functions shall include, but not be limited to: (1) determining time and frequency of teaching staff meetings (at least monthly); (2) approving class schedules for the department; (3) establishing policy for expenditures from departmental budget; and (4) making recommendations for increases in salary, promotion, new appointments, tenure, and teaching methods, with appropriate faculty input.
- 3) Appointment. The faculty of the department shall have a role in the appointment. The chair of a department is nominated to the Regents by the President after receiving recommendations of a duly appointed search committee, the appropriate dean(s), and the Senior Vice President and Provost. The search committee should be appointed by the dean(s). A majority of its membership should be members of the ~~general~~ regular faculty.
- 4) Evaluation. Evaluation of the chair is determined by his or her overall contribution to the University, including the quality of his or her administrative work. The chair's work will be subject to review by dean(s). This evaluation requires input from departmental faculty. Where appropriate, outside consultants shall be asked to provide performance evaluation.

Performance evaluations will be conducted of all chairs by the dean each year. The annual evaluation shall include:

- (a) A self-assessment by the chair.
 - (b) A confidential evaluation by the faculty of the department conducted by the dean of the college.
 - (c) A formal consultation between the chair and the dean.
 - (d) ~~The dean must provide d~~ Direct feedback from the dean in writing to the department chair relative to the chair's performance evaluation each year.
- 5) Evaluation Procedures and Criteria. Evaluation procedures should provide the opportunity for input into the evaluation from the faculty and, as deemed appropriate by the dean, from the staff, students, and appropriate external constituencies of the college.
 - 6) Vacancy. Whenever a vacancy occurs in the ~~office of a~~ department chair's position, the dean shall appoint an interim chair of the department until a permanent chair assumes responsibility for the college. Prior to the appointment, the dean shall seek input from representatives of the faculty, chairs/directors, and staff of the college involved to obtain advice on an appropriate candidate for the interim chair.
 - 7) ~~Term of Appointment Termination. The term of appointment corresponds to the academic year.~~ A dean may decide not to reappoint a chair or may decide to remove a chair ~~during the academic year~~ if it is determined to be in the best interest of the department, the college, and the University. The dean shall inform the faculty of such a decision.

(Regents, 1-26-99)

3. FACULTY PERSONNEL POLICIES AND GENERAL INFORMATION

FACULTY PERSONNEL POLICY

It is the policy of the University to recognize and implement the functions of teaching, research and scholarly achievement, continuing education, and service. The responsibility for carrying out this policy is shared by the University 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.

(Regents, 1-26-99)

THE GENERAL AND REGULAR FACULTY

3.1

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, or consecutive term appointments. Regular faculty also include some full-time faculty whose salaries are paid all or in part by an affiliated institution such as the Veterans Affairs Medical Center or the Oklahoma Medical Research Foundation.

All legislative powers of the faculty relative to the University as a whole are vested in the Regular Faculty. These legislative powers are exercised either directly by the Regular Faculty or by the Faculty Senates on the Health Sciences Center and the Norman campuses. The Faculty Senates are responsible to the Regular Faculty for all action taken in its behalf.

Additional policies related to the faculty, and the Faculty Senate are contained in Appendices A and B.

(Regents, 1-26-99)

Faculty Titles

3.2.1

Faculty titles may be unmodified or modified (see Section 3-2 3.3(a)).

- (a) Regular Faculty Titles – Faculty holding regular appointments 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 have that noted as a ~~prefix to part of~~ part of their title.
- (b) Temporary Faculty Titles – Faculty holding temporary appointments (see Section 3.3.3 (d)) have titles such as instructor, lecturer, or associate, or are ~~denoted modified by the use of such prefixes such~~ denoted as visiting, adjunct, clinical, or acting (see 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 – Associate, instructor, and lecturer. Except for lecturers, these 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.

- (c) Volunteer Faculty Titles – Volunteer faculty serve without remuneration and may 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)

Emeritus Titles

3.3.1

- (d) Emeritus Titles - The emeritus title is granted only by the University of Oklahoma 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 University Regents to grant the title "emeritus" to former executive officers and deans upon retirement.

(President, 9-10-85)

Administrative Titles

3.3.2 3.2.2

- (a) Academic Administrative Titles – The following administrative titles are in addition to the academic faculty title and are established by the University Regents:

University and Campus Level: President and Senior Vice President and Provost
College: Dean
Department or Division: Chair or Head (Section ~~heads~~ chiefs are appointed by the Dean on recommendation of the chair and do not require University Regents' approval.)

The prefixes executive, deputy, vice, associate, and assistant are established by the University 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, and Assistant Provost, Associate Dean, and Assistant Dean may also be used as non-academic administrative titles for staff employees appointed to these positions at the Health Sciences Center, as established by the University Regents.

Administrative departments and divisions are led by Directors, as appointed by the University 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 University 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.

FACULTY APPOINTMENTS

3.2 3.3

Faculty appointments may be ~~temporary~~, tenure track, tenured, or consecutive term, temporary or volunteer (see Section ~~3.2.5~~ 3.3.3). The type of appointment will be determined by the academic unit in consultation with the appointee and with the approval of the ~~Dean~~, the Senior Vice President and Provost and the University administration.

- (a) Full-time faculty appointments with unmodified academic titles (~~instructor~~, assistant professor, associate professor, and professor) shall be limited to those faculty who devote their full-time professional effort to direct University activities (see Section 3.6) 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.
- (c) 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 academic title (visiting, adjunct, clinical, etc.).

(Regents, 1-26-99)

- (d) Volunteer faculty appointments have a modified academic title, and are without remuneration.

Appointment of New Faculty

3.2.1 3.3.1

In the appointment of new faculty, action is initiated by the 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~~ University Regents.

- (a) Official Offer – The formal offer of appointment must come from the Senior Vice President and Provost or the President and will include the statement that the appointment is contingent upon the approval of the University Regents. The letter of offer will specify academic rank, appointment type (with tenure, tenure track, consecutive term, or temporary), beginning date of employment, salary, full-time equivalent, the length of pretenure period if tenure track (see Section 3.9.1 and 3.9.3), and any special conditions

pertaining to the appointment. Enclosed with the formal offer will be a copy of the *Faculty Handbook*, together with supplemental information on such matters as 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.

- (b) Contract – If the appointment is approved by the University Regents, faculty with regular (tenure track, tenured, or consecutive term) appointments will be furnished a Contract of Employment will be furnished by the Regents' Office to the applicant 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 in accord with the policies specified, with the understanding that policies of the University are subject to change by the Board of University Regents. Any exceptions of to these policies must be described in the Contract.

In addition to the Contract for Employment, the appointee will receive a written statement provided by the department chair defining the appointee's initial teaching research, professional/clinical service and administrative responsibilities and other special conditions pertaining to the appointment. The department chair will also provide tenured, tenure track and consecutive term appointees with copies of the department and college tenure and promotion criteria.

- (c) 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)

Temporary, Tenure Track, Tenured, and Consecutive Term, and Temporary
Appointments 3.2.5 3.3.3

- (a) Full-time tenure track or tenured appointments ~~at the unmodified rank of assistant professor and above~~ are regular appointments.
- (b) Consecutive term appointments are regular appointments. All consecutive term appointments are non-tenure track. ~~Full-time faculty who hold a regular faculty title of assistant professor or above and who are ineligible for tenure shall be eligible for renewable consecutive term appointments with~~ There are no restrictions placed on the number of renewable consecutive terms that may be served.

Eligibility for consecutive term appointments shall be determined by the academic unit ~~with the approval of the faculty member~~, the dean, the Senior Vice President and Provost, and the University administration. This understanding shall be specified in the contract. The length of the consecutive term appointment shall end with the academic year.

- (c) No faculty individual may be appointed to a regular faculty appointment until all Affirmative Action requirements have been completed.
- (d) Temporary appointments begin and end at specified times and do not extend beyond the end of each academic year. Temporary appointments do not require approval by the University Regents for salaries under \$60,000. No notice of non-reappointment is required for temporary appointees. Temporary faculty may not appeal non-reappointment to the Faculty

Appeals Board. Except as noted in Section ~~3.9.2(f)~~3.3.7(c) 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 ~~denoted~~ modified by the use of such prefixes as visiting, adjunct, clinical, or acting. Other temporary titles are ~~referenced~~ referred to in Section 3.2.1 (b). Faculty on temporary appointments are not eligible for tenure and their ~~contracts~~ 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 3.2.5(b)). 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)

Joint and Secondary Appointments

~~3.2.3~~ 3.3.4

- (a) Joint appointments – Joint appointments in two or more academic units or colleges are possible. ~~allowable, and are encouraged when they benefit the University.~~ A joint appointments consist of a primary appointment in two academic units or colleges, and cannot total more than 1.0 Full-Time Equivalent (FTE). ~~and~~ Joint appointments must be approved by both academic units and colleges involved, the Senior Vice President and Provost, the President, and the ~~Board of~~ University Regents consistent with the criteria below.

Before a faculty member receives a joint appointment, the appropriate academic units must mutually determine, ~~and~~ record in writing, and secure administrative approval for the length of the pretenure period, ~~and~~ criteria for tenure, promotion, and reappointment or non-reappointment. The academic units must provide a written description of the ~~appointee's~~ faculty member's teaching, service, research and administrative ~~duties and responsibilities~~ and other special conditions pertaining to the joint appointment. The ~~appointee~~ faculty member shall receive a copy of this written statement. ~~One academic unit and college shall have primary responsibility for promotion and tenure~~

(Regents, 7-15-96)

- (b) Secondary appointments – In recognition of teaching, research, or service contributions outside their primary department, faculty members may have one or more secondary appointments in other academic units. Secondary appointments are modified by such prefixes as adjunct or clinical.

Part-Time Appointments

~~3.2.4~~ 3.3.5

A part-time appointment is one at less than 1.0 Full-Time Equivalent (FTE), has a modified title, and is considered temporary (see ~~3.2.5(a)~~ 3.3.3 (d)). At the time of any part-time appointment, the ~~appointee~~ faculty member and the University must reach a clear understanding of the terms of the part-time appointment. This understanding shall be in writing and the ~~appointee~~ faculty member shall ~~have~~ be given a copy.

(Regents, 7-15-96)

Changes in Appointment Status - Tenure Track and Consecutive Term Appointments**3.26 3.3.6**

- (a) ~~A faculty member on a tenure track appointment may request a~~ 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 pretenure period, but prior to the initiation of the procedures for tenure decision (see Section 3.9.5). However, a faculty member may not return to a tenure track appointment after such change to a consecutive term appointment.
- (b) ~~At the request of the faculty member and w~~ 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 at any time request to be placed in 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 served in a consecutive term appointment may be credited toward the pretenure period, and all University policies relating to tenure shall apply (see Sections 3.9.1(b) and 3.9.2).
- (c) Under certain extraordinary circumstances in order to meet 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.

(Regents, 7-15-96, 1-26-99)

Changes in Status – Tenured Appointments**3.3.7****3.9.2(e)**

- (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.

3.9.2(g)

- (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 who has been granted tenure and who changes from a full-time or part-time appointment (per (f) above) to a volunteer appointment automatically forfeits tenured status. A tenured faculty member may retain tenure during phased retirement.

3.9.2(f)

- (c) ~~With the approval~~ 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, 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, to less than full-time and maintain a tenured status, specific regential approval by the University Regents is necessary.
- (d) A tenured faculty member retains tenure during phased retirement.

Notifications of Non-Reappointment of Tenure Track or Consecutive Term Contract Appointment **3.2.7 3.3.8**

Action on the non-reappointment 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 University Regents.

- (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 by March 1. If the first year appointment terminates at a time other than the end of the academic year, notice must be given at least three months before the end of the appointment period.
- (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 by December 15 of the second year of appointment. If the second year appointment terminates at a time other than the end of the academic year, notice must be given at least six months before the end of the appointment period.
- (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 by May 31 of the year preceding the final year of appointment. If the appointment ends at a time other than the end of the academic year, notice must be given at least twelve months before the end of the appointment period.
- (d) All notifications of non-reappointment shall be given in writing by the Senior Vice President and Provost.
- (e) The faculty member may appeal non-renewal of appointment to the Faculty Appeals Board only if notification practices prescribed in the foregoing paragraphs of this section are not followed.

(Regents, 7-15-96, 1-26-99)

Resignation

3.2.8 3.3.9

A faculty member who elects to resign ~~at the end of an academic year~~ is obligated to give notice in writing to the department chair ~~by May 15 or~~ within thirty days of receiving notification of the terms of his or her appointment for the coming year, whichever date is later. A faculty member may request a waiver of this requirement.

(Regents, 7-15-96)

Academic Responsibility

3.4.2

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, age, religion, disability, status as a veteran, or political beliefs. 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.

FACULTY ACCOUNTABILITY

3.5

A faculty member is held accountable for his or her performance in fulfilling faculty duties (Sections 3.6 and 3.7), in being academically responsible (Section 3.4) and in following University policies. Persons who accept full-time employment at the University of Oklahoma 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 work. 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 as a whole.

The most immediate agent of faculty accountability is the faculty member's chair, 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.

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 poor professional performance or breach of academic responsibility, the President may consider applying a minor sanction, such as a formal reprimand. Prior to any such action, the President 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 severe sanctions, dismissal, and abrogation of tenure (Section 3.132).

(Regents, 1-26-99)

PROFESSIONAL ACTIVITIES OF THE FACULTY

3.6

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 service. Each academic unit has an obligation to contribute to each of the three 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 3.23, 3.7, 3.9.4, and 3.11).

Teaching

3.6.1

Teaching, which is the transmission of knowledge and cultural values, focuses upon helping students to learn. Teaching refers to academic activities that promote learning among those individuals or groups with whom a faculty member interacts. 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 members who excel in teaching exhibit their command over the subject matter in classroom discussions, or 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, by the publication of such instructional materials as laboratory manuals and videotapes, or development of multimedia instructional materials and computer assisted learning techniques. Excellence in academic advising may serve to augment evidence of excellence in teaching.

Faculty supervision or guidance of students in recognized academic pursuits that confer no University credit should also be considered as teaching. Faculty performing non-administrative professional and clinical duties for which they are employed shall be regarded as engaged in teaching when these activities contribute to the academic mission. Professional librarians in the discharge of their professional duties shall be regarded as engaged in teaching.

(Regents, 7-15-96, 1-26-99)

Research/Scholarly Achievement

3.6.2

Research, is the development, validation and dissemination of new knowledge. The term *research* as used here is understood to mean systematic, original investigation directed toward the expansion of human knowledge or the solution of contemporary problems. *Scholarly achievement* 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 scholarly accomplishments must be the generally accepted standards prevailing in the applicable discipline or professional area. To qualify as research or scholarly achievement, 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/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)

Professional Service

3.6.3

- (a) Professional service, which is the application of knowledge gained through research or scholarly achievement, 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; 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; ~~the development and preparation of~~ developing and preparing proposals for research, training grants or other purposes; writing book reviews in professional journals; ~~refereeing of~~ reviewing research papers and manuscripts submitted for publication. ~~and service within the University that reflects an application of specialized knowledge or skill to the institution's affairs.~~

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; improvement in clinical management; management of facility based functions such as quality improvement, infection control, utilization review, etc.;

- (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 government 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 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 ~~requested~~ 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.

(Regents, 7-15-96)

FACULTY EVALUATION

3.7

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 and shall not supersede the criteria in Section 3.9.4. The criteria stated in Section 3.9.4 are basic to an on-going faculty evaluation system and shall govern the process. Specific faculty assignments and the specific mission of the 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 in the written statement(s) from by the department chair (Section 3.2.1(b)) and will include teaching, research/scholarly achievement, and service, as well as the needs of the department and college. An assessment of the faculty member's overall contribution to his/her college and the mission of the University, as well as his/her adherence to the ~~concepts~~ standards of faculty accountability as noted in Section 3.5 must be included in any faculty evaluations.

Procedures for Recommendations on Salary Adjustments

3.8.1

Procedural guidelines for salary recommendations are as follows:

- (a) The chair of the academic unit will annually collect (1) achievement data from all academic units' 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 (Section 3.7) 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~~ University Regents.

Adjustments of Salary Inequities

3.8.2

- (a) 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.

- ~~(b) If budgetary limitations make impossible the awarding of appropriate merit increases in salary for exceptional performance in any particular year, an adjustment should occur at the next budget period when funds are available.~~

FACULTY TENURE

3.9

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 his or her continued employment subject to certain qualifications (Section 3.13). The University expects that tenured faculty members will maintain the level of performance by which they initially earned 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 University Board of Regents, only the portion of annual base salary paid by the University of Oklahoma is committed in the award of tenure.

Definitions

3.9.1

- (a) The term *tenure* means continuous reappointment to an achieved academic rank in accordance with the 1947 action of the Regents of the University of Oklahoma. Tenure must be granted or denied by specific action of the University Regents.

Tenure is designed as a means to protect the academic freedom of faculty members ~~This is to say, tenure is a means~~ 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 3.5 Faculty Accountability.

- (b) The term *pretenure 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. Tenure track faculty have a pretenure 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 pretenure 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 pretenure 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 pretenure period at The University of Oklahoma.

Eligibility for Tenure

3.9.2

- (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 pretenure period.

- (b) ~~At the request of the faculty member and w~~ 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 ~~at any time request to be placed in~~ 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 pretenure period.
- (c) ~~At the request of the faculty member and w~~ 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 ~~request a~~ be changed to a consecutive term appointment at any time during the six (6) year pretenure 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.
- (d) Before a regular faculty member assumes primarily administrative duties during the pretenure period, a written agreement must be reached between the ~~individual concerned,~~ faculty member, the chair of the academic unit, the dean, and Senior Vice President and Provost, as to whether the ~~individual~~ faculty member will be reviewed for tenure, at what time, and under what conditions.

[e,f,g, below moved to new 3.3.7]

- ~~(e) 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.~~
- ~~(f) With the approval 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 when it is recommended that a tenured faculty member be permitted to reduce his or her employment for a period of six months or more, to less than full-time and maintain a tenured status, specific regential approval is necessary.~~
- ~~(g) A faculty member who has been granted tenure and changes from a full-time or part-time appointment (see (f) above) to a volunteer appointment automatically forfeits tenured status. A tenured faculty member may retain tenure during phased retirement.~~

Pretenure Periods

3.9.3

- ~~(b)~~
- ~~(a) Full-time tenure track faculty will generally have a pretenure period of six (6) years.~~
- ~~(a)~~
- ~~(b) The beginning first year of the pretenure period for a faculty member whose ~~date of appointment is prior to the start of the second semester~~ effective date of service is between July 1 and December 31 will be the first of that academic year. If the ~~date of appointment is in the second semester~~ effective date of service is between January 1 and June 30, the first year of the pretenure period will begin with the next academic year.~~
- ~~(b)~~
- ~~(c) Full-time tenure track faculty have a pretenure period of six (6) years. In rare certain circumstances, the chair of the academic unit and dean may request an extension of the pretenure period not to exceed three (3) years.~~

- (e)
- (d) ~~Prior Service: For assistant professors, the pretenure 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 prior service may be included for associate professors and professors (see Section 3.2.5(c)). The faculty member may request in writing at the time of the first regular tenure track appointment that such prior service should be included. This request Inclusion of prior service requires approval by the chair of the academic unit, the dean, and the Senior Vice President and Provost.~~
- (d) ~~A new faculty member appointed at the rank of professor or associate professor may be granted tenure from the date of appointment. The determination of tenure shall be made in the regular fashion, as specified in Section 3.9.5 (b) through (r). [moved to (g)]~~
- (e) Prior full-time service as instructor or in a comparable non-professorial rank at other institutions of higher education may be counted as part of the pretenure 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.
- (f) Ordinarily, prior full-time service on temporary appointments at the University of Oklahoma is not counted in the pretenure period but may be if requested by the applicant and approved in writing by the chair of the academic unit, dean, and Senior Vice President and Provost.
- (d)
- (g) ~~A new faculty member appointed at the rank of professor or associate professor may be granted tenure from the date of appointment. The determination of tenure shall be made in the regular fashion, as specified in Section 3.9.5 (b) through (r).~~
- (g) ~~A faculty member who has resigned during the pretenure period may be considered for reappointment. Up to three years from a previous professorial appointment to the regular faculty at the University of Oklahoma may be counted in the pretenure period if the faculty member requests in writing and the chair of the academic unit, dean, and Senior Vice President and Provost approve.~~
- (h) Tenure may be awarded to faculty members of high merit prior to the end of the last probationary year pretenure period. An academic unit's recommendation to award 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 pretenure period and be considered for tenure again without prejudice.
- (i) Whenever a non-tenured part-time faculty member converts changes from part-time to full-time tenure track status, with the rank of assistant professor or above, specific written understanding must be approved by the Senior Vice President and Provost as to how the period of part-time service will be counted toward satisfying the pretenure period for tenure.
- (j) A maximum of one year of leave of absence without pay may be counted as part of the pretenure period, provided the chair of the academic unit in question records in writing its prior 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. Leaves of absence without pay counted as part of the pretenure period must entail appropriate evaluation of professional activities carried out during the leave. If a tenure track faculty

~~member takes extended family and medical leave, the pretenure 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.~~

(k) If a tenure track faculty member takes extended family and medical leave, the pretenure 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.

~~(k)~~

(l) A faculty member at any rank who is denied tenure shall be retained on the faculty until the end of the academic year following that in which he/she tenure was considered for tenure, (i.e. the terminal year) unless he/she the faculty member is dismissed according to Section 3.132. ~~Should the faculty member initiate an appeal such a~~ An appeal of denial of tenure shall not have the effect of extending the faculty member's terminal year. ~~should tenure be denied as specified in Section 3.9.5.~~

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 University Regents.

~~(l) A faculty member at any rank who is denied tenure cannot be reappointed into a regular tenure track position but, as noted in (l) above, under certain circumstances and upon recommendation by the chair of the academic unit, dean, and Senior Vice President and Provost may be granted a consecutive term or temporary appointment, and as such will not be eligible for future tenure consideration.~~

(m) Faculty members ~~awarded~~ awarded tenure will normally commence their continuous tenured appointments in the academic year immediately following the University Regents' action.

Criteria for the Tenure Decision

3.9.4

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 his/her college and the mission of the University and the candidate's adherence to the fundamentals of faculty accountability as noted in Section 3.5. While specific responsibilities of faculty members may vary because of special assignments or because of 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 3.6.1)
- (2) Research/Scholarly Achievement (Section 3.6.2)
- (3) Professional Service (Section 3.6.3)

All candidates for tenure must have displayed a record of substantial accomplishment in each of the three areas (teaching, research/scholarly achievement, and professional service) 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/scholarly achievement and service.

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 unit, including specific expectations for evaluation of faculty performance in teaching, research/scholarly achievement and service. These criteria must be in accord with and do not supersede the criteria described in this section. The criteria for tenure will be in full force unless an exception is specified in the contract 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*, 3.9.4 and 3.9.5. Consequently, all faculty should become familiar with the departmental, college, and University criteria.

Any exception to the policy that faculty will be evaluated on their performances in the three areas of teaching, research/creative achievement, and professional service must be documented in a specific contract 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. ~~The initial conditions of employment set forth in the letters of offer and acceptance do not exempt the faculty member from this policy.~~

As part of the overall promotion and tenure process, the department chair should provide junior faculty should be given helpful with 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 University Regents during a faculty member's pretenure period, the faculty member may elect to be evaluated under the criteria approved by the University Regents in effect at the start of his/her pretenure period.

The award of tenure carries with it the expectation that the University ~~shall~~ will continue to need the services of the faculty member, is capable of performing and that the financial resources ~~are expected to~~ 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 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 3.7).

Procedures for Tenure Decision

3.9.5

- (a) The chair of the academic unit shall notify a A faculty member who is eligible for tenure consideration ~~shall be notified by the chair of the academic unit~~ at least eight weeks before the initial vote by the faculty member's colleagues. (See (f) below)
- (b) The chair of the academic unit will request ~~At the time of notification,~~ the candidate for tenure ~~shall be requested~~ to submit material which will be helpful to an adequate consideration of the faculty member's performance or professional activities in relationship to the tenure criteria. 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) In general documentation of the individual's academic accomplishments should include, but not be limited to the following:
- 1) Complete and up-to-date 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/scholarly achievement, and service should 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 tenure. 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) Documentation of teaching accomplishments should reflect the candidate's contribution, quality, innovation, or 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, 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/scholarly accomplishments should reflect the level and quality of the candidate's research/scholarly achievement. Recognition of research/scholarly achievement accomplishments could be demonstrated by invitations to chair or organize symposia, edit books or journals in the professional discipline, publications in peer-reviewed journals, participation as a presenter in
 - 5) national/international symposia, conferences, and professional meetings, etc., 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.
 - 6) Documentation of professional/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 case studies, monographs, reviews, and book chapters; etc.

- (d) 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.
- (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 prevent 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 pretenure year 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 pretenure 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, Campus Tenure Committee, Dean, Senior
- (i) 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.
- (j) 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 request information and advice from any source.
- (k) ~~Each dean will have an advisory council for tenure review and may request information and advice from any source.~~ 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, and forward all materials to the Campus Tenure Committee, and will 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.

(m)

- (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 defects 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 3.9.4).
- (n) The Campus Tenure Committee will attach its recommendation to the tenure materials and forward all materials to the Senior Vice President and Provost with supporting reasons and will notify the candidate, the chair of the unit, and the college dean of its recommendations.
- (o) In determining their recommendation, the Senior Vice President and Provost and University administration may request information and advice from any source.
- (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) The recommendation of the Senior Vice President and Provost will be submitted to the President. 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.
- (r) If the President plans to submit a recommendation contrary to that of the Campus Tenure Committee, the President shall notify the Committee in time to allow the Committee to request a hearing with the President prior to his making 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 he or she 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.

He or she may appeal discrimination on the basis of race, color, sex, age, religion, disability, national origin, or status as a veteran to the University Equal Opportunity and Affirmative Action 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 and Affirmative Action Officer is pending. Where the tenure appeal prevents the tenure process from being completed before the end of the

terminal year (Section 3.9.3 (kl)), 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 Provost by May 31 of the tenure decision, except when appeals make this impossible.

(Regents, 7-15-96, 1-26-99)

FISCAL RESPONSIBILITY

3.10

In each case where tenure is awarded there must be assurance that continuing financial support may reasonably be anticipated. ~~The President of the University or his or her designee shall determine annually which sources and amounts of funds are sufficiently secure to support the University's tenure awards and what portion of those funds are to be available to each academic dean for tenure awards within the colleges.~~

ADVANCEMENT IN RANK

3.11

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 3.11.1). Promotion decisions are to be made independent from tenure decisions.

Criteria for Promotion

3.11.1

Decisions to promote a faculty member must be made in light of a thorough evaluation of his or her performance in all the areas of faculty activity (Sections 3.6.1, 3.6.2, and 3.6.3) as specified in the department and college promotion and tenure criteria and procedures. Promotion criteria for tenure track faculty will mirror those criteria for tenure contained in Section 3.9.4.

Each college and department must have a document that sets forth the standards and procedures governing promotion and tenure of faculty within that college and department. The college and department 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 college and department promotion documents:

- (a) ~~Appointment as~~ Promotion to assistant professor is usually based on an advanced degree, and/or certifications(s) that are standard prerequisites for an academic appointment in their discipline, appropriate experience, and promise for academic accomplishment;
- (b) Promotion to associate professor usually is based on five (5) or more years as an assistant professor, a sustained record of academic accomplishment in teaching, research/scholarly achievement, and professional service, 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) Promotion to professor is a high honor, and usually is 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/scholarly achievement, and service.
- (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.

Procedures for Promotion

3.11.2

- (a) The process regarding advancement in rank shall originate in the academic units, according to procedures 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 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/scholarly achievement, and service 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/scholarly achievement, and service accomplishments are noted in Section 3.9.5 (c) (3)(4)(5). The candidate is entitled to review the information in his/her promotion file.
- (d) All faculty in the department who are of equal or higher rank to which the candidate is being considered shall meet for a discussion of 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 ~~attend this meeting~~ participate in this vote.

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

ABROGATION OF TENURE, DISMISSAL BEFORE EXPIRATION OF A TENURE-TRACK OR CONSECUTIVE TERM APPOINTMENT, SEVERE SANCTIONS, AND SUMMARY SUSPENSION AND FAILURE TO COMPLY WITH THE UNIVERSITY COMPLIANCE PROGRAM **3.132**

Only the Board of University Regents have the power to abrogate tenure, impose severe sanctions or to dismiss a faculty member who has tenure or a non-tenured faculty member whose term of appointment has not expired before expiration of a tenure-track or consecutive term appointment, impose severe sanctions or summary suspension. ~~It is the University's policy that~~ †The University Regents shall exercise 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 3.132.3 and Appendix IF.

(a) Abrogation of Tenure or Dismissal Before Expiration of a Tenure-track or Consecutive Term Appointment:

The University strives to exercise great care in selecting its faculty appointees and in to conferring tenure only upon those faculty members who have demonstrated their merit for continuous appointment. For that reason, abrogation of tenure, or a dismissal proceeding involving a tenured faculty member or of a non-tenured tenure-track or consecutive term faculty member whose term of appointment has not expired should be an exceptional event.

~~Such sanctions may include, but are not limited to, loss of prospective benefits 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); restitution (payment of damages due to individuals or to the institution); a fine; a reduction in salary; or suspension from service for a stated period, without other prejudice. With the exception of dismissal, it shall not be considered a severe sanction to impose fines upon, suspend the billing privileges of, or otherwise sanction University faculty who are determined to be out of compliance with the University~~

~~Physicians Medical Group's Billing Compliance policy. 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. [Moved to (b) and (d) below]~~

While abrogation of tenure or dismissal of tenure-track or consecutive term faculty and/or severe sanctions will generally will be required infrequently, the University must be prepared for such an eventualityies, so that both the integrity of the University and the rights of the faculty members may be preserved. ~~Toward this end, the faculty, through~~†The Faculty Appeals Board must be willing to recommend is the appropriate appeals process for abrogation of tenure, or dismissal of a tenure-track or consecutive term appointment. ~~sanctions upon against or dismissal of a colleague when necessary. By the same token, the President and~~†The University Regents shall give all reasonable consideration to ~~faculty judgments~~ the recommendations of the Faculty Appeals Board Hearing Committee.

(b) Severe Sanctions:

It is also recognized, however, that a few faculty members may, from time to time, ~~be guilty of offenses engage in improper conduct~~ of lesser gravity which that require sanctions short of dismissal. 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. The faculty, through the Faculty Appeals Board, must be willing to recommend severe sanctions against a colleague when necessary.

~~Such~~ Severe sanctions may include, but are not limited to, loss of prospective benefits 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.); restitution (payment of damages due to individuals or to the institution); a fine; a reduction in salary; or suspension from service for a stated period. ~~without other prejudice.~~

(c) Summary Suspension: [moved from 3.13.2]

Suspension of a faculty member, or assignment to other duties in lieu of suspension, before a hearing is justified ~~only~~ if immediate harm to the faculty member or to others is threatened by that person's continued performance of regular duties, or if the faculty member has failed to adhere to the University's Compliance Program. ~~The faculty member may, on request, be relieved of some or all 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.

(d) Failure to adhere to University Compliance Program:

An employee's failure to adhere to the University Compliance Program or other federal or state-mandates require that the University take quick and decisive action. With the exception of dismissal, it shall not be considered a severe sanction to impose fines upon, suspend the billing privileges of, or otherwise sanction University faculty who are determined to be out of compliance with the ~~University Physician Medical Group's~~ OU Physicians' Billing Compliance policy or who have failed to adhere to the University Compliance Program ~~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.~~

(Regents 7-15-96, 1-26-99)

Grounds for Abrogation of Tenure, Dismissal, and Severe Sanctions**3.13.1**

A faculty member against whom the imposition of abrogation of tenure, dismissal, or a severe sanction is to be brought, or whose dismissal is to be requested sought, must have been given such cause be informed in writing the reasons for seeking the action. ~~as relates directly and substantially to his or her professional capabilities or performance.~~ While it is not possible to specify all proper grounds for these drastic measures which abrogation of tenure, dismissal during the term of a contract, or severe sanctions may be sought, they include, but are not limited to the following: ~~Proper reasons for dismissal of a faculty member who has tenure or a non-tenured faculty member whose term appointment has not expired include but are not limited to the following:~~

- (a) Professional incompetence or dishonesty;
- (b) Substantial, manifest, or repeated failure to fulfill professional duties and responsibilities, or
- (c) Substantial, manifest, or repeated failure to adhere to University policies, including the University's Compliance Program;
- (e)
- (d) 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 Appeal Board hearing following termination;
- (d)
- (e) Personal behavior preventing the faculty member from satisfactory fulfillment of professional duties or responsibilities;
- (e)
- (f) Serious violations of law to which the faculty member has pleaded guilty or nolo contendere or which have been proved before a competent court of competent jurisdiction which that prevent the faculty member from satisfactorily fulfillment of professional duties or responsibilities, or violations of a court order, when such plea or order relates to the faculty member's proper performance of professional responsibilities.

(Regents, 1-26-99)

Grounds for Summary Suspension [moved up to 3.13(c)]**3.13.2**

- (a) ~~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, be relieved of some or all 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.~~
- (b) ~~When the President decides that he or she will recommend dismissal or other severe sanctions to the Regents, the President must so notify the faculty member in writing. If that sanction is not accepted by the faculty member, the faculty member may initiate an appeal by submitting a written request for a hearing to the Chair of the Faculty Appeals Board within 15 calendar days of the date of the President's letter. [moved to new 4.13.2 below]~~

Notification of Recommendation of Abrogation of Tenure, Dismissal of a Tenure-Track or Consecutive Term Appointment, or Severe Sanctions **3.132.2**

When the President decides that ~~he or she will~~ to recommend abrogation of tenure, dismissal of a tenure-track or consecutive term appointment, or other severe sanctions to the Regents, the President must so notify the faculty member in writing. ~~(See Section 3.16.1(b). If that sanction is not accepted by the faculty member, the faculty member may initiate an appeal by submitting a written request for a hearing to the Chair of the Faculty Appeals Board within 15 calendar days of the date of the President's letter. [moved to 3.16.1 b (1)]~~

(Regents, 1-26-99)

Termination of Continuous Appointment on Grounds of Financial Exigency or Program Discontinuance **3.132.3**

- (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 ~~F~~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. ~~Or~~ Changes in the University's educational function through action of the 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)

APPEALS AND GRIEVANCES

3.143

All faculty, whether tenured or not, are entitled to academic freedom as set forth in Section 3.1 and academic due process. [moved from 3.16]

These following procedures cover alleged prohibited discrimination, including sexual, racial, or ethnic harassment, and alleged violations of academic freedom, academic due process, and University policy. 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 grievances which have not been resolved administratively.

Faculty members serving as chairs, directors, deans, or other administrative positions, who are relieved of their administrative responsibilities ~~before their term expires, or are not reappointed for another term~~, may not file a grievance or appeal when the grievance or appeal is based upon actions related to their administrative performance.

There are two appeal processes; the Faculty Appeals Board (Section 3.154) and the Committee on Discrimination and Harassment (Section 3.17).

- (a) **Faculty Appeals Board** - The Faculty Appeals Board is the appropriate appeal process for alleged violations of due process, academic freedom, or other grievances other than alleged prohibited discrimination which have not been resolved administratively. It is also the appropriate appeal process for abrogation of tenure, dismissal of tenure-track or consecutive term appointment, or severe sanctions (Section 3.14.1)
- (b) **Committee on Discrimination and Harassment** - The Committee on Discrimination and Harassment is the appropriate appeal process for complaints involving harassment based on race, ethnicity, or sex, or discrimination because of race, national origin, sex, color, age, religion, disability, or status as a veteran. Such appeals must be filed with the University Equal Opportunity and Affirmative Action Officer (Section 3.15 3.17)
(Regents, 1-26-99)

~~The Faculty Appeals Board~~ THE FACULTY APPEALS BOARD

~~3.14.1~~

- (a) The Faculty Appeals Board is a standing body which responds to matters of tenure abrogation, dismissal, severe sanctions, alleged violations of academic freedom or academic due process, and other grievances concerning the alleged failure to follow University policy or alleged unfairness in the application of University policy unresolved through administrative procedures. The Faculty Appeals Board considers all such matters brought before it in a timely manner by individual faculty members, ~~or the President~~. It is the responsibility of the Faculty Appeals Chair and Faculty Senate Chair to ensure that all matters are handled expeditiously.
- 1) In cases related to 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 the faculty member will be considered the complainant and the administration the respondent. (See Section 3.16)
 - 2) In cases related to abrogation of tenure, dismissal of tenure-track or consecutive term appointment, or severe sanctions, the administration will be considered the complainant, the faculty member the respondent, and the letter from the President outlining the charges will serve as the complaint.
- (b) The Faculty Appeals Board of the Health Sciences Center shall consist of forty (40) tenured faculty members representing fairly the existing colleges on the Health Sciences Center campus. The members shall be elected 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 Provost]. All terms shall be four years. Membership on the Board is not a disqualification for service on other University councils or committees.
- (c) Each Faculty Appeals Board shall annually elect its own chair and vice chair from among those whose terms are nearest expiration. The chair and vice chair should be from separate colleges.
- (d) Responsibilities of Faculty Appeals Board chair:
- 1) The chair shall determine if the complaint is appealable, for example, whether the initial deadline, as set in section ~~3.15.1~~ 3.16.1, has been met or whether the complaint is concerned with the failure to follow University policy, or alleged unfairness in the application of University policy.

- 2) The chair may, at any time, meet 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.
 - 4) The chair, after consulting with the legal counsel assigned to the board, shall have the final decision on any procedural issues raised which are not addressed by the *Faculty Handbook* and in which there is an absence of agreement by the complainant and respondent.
 - 5) All responsibilities of the chair will be relinquished and passed to the vice-chair if the appeal is from a faculty member of 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 process 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)

FACULTY APPEALS BOARD PROCESS

3.165

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, Severe Sanctions, Summary Suspension, Failure to Comply with the University Compliance Program

~~All faculty, whether tenured or not, are entitled to academic freedom as set forth in Section 3.1 and academic due process. [moved to 3.14]~~

Initiation of Appeal and Request for a Hearing

3.165.1

- (a) Request for Hearing - 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:

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.

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 days after he/she has become 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.

(ab)2) Request for Hearing - Abrogation of tenure, dismissal of tenure-track or consecutive term appointment, or severe sanctions:

Any faculty member who chooses to appeal 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 University Regents must submit, as the respondent, a written request for hearing to the Chair of the Faculty Appeals Board within 15 calendar days of the date of the President's letter. (See ~~(be)1)~~ below).

²⁾³⁾
(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.

³⁾⁴⁾
(d) The Faculty Appeals Board process is a lay process which 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.

(be)1) Pre-Hearing Procedure:

- 1) Upon receipt of the written complaint as set out in ~~(a)1)~~ and (b)2) 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, ~~within 30 working days of receiving the respondent's statement,~~ convene the complainant, the respondent, and two members of the Faculty Appeals Board within 30 working days. ~~who~~ The two members shall be selected by the Chair in the same manner as members and alternates (Section ~~3.15.2~~ 16.2(d)) 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 3.15.3.
- 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 the issues involved in the complaint are not resolved If a satisfactory resolution is not reached within 45 working days from receipt of the formal request for hearing (13.16.1(a)(1)), the Chair of the Faculty Appeals Board will notify the parties that no resolution was reached and initiate formal hearing procedures.

Formal Hearing Procedure

3.15.2

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 informal discussion~~ pre-hearing conference described in section ~~3.15.1~~ 3.16.1 (be)(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 working days of ~~the informal discussion~~ receipt of notice per 3.16.1 (b) 3), a written statement embodying:
- 1) Relevant policies of the administrative or academic unit, the College, the Provost's Office, President's Office, and the Board of University Regents.
 - 2) The written complaint (3.15.1(a)).
 - 3) A summary of the evidence upon which the complaint is based.
 - 4) A list of witnesses to be called, a brief summary of their testimony, and a list of exhibits 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 working days, a written statement including:
- 1) Relevant policies of the administrative or academic unit, the College, the Provost's Office, President's Office and the Board of University 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 witnesses to be called, a brief summary of their testimony, and a list of exhibits to be presented.
- (c) Selection of Hearing Committee:
- 1) Within 5 working days after the informal discussion pre-hearing conference (3.15.1 3.16.1 (be)(1)) 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 that no one on the list has a bias related to the person(s) or issue at hand.

- (d)
2) Within 5 working days after submitting the list of eligible board members to both parties, the Chair of the Faculty Appeals Board, ~~upon notification of impending proceedings by the complainant and after preliminary discussion has not resolved the matter (3.15.1(b))~~, 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 should replacements become necessary through personal disqualification or challenge of individuals initially selected.

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.

- (e)
3) Within 10 working days of the initial selection of the Hearing Committee, the complainant and or the respondent in the case may each, by 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. ~~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.~~ If, however, a challenge for cause is disputed by either of the parties, the
4) whole Faculty Appeals Board Chair (including the members selected for the Hearing Committee, except for those challenged) shall decide by majority vote whether cause has been shown, and if so disqualify the member or alternate.

- (f)
5) 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 days of the date such challenges for cause are resolved.

All decisions regarding initial disqualifications shall be made prior to the first meeting of the Committee ~~to elect its own chair (3.15.2(1))~~. Within 20 working days after the Hearing Committee and the alternates have been finalized the Hearing Committee shall elect its own chair and set the date of the hearing. Every reasonable effort should be made by the Hearing Committee and both parties to hold the hearing ~~within the next 40 working days~~ as soon as possible.

- (g)
6) Members of the Hearing Committee who ~~have been~~ are disqualified, ill, or otherwise ~~and any members who, by reason of extended illness or absence from the campus, are~~ unable to serve, shall be replaced from among alternate members by the Chair of the Faculty Appeals Board. Alternates who are disqualified, ill or otherwise unavailable ~~unable to serve~~, or who become members of the Hearing Committee will be replaced from among the reserve pool (3.15.2(dc)(2)) by the Chair of the Faculty Appeals Board.

- (h)
7) 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.

(g)

8) 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.

(h)

9) If the duties of the 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 remainder of the Board shall decide by a majority vote whether such member shall continue to serve on the Hearing Committee

10) until the conclusion of the case or shall be replaced from among the alternates. The member will continue to serve unless either party objects in writing to the Chair of the Faculty Appeals Board within five working days of receipt of notice.

(k)

11) The pool of three (3) alternate members shall be maintained according to selection procedures in Section 3.15.2(d). Alternate members shall attend all meetings of the Hearing Committee.

~~(l) Within 20 working days after the Hearing Committee and the alternates have been finalized the Hearing Committee shall elect its own chair and set the date of the hearing. Every effort must be made to hold the hearing within the next 40 working days. [moved up to (f)]~~

Handling of Charges

3.15.3

- (a) Within 20 working days after the respondent has submitted the written response outlined in section 3.15.2(b), the Chair of the Faculty Appeals Board shall meet ~~once more~~ 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.

Hearing Regulations**3.15.4**

The following regulations shall apply:

- (a) The parties shall have the right to attend the hearing and to be accompanied by a colleague or counsel, or by both, to advise ~~him or her~~ them. The names of such advisors and/or counsel shall be provided to the Chair of the Hearing Committee at least 15 days prior to the hearing. Costs for such representation are borne by the respective parties. All hearings will be closed.

~~All hearings will be closed unless both the complainant or the respondent request of the Chair of the Faculty Appeals Board that it be open. The final decision will rest with the Chair of the Faculty Appeals Board.~~

- (b) The President or his designee may attend the hearing and may have a representative or counsel, or both. ~~to assist in developing the case.~~
- (c) The Chair of the Hearing Committee shall serve as liaison for communication to and from 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 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.
- (f) The written statements of both parties, as provided in Section 3.15.2 (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.
- (g) Both parties shall have the right to present, examine, and cross-examine witnesses.
- (h) The principles of confrontation shall apply throughout the hearing.
- (i) The President's Office shall make available to the faculty member such authority as it possesses to require the presence of witnesses.
- (j) The Board of Regents of the University of Oklahoma shall not be liable for any costs whatsoever incurred by the ~~complainant~~ faculty member except as set forth in this section.
- (k) The report of the Hearing Committee will be submitted to the Senior Vice President and Provost within 10 working days of the conclusion of the hearing regardless of whether the written transcript of the hearing is available.

Disposition of Charges**3.15.5**

The President shall transmit to the ~~Board of~~ University Regents the full record of the hearing and the findings and recommendations of the Hearing Committee, together with presidential recommendations. The ~~Board of~~ University Regents shall come to a decision in the case based upon the materials submitted plus any additional information which ~~they~~ it wishes to consider, or return the matter to the Hearing Committee with written directions as to how to proceed.

- (a) When the ~~Board of~~ University Regents reviews the matter the principals shall have the opportunity to present written argument. Oral arguments will be presented only upon request by the University Regents.
- (b) If the ~~Board of~~ University Regents chooses to return the matter to the Hearing Committee, the committee shall review the matter in light of the 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~~ University Regents, as before. The work of the Hearing Committee is finished when the President communicates in writing the final decision of the Regents to the Chair of the Hearing Committee and the principals in the case.
- (c) The full record ~~including transcript~~ shall ~~finally~~ be deposited in the office of the ~~Executive Secretary of the Board of Regents~~ Vice President for University Governance and Secretary of the University. Any Parties to the case may request copies or excerpts made from it the full record after the completion of the Committee's work. The costs shall be done at the expense of borne by the requesting party. to the case so desiring

(Regents, 1-26-99)

COMMITTEE ON DISCRIMINATION POLICY AND HARASSMENT POLICIES AND PROCEDURES**3.16**

The University has a policy of internal adjudication in matters relating to alleged discrimination. Any faculty member, staff member, or student, including those on temporary or part-time status, who believes that he or she has been discriminated or retaliated against should file a complaint under the Grievance Procedure for Complaints Based Upon Discrimination, Sexual Harassment, Sexual Assault, Consensual Sexual Relationships, Retaliation ~~on~~ Racial and Ethnic Harassment.

Any attempt to penalize or retaliate against a person for filing a complaint or participating in the investigation of a complaint of discrimination and/or harassment will be treated as a separate and distinct violation of University policy.

(Regents, 7-22-81, 9-17-81, 9-9-82, 9-27-95, 1-14-97)

It is the also the policy of the University not to discriminate on the basis of sexual orientation.

(President, 1-7-93, 9-29-94)

POST-DOCTORAL FELLOW GRIEVANCE PROCEDURE**3.17**

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.

Because of the post-doctoral fellows positions as employees who are also receiving education, any grievance brought by a fellow 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 (30) 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 fellow has a grievance, the following steps shall be followed:

- 1) The fellow shall discuss the grievance with his or her supervisor or program director and attempt to resolve the issue within the program.
- 2) If the fellow is not satisfied with the program's decision on the issue, he 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 (10) 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 fellow may within seven (7) 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 fellows in the College where the 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 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 or adjudicate disputes which have not been satisfactorily resolved at the program level in order to protect both fellows and faculty from arbitrary and capricious decisions.

- 7) The Post-Doctoral Fellows Appeals Committee shall hear the grievance. The fellow may bring any person(s) whom he or she thinks will be able to contribute to his or her presentation to the Committee. The Post-Doctoral Fellow Appeals Committee hearing will be recorded. The fellow may be advised at his or her own expense by legal counsel, if desired. The fellow must notify the Committee Chairman at least seven (7) days before the hearing if legal counsel will be present. If the fellow is accompanied by legal counsel at the hearing or at any steps where the resident and a University

official meet, University Legal Counsel shall also be present. Neither counsel for the 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 Committee shall determine the procedure and conduct of the hearing incorporating the basic principles of due process.

- 8) If after the Committee hearing the parties fail to achieve a mutually satisfactory settlement, 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 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.
- 10) There is no appeal beyond the Dean.

(Regents, 12-4-92)

Leave of Absence – Sabbatical

3.128.1

(a) Purpose

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

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

The purposes for which a sabbatical leave may be granted 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 person's academic field.

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

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

(b) Conditions of Award

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

A person applying for a sabbatical leave and receiving a stipend for the same period from another institution or agency still may 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 person obtaining the sabbatical.~~

Normally, persons 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. Persons 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.

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.

Benefits Payable

Employment benefits for faculty members on full salary will continue at full benefit level. 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 Contribution 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.

(Regents, 5-11-78, 9-9-82, 4-12-84, 7-23-87)

(c) Eligibility

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

- 1) After six years of service, faculty on nine-month appointments may be granted a sabbatical leave at half-pay for a period not to exceed two semesters or at full-pay not to exceed one semester. After six years of service, faculty on 12-month appointments may be granted a sabbatical leave at half-pay for a period not to exceed 12 months or at full-pay for a period not to exceed six months. The term "six years of service" refers to full-time appointments in a regular faculty appointment at the University of Oklahoma, but not counting leaves of absence without pay. The term "six years of service" also includes other full-time service at the University of Oklahoma 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
- 3) 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.

(d) Procedures

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

- 1) The faculty member shall apply to the department. After recommending approval or disapproval, the department chair or director shall submit the application to the college dean by February 1 for sabbaticals beginning in the following academic year or later and no later than July 15 for sabbaticals beginning the following spring semester. The dean

will hold all applications for comparative review and recommend, by ranking in order of merit, to the appropriate Senior Vice President and Provost. The Senior Vice President and Provost may seek the advice of the Council on Faculty Awards and Honors. The Senior Vice President and Provost will recommend to the President, who will make recommendations to the Regents for the April and September meetings respectively.

(Regents, 5-11-78, 4-12-84, 1-17-85, 7-23-87, 1-25-95)

ENDOWED CHAIRS AND PROFESSORSHIPS

3.21

An endowed chair or professorship is a faculty position supported by an endowment in perpetuity. An endowed chair requires a \$1 million endowment and an endowed professorship requires an endowment 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 as are 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

(b) Search Committee

The Senior Vice President and Provost, with advice and counsel of the dean and department head, 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 Regents prefer and expect the dean to serve.)

At least one member will be from outside the University and at least one member from another college. The President and the Senior Vice President and Provost will meet with the Search Committee (and the dean and department head if appropriate) to hear their recommendations.

The Senior Vice President and Provost, after consultation, may make a recommendation to the President. The President may approve and forward the appointment to the Board of Regents or may reject it and request further searching.

(c) Term of the Award

For endowed chairs only, the appointee ~~must~~ will generally be a tenured faculty member or receive tenure on appointment to an endowed chair in accord with Section 3.9.3 (d). 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.

(Regents, 6-16-78; Presidential Clarification, 9-15-92; Regents, 6-27-95, 1-26-99)

PROFESSIONAL PRACTICE PLANS

3.27

All colleges on the Health Sciences Center campus have Professional Practice Plans in effect. Faculty ~~must participate in~~ are obligated to comply with the Plan of their college. ~~to be eligible for full-time faculty appointment.~~

Copies of Professional Practice Plans are included for each college in Appendix ~~K~~M.

Each college ~~dean~~ plan stipulates procedures and processes related to time restrictions, deposit and disbursement requirements and restrictions, governance structure, etc.

HEALTH SCIENCES CENTER STUDENT ENROLLMENT IN NORMAN CAMPUS COURSES

4.6

OUHSC students desiring to enroll in courses on the Norman campus ~~should do so in the HSC Office of Admissions and Records~~ must receive permission from their HSC college. Norman campus courses will be listed on the HSC student's transcript. For further information, contact the HSC Office of Admissions and Records at 271-1539.

ACADEMIC INTEGRITY**4.18**

Academic Integrity means honesty and responsibility in scholarship. The basic assumptions regarding student academic work at the University of Oklahoma are:

- (a) Students attend the University of Oklahoma in order to learn and grow intellectually.
- (b) Academic assignments exist for the sake of this goal and grades exist to show how fully the goal is attained.
- (c) A student's academic work and grades should result from the student's own effort to learn and grow. Academic work completed any other way is pointless, and grades obtained any other way are fraudulent.

Academic integrity means understanding and respecting these basic truths, without which no University can exist. Academic misconduct violates the assumptions at the heart of all learning. It destroys the mutual trust and respect that should exist between student and professor. Academic misconduct is unfair to students who earn their grades honestly.

COMMERCIAL TERM PAPERS COMPLETION OF ACADEMIC WORK FOR OTHERS**4.20**

A staff or faculty member who writes, compiles, or otherwise completes academic assignments work for use by or sale to students of the University shall be discharged from employment. Any student who commits such an offense writes, compiles or otherwise completes academic work for sale to or use by students of the University or any student who sells or uses a commercial term paper to complete academic assignments is subject to the Academic Misconduct Code.

STUDENT HEALTH INSURANCE**4.310**

Students are encouraged to purchase Student Health Insurance to cover health care received outside of the Family Medicine Clinic. Beginning fall 2001, all newly admitted students are required to have health insurance. Students may purchase the Student Health Insurance provided offered through the University or show proof of comparable coverage by an outside approved health insurance provider. Additional information may be obtained by contacting the Student Affairs Office within the individual's colleges or the Office of Academic and Student Affairs.

OFFICE OF STUDENT SERVICES AFFAIRS**4.386**

The Office of Student Affairs provides support to all students during their tenure at the Health Sciences Center. The OUHSC Office is committed to identifying, recruiting, and educating minorities for careers in the Health Sciences. Students are directed to counseling services are available to meet the demand of the personal, financial, social, cultural, and academic dimensions of their lives. The OUHSC is committed to identifying, recruiting, and educating minorities for careers in the Health Sciences. The Office also assumes the responsibility for centralized recruitment activities for cultural diversity in all Health Sciences Center programs.

The Office of HSC Student Affairs is dedicated to the support and enhancement of the academic mission of the University. The Office provides programming and services to both current and prospective students. Programming is structured to complement the student's academic experience, celebrate the rich diversity of the campus, provide opportunities to develop leadership skills and participate in community service, and offer an entertaining and safe social atmosphere. Services are offered to ensure the physical, emotional, and mental health of all students and provide guidance toward a career as a health care professional.

ACADEMIC APPEALS BOARDS**4.187**

All academic appeals must be handled according to the following process:

The responsibility for academic evaluations of students rests with the faculty. If a student feels he or she has received a prejudiced or capricious evaluation by an instructor, and if he or she is unable to resolve the matter in conference with the instructor or the departmental chair, an appeal may be made to the appeals ~~b~~Board of the college offering the course. Any thesis and dissertation appeals shall be heard by the Graduate College Appeals Board.

In each college of the University, there shall be established an Academic Appeals Board consisting of an equal number of students and faculty. Faculty members of the board will be chosen by the faculty of the college for a term determined by the faculty. Student members of the ~~b~~Board will be appointed for a term of one year by the dean of the college upon recommendations from the college ~~S~~student ~~A~~association ~~P~~resident.

- (a) It shall be the primary function of a Board to adjudicate disputes which have not been satisfactorily resolved at the department level.
- (b) A Board will hear a case only after a student has notified an instructor of a dispute over an academic evaluation and after the student has made an unsuccessful attempt to resolve differences with the instructor, if necessary in consultation with the departmental chair. In cases of end-of-term evaluations, a student must notify an instructor of a dispute over an
- (c) academic evaluation and must attempt to resolve differences no later than February 15 for the previous fall semester or winter intersession; and no later than September 15 in cases of end-of-term evaluations for the previous spring semester, spring intersession, or summer term.

In cases of an evaluation made known to a student during the term, the student must notify an instructor of a dispute over an academic evaluation and must attempt to resolve differences no later than 15 calendar days (excluding Saturdays, Sundays, and University holidays from classes) after the results of the evaluation are made known to the student. If a student fails to notify an instructor or fails to attempt resolution within the appropriate time limit, the Board shall deny any request for a hearing on the claim unless, in the view of the Board, the student has been prevented from complying with the appropriate time limit (as, for example, in the case of a student being called into military service).

- (c) The filing of a written request for a hearing on a claim before the appropriate Academic Appeals Board shall be within 10 calendar days (excluding Saturdays, Sundays, and University holidays from classes) following the day when the attempts at resolution in paragraph (b) above are completed. The Board shall deny any request for a hearing on a claim that does not meet this deadline unless, in the view of the Board, exceptional circumstances exist whereby the student is prevented from filing the claim. Furthermore, if in the judgment of the Board, the case is deemed to be without merit or already has been satisfactorily resolved in the department, the Board may refuse the student a hearing.
- (d) Each Board shall be given the responsibility of establishing its own rules of procedure. Such rules as it establishes must be consistent with the full protection of the rights of all parties involved.
- (e) Meetings of a Board may be closed to the public.

- (f) If a Board fails to achieve a settlement mutually satisfactory to the parties involved, it will recommend a means of settling the dispute to the executive committee (or comparable body) of the college, where final disposition of the case will be made.

(Regents, 6-19-96, 1-26-99)

REASONABLE ACCOMMODATION POLICY

5.3

The University of Oklahoma will reasonably accommodate otherwise qualified individuals with a disability unless such accommodation would pose an undue hardship; would result in a fundamental alteration in the nature of the service, program, or activity, or would cause an undue financial or administrative burdens. The term "reasonable accommodation" is used in its general sense in this policy to apply to employees, students, and visitors.

The student must self-identify as an individual with a disability and provide appropriate diagnostic information that substantiates the disability. All diagnostic information is confidential; therefore, memos can be sent only at the student's request. Individuals who have complaints alleging discrimination based upon a disability should contact the Office of Educational Services in accordance with prevailing University discrimination grievance procedures.

Reasonable accommodation may include, but is not limited to:

- (a) Making existing facilities readily accessible and usable by individuals with disabilities;
- (b) Restructuring job;
- (c) Providing part-time or modified work schedules;
- (d) ~~Reassignment~~ Reassigning to a vacant position if qualified;
- (e) ~~Acquisition~~ Acquiring or ~~modification~~ modifying of equipment or devices;
- (f) ~~Adjustments~~ Adjusting or ~~modification of~~ modifying examinations, training materials or policies;
- (g) Providing qualified readers or interpreters; or
- (h) Modifying policies, practices, and procedures

Reasonable accommodation with respect to employment matters should be coordinated with ~~Personnel Services~~ Human Resources and the disabled individual. Reasonable accommodation with respect to academic matters, including but not limited to faculty employment, should be referred to the Office of the Senior Vice President and Provost while all other issues of reasonable accommodation should be referred to the Office of the Vice President for Administrative Affairs.

Individuals who have complaints alleging discrimination based upon a disability may file them with the University's Equal Opportunity and ~~Affirmative Action~~ Officer in accordance with prevailing University discrimination grievance procedures.

(President, 2-16-93)

UNIVERSITY OF OKLAHOMA HEALTH AND SAFETY POLICY

5.6

The University is committed to providing a safe and healthy environment for the entire University community and to complying with all applicable federal and state laws and regulations pertaining to occupational and environmental safety. Academic and administrative personnel with supervisory and teaching roles must ensure that procedures are developed and followed which are designed to prevent injury, protect the assets of the University, and protect ~~their~~ the University environment. It is the responsibility of all University faculty, staff, and

students to follow safe working practices, obey health and safety rules and regulations, and work in a way that protects their health and that of others and does no harm to the environment.

The OUHSC/OU-Tulsa Comprehensive Safety and Health Policy states, "The University of Oklahoma Health Sciences Center (OUHSC) and the University of Oklahoma-Tulsa (OU-Tulsa) recognize their responsibilities to provide their employees with a safe and healthful working environment. In order to achieve this goal, OUHSC/OU-Tulsa shall endeavor to provide adequate and appropriate training and resources to prevent occupational injuries and illnesses, and to encourage all OUHSC/OU-Tulsa employees to make health and safety an integral part of their daily activities. Implementation of this policy shall be accomplished through the OUHSC/OU-Tulsa Comprehensive Safety and Health Program, which may be found at <http://w3.ouhsc.edu/ehso>.

(Senior Vice President and Provost, 12-21-95, 3-19-96, 11-00-99)

HSC Health Sciences Center Office of Alumni and Development Office

5.12.1

~~The solicitation of private gifts for the Health Sciences Center is the responsibility of the Health Sciences Center Executive Director of Development. The Executive Director of Development works in conjunction with the Vice President for Development and is primarily responsible for major fund raising campaigns and corporate and foundation solicitations. Faculty on the HSC campus must have authorization from the HSC Development Office in conjunction with the Vice President for Development to raise private funds.~~

The HSC Office of Alumni and Development is responsible for the cultivation, solicitation, and stewardship of major gifts by individuals, corporations, and foundations. Additionally, the office is responsible for the implementation of all special fund raising activities, including annual campaign solicitations and President's Associates solicitations. The office also assists in the facilitation of the annual Campus Campaign. The Office of Alumni and Development is the responsibility of the Vice President for Development and the Health Sciences Center Executive Director of the Office of Alumni and Development. All HSC faculty and/or other designated staff must have authorization from the HSC Office of Alumni and Development in conjunction with the Vice President for Development and the Executive Director to raise private funds.

8. RESEARCH AND COMPLIANCE

OFFICE OF RESEARCH ADMINISTRATION

8.1

The Office of Research Administration (ORA) coordinates the research and sponsored program functions for the University of Oklahoma Health Sciences Center, as well as administering all service contracts. It serves as a central resource to promote the educational, research, and service missions of the University by encouraging and fostering health-related research and increasing the quality and quantity of sponsored research, training, and public service programs. The office is the central resource for information about sponsored program activities and serves as the institutional liaison for dealing with external agencies and organizations on all research administration matters. The Office of Research Administration is managed by the Vice President for Research and is located in the Library Building, Room 121. The Institutional Review Board (IRB), the Institutional Animal Care and Utilization Committee (IACUC), and the Institutional Biosafety Committee (IBC) all fall under the direction of the Vice President for Research.

The Office of Research Administration supports faculty participation in research by (1) assisting in the preparation of complete proposal applications by reviewing all required form pages for compliance with federal, state, sponsor and/or University requirements; (2) assisting in the identification of sources of external funding support; (3) assisting investigators with cooperative

projects with other institutions, including assisting with the preparation of program project grants; (4) advising investigators of their responsibilities relating to research with human subjects, laboratory animals, recombinant DNA, gene therapy, and microorganism and biological toxin usage, through the IRB, IACUC, and IBC, respectively; (5) maintaining a database of current and historical information on proposal activities and awards received.

All grants and research-related proposals are to be routed through and reviewed by the Office of Research Administration prior to submission to the sponsor. This includes all state, federal, non-profit, foundation, and industrial sponsors, regardless of the type of submission (hard copy or electronic). Both solicited and non-solicited (investigator-initiated) proposals are required to be routed prior to submission to the sponsor. An authorized institutional official in the Office of Research Administration must sign all proposals prior to submission to the sponsor.

All research contracts; training agreements; professional, provider, and public service agreements; and clinical trial agreements are to be routed through the Office of Research Administration for legal, fiscal, and administrative review prior to signature by an authorized agent of the Board of Regents. Agreements include contracts; letter agreements; memoranda of understanding; affiliation, material transfer, confidentiality, license, consulting, and PPP agreements; proposals that will be binding if accepted; amendments; contract modifications; and any other arrangement that obligates the University or its employees. Faculty may not legally bind the University by signing such contracts; therefore, all proposals, contracts, and agreements are to be signed by a designated University official.

Information about funding opportunities is provided by the University primarily through the utilization of the Community of Science website (www.cos.com). COS provides our faculty and researchers access to an international network of nearly half a million peers at 700 universities and R&D institutions and corporations in more than 125 countries. A few of the services available through COS are:

- 1- **COS Expertise** (<http://expertise.cos.com>). By adding an investigator profile to **COS Expertise** (<http://expertise.cos.com>) and using COS Quick Form for **PHS 398 Biographical Sketch for NIH**, investigators have the ability to automatically generate a completed biosketch form.
- 2- **COS Funding Opportunities**. COS has the largest and most comprehensive research funding database on the Web. Updated daily, COS Funding Opportunities includes information for more than 20,000 multidisciplinary and international award opportunities from public and private funding sources.
- 3- **COS Funding Alert**. COS provides a customized email service that alerts individual researchers weekly to new and updated funding opportunities that match their research interests and eligibility.

In addition, the Office of Research Administration disseminates sponsored program and funding information through e-mail notices to announce: (1) special funding opportunities; (2) program deadlines; and (3) new directions or changes in programs, policies and procedures at granting agencies. Announcements are also sent via e-mail for agency announcements with short deadlines and for special Program Announcements (PA) or Requests for Applications (RFAs).

The Office of Research Administration maintains a web page (<http://w3.ouhsc.edu/ORA/>) with the following features: (1) interactive ORA forms with links to University and sponsor policy information, as well as examples of forms for reference; (2) current information relating to University and sponsor policies as they relate to research activities, such as indirect cost rates

(facilities and administrative costs), fringe benefit rates, and other important institutional and sponsor information necessary for the proper completion of proposals; (3) links to a variety of internal and external funding announcements; (4) links to federal agency homepages; and (5) access to publicly available University award information.

An Annual Report is released each year by the Office of Research Administration describing research awards and investigator contributions to the biomedical field at the University of Oklahoma Health Sciences Center during the previous University fiscal year.

Institutional Review Board – Research Involving Humans

8.1.1

The Institutional Review Board (IRB) is responsible for the review and surveillance of all studies and investigations involving humans as research subjects on the University of Oklahoma Health Sciences Center campus or studies and investigations involving University faculty, regardless of the location of the study. Members of this committee are appointed by the Senior Vice President and Provost upon recommendation of the Associate Vice President for Clinical Research and the Director of Human Research Participant Protection.

The IRB, in conjunction with the Office of the Associate Vice President for Clinical Research, is responsible for coordinating all training sessions as required by the University and federal funding agencies for faculty members involved in human subjects research, as well as all training for IRB committee members.

All protocols for human subjects research must be submitted to the IRB for review prior to submission of the proposal to ORA for signature. Approval is not required at the time of proposal submission, but is required prior to the start of a research project involving humans. The IRB interacts closely with the Office of Research Administration staff, the Radiation Safety Office, and the Institutional Biosafety Committee to ensure all approvals and contracts are finalized prior to release of IRB approval letters.

Information concerning the policies, procedures, and requirements of the IRB may be obtained from the Office of Research Administration, Library Room 121, telephone number 271-2045, on the ORA web site, or by e-mailing the IRB at IRB@ouhsc.edu.

Institutional Animal Care and Utilization Committee – Research Involving Animals

8.1.2

The Institutional Animal Care and Utilization Committee (IACUC) is responsible for the review and surveillance of all investigational and education (teaching) procedures involving animals on the Health Sciences Center campus, as well as all procedures involving University faculty regardless of site of study that involve the use of animals. Members of this committee are appointed by the Senior Vice President and Provost upon recommendation by the chairperson of the IACUC.

To comply with the guidelines for the submission of grant applications to NIH and most other granting agencies, the Office of Research Administration requires that all protocols for the humane use of vertebrate animals be submitted to the IACUC prior to submission of the proposal to ORA for signature. Approval is not required at the time of proposal submission, but is required prior to the start of the research project or at the time specified by the Sponsor.

Information concerning the policies, procedures, and requirements of the IACUC may be obtained from the IACUC office, telephone number 271-7381, or on the ORA website at <http://w3.ouhsc.edu/ORAIACUCs/iacuc.asp>.

Institutional Biosafety Committee

8.1.3

The Institutional Biosafety Committee has the charge of reviewing and approving all research and clinical activities involving the use of recombinant DNA, gene therapy, microorganisms, and biological toxins, and human gene transfer. To comply with the guidelines for submission of grant applications to NIH and most other granting agencies, the Office of Research Administration requires that the protocols involving the use of recombinant DNA,

microorganisms, biological toxins, and human gene transfer be submitted to the IBC at the time of submission of the proposal and routing form to ORA for signature. Approval is not required at the time of proposal submission, but is required prior to the start of the research project, or at the time specified by the Sponsor.

Information concerning the policies, procedures, and requirements of the IBC may be obtained from the IBC office, telephone number 271-3000, or on the Environmental Health and Safety website: <http://w3.ouhsc.edu/ehso/>.

Use of Radioisotopes and Ionizing Radiation

8.1.4

Radiation Safety Committee

The use of all radioactive materials and ionizing radiation for patient care, teaching, and research purposes must be reviewed and approved by the Radiation Safety Committee. Radiation Safety Committee members are appointed by the Senior Vice President and Provost, the administration of the OU MEDICAL CENTER, and the administration of the VA Medical Center. Authorized users of radiation or radioactive materials are responsible to the Committee for all rules and regulations as established by the institution, the State of Oklahoma, and applicable federal agencies. Information concerning the policies, procedures, and requirements of the Radiation Safety Committee may be obtained from the Office of Research Administration, Room 121, Library, 271-2090, or the Radiation Safety Office, 127 Biomedical Sciences Building, 405/271-6121.

Radiation Safety Office

8.1.5

The Radiation Safety Office is responsible for ensuring that OUHSC and OU MEDICAL CENTER'S radiation policies are in compliance with federal, state, and local regulations. The office works closely with the Radiation Safety Committee and the departments to ensure the safety of all OUHSC employees. The Radiation Safety Office provides radiation-related safety services to departments on Health Sciences Center campuses in Oklahoma City and Tulsa and to the OU MEDICAL CENTER. These services include radiation safety training, personnel monitoring, radioactive waste services, laboratory audits and surveys, survey instrument calibration, and effluent monitoring. The ~~Radiation Safety~~ Office can be contacted at 127 Biomedical Sciences Building, 405/271-6121. Many of the forms required for the use of radioactive materials can be accessed at the ~~department's~~ office's web page: <http://w3.ouhsc.edu/rso/>.

DIVISION OF ANIMAL RESOURCES

8.2

The Division of Animal Resources has three primary functions at the OU Health Sciences Center. It is a service unit that provides housing, daily care, administrative direction, veterinary medical care, and veterinary diagnostic support of laboratory animals used for medical research and education for the University. It provides consultative services to investigators concerning

animal research. Faculty members of the Division participate in teaching courses in the Pathology Department and present sessions to research technicians, laboratory animal technicians, and faculty on the use of laboratory animals in research. They also conduct independent and collaborative research. Faculty veterinarians submit grant proposals to the National Institutes of Health for facility and resource development in support of the research mission of the University of Oklahoma Health Sciences Center. Faculty members of the Division operate a Baboon Research Resource funded by the National Institutes of Health that serves as a research resource for OUHSC faculty investigators as well as biomedical research centers across the United States. In conjunction with the Institutional Animal Care and Use Committee, the Division of Animal Research veterinarians review research protocols that involve laboratory animals. The Division of Animal Resources is accredited by the American Association for Accreditation of Laboratory Animal Care. It is also approved by the Office for Protection from Research Risks at National Institute of Health as a facility that uses animals in research, testing, and training programs.

RESEARCH COUNCIL

8.3

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

UNIVERSITY COMPLIANCE AND QUALITY IMPROVEMENT PROGRAM

8.4

In January of 2002, the Board of Regents approved the adoption of the Compliance and Quality Improvement Program ("Program"). The purpose of the Program is to demonstrate the University's commitment to the highest standards of ethics and compliance with all applicable laws and regulations. The Program is intended to (a) promote legal and ethical behavior in the academic context and (b) prevent and detect violations of law. The Program also is intended to provide for more effective and efficient compliance efforts and oversight by consolidating compliance-related activities into one department office. The Program ~~will be~~ is posted on the Health Sciences Center web site under the heading of Office of Compliance.

The Program applies to all University colleges, departments, and employees that (a) submit claims for reimbursement of medical services; (b) perform human and/or animal research; and/or (c) handle or work with or around hazardous and/or radioactive materials.

The Program authorizes the employment of a Director of Compliance who will report to the General Counsel and establishes the responsibilities of the Director of Compliance and the Office of Compliance. The Program also provides for the establishment of an Advisory Committee ~~who~~ that will provide advice and assistance to the Director of Compliance. The Advisory Committee includes the following representatives from the Health Sciences Center: (a) the Senior Vice President and Provost — ~~Health Sciences Center~~; (b) the Vice President for Research — ~~Health Sciences Center~~; (c) the Associate Vice President for Clinical Research; and (d) the Vice President for Administrative Affairs.

The Program sets forth Standards of Conduct ("Standards"), which are a non-exclusive compilation of guidelines regarding ethical and legal standards that all University employees are expected to follow when performing services for or on behalf of the University that are related to the areas covered by the Program. The Standards will be made available to University employees in the Office of Compliance and on the Health Science Center's web site under the heading of Office of Compliance.

The Program provides mechanisms for reporting suspected violations of law and for submitting questions about compliance issues or the Program. The Program also includes provisions relating to investigations of suspected wrongdoing, training and education, on-going monitoring and compliance reviews, and the University's response to confirmed violations.

(Regents, 1-30-02)

Environmental Health and Safety Office

8.4.1

The Environmental Health and Safety Office (EHSO) coordinates the dissemination of information regarding University policies and procedures for the safe use, storage, and disposal of hazardous and biological materials. Annual safety training is required for all OUHSC employees, which is provided by the EHSO or is available on-line at <http://w3.ouhsc.edu/ehso>. The EHSO performs periodic laboratory safety surveys to determine compliance with federal, state, and University requirements and to assist departments with compliance issues.

POLICY FOR THE USE OF CONSULTANTS CONSULTING ON GRANTS AND RESEARCH CONTRACTS AWARDED TO THE HEALTH SCIENCES CENTER **8.5**

General Principles

Members of the University faculty and staff are heirs to extraordinary privileges and responsibilities. To these is added a commitment to the University as the central vehicle for the faculty and staff member's intellectual capabilities and energies. Faculty and staff also have a loyalty to the University's interests as a community of shared scholarship.

Additional extramural efforts of faculty and staff can be intellectually and financially rewarding. External service and consulting at moderate levels are honorable extensions of research experience and academic skills. They serve the scientific profession, promote productive collaborations, stimulate the practical applications of research, and foster transfer of information. The University encourages such efforts.

The University recognizes, however, that consulting services are susceptible to actual or perceived conflicts of interest, misuse, and abuse. Awarding agencies, particularly federal government agencies, scrutinize consulting arrangements and may determine the services to be unnecessary or unauthorized. Such disallowed costs must be reimbursed with unrestricted funds.

In an effort to protect the interests of the University and its faculty and staff and to comply with federal and state law and external granting agency requirements, the following policy regarding the use of consultants in grants and research contracts is adopted. (Consultant agreements not involving grants or research must be approved through the University's normal approval process.)

POLICY

Section I. Definitions and Requirements (for purposes of this policy):

- A. External Consultants – Individuals who are not employees of the University but who are engaged personally to give professional advice or service for a fee. These individuals have knowledge and special abilities that are essential to meet the project needs that cannot be provided by University personnel.
- B. Internal Consultants – Under unusual circumstances, a person may be at the same time a consultant to and an employee of the University, only if the following conditions exist:

- 1) the consultation is across departmental lines; and
 - 2) the work performed is in addition to the employee's regular department load.
- C. Selection – The PI must be able to justify the selection upon request.
- D. Payment – The consultant's fee (stipend, honorarium, payment, etc.) must be in compliance with any grant terms or state or federal rules and must be reasonable (i.e., based on the consultant's qualifications, in line with market rates). The PI must be able to justify the fee upon request.

Section II. Consulting Arrangements

All consulting services at the Health Sciences Center must be supported by documentation per each of the following categories. Documentation is to be provided to the Office of Research Administration (ORA).

A. External Consultants to OUHSC

There must be justification for the external consultant. *NOTE – Because of changes in the federal cost accounting standards, external consultants may need to be bid. Please refer to OUHSC Purchasing policies or contact the Director of Purchasing for clarification.

At the Time of and Included Within the Proposal:

1. Approval – The consulting services are approved by the sponsor or contracting agency. Any relationship to the University and PI must be disclosed in the proposal;
2. The consultant has signed a letter of commitment to perform specified services at a stated rate under the grant or contract. This letter must be submitted as part of the proposal.

After the Award:

If a consultant line was not included in the proposal, the following steps must be taken:

1. An IPAS (re-budget) form must be obtained from ORA and completed to re-budget funds into the consulting budget category. Justification for the need for consulting services must be included.
2. If required by the sponsoring or contracting agency, a letter requesting permission to use a consultant must be sent to the sponsor or agency. The letter must include justification for the consultant and be cosigned by the Director of ORA and the PI.
3. The consultant must have signed a letter of commitment to perform the specified services at a stated rate under the grant or contract.

B. Internal Consultants

There must be justification for a faculty/staff member to serve as an internal consultant and the requirements of Section I.B have been met.

At the time of the Proposal:

The inclusion of the consultant is required in the proposal budget. The budget justification shall identify the consultant's position at OUHSC and include a statement that payment will be in addition to normal University pay. The internal consultant must complete an Internal Consultant Form (available from ORA). It includes:

- a. a statement from the faculty/staff member describing the scope of work to be completed and explaining how the hours worked on the project will be in addition to his/her regular University duties;
- b. a description of the payment terms;
- c. the faculty/staff member's signature; and
- d. approval by the chair of the faculty/staff member's department and the dean of his/her college of the work to be performed on the project, as indicated by their signatures.

After the Award:

If a consultant line was not included in the proposal, the following steps must be met:

1. An IPA form must be obtained from ORA and completed to re-budget funds into the consulting budget category. Justification for the need for consulting services must be included.
2. The faculty/staff member, the chair of his/her department, and the dean of his/her college must sign the completed Internal Consultant form. This form should then be forwarded to the Director of ORA.
3. Upon receipt of the completed form, ORA will send a letter to the sponsor or agency requesting approval of the internal consultant. If necessary, the letter will include a request to re-budget funds. The letter must be co-signed by the Director of ORA and PI.
4. Upon approval by sponsor, ORA will acknowledge the Internal Consultant form and return it to the faculty/staff member, with a copy to the department chair and dean.

(Senior Vice President and Provost, 5-13-98)

SPONSORED PROGRAMS INCENTIVE PLAN POLICY**8.6**

The intent of this policy is to recognize faculty performance in research and scholarly activity, to increase externally sponsored funding to the University of Oklahoma Health Sciences Center (OUHSC), and to provide additional incentives and resources to supplement educational programs at the OUHSC. This policy allows faculty members to receive salary supplementation incentives when their salary is re-budgeted and charged to sponsored programs for which the OUHSC is the grantee, contractor, or sub-contractor.

Eligibility

Performance incentive payments are available for full- and part-time faculty with regular appointments. Participants must be a members of the professional practice plan of their respective college.

Policy

Faculty salaries will be budgeted on sponsored research and grants and contracts commensurate with actual time and effort. Corresponding salary released from institutional accounts (PPP, state revolving, and other unrestricted funds, excluding "B" accounts and "D" accounts) is

available for performance incentive payments. Performance incentive payments will not be charged directly or indirectly to federally-funded programs. Released institutional faculty salary will be made available for expenditure on a quarterly, after-the-fact basis as follows:

INDIVIDUAL FACULTY MEMBER (30%) – 30% of released salary will be made available to the individual faculty member. Such funds can be paid as a performance incentive payment to the faculty member or be used by the faculty member for non-recurring expenditures; i.e., travel, supplies, equipment, temporary positions, etc.

DEPARTMENT CHAIR (50%) – At the discretion of the departmental chair, salary/benefit release funds may be reallocated within the department for non-recurring expenditures.

DEAN (20%) – At the discretion of the college dean, 20% of released salary/benefit funds may be reallocated within the college for non-recurring expenditures.

The sponsored programs incentive plan is separate from faculty compensation paid through college practice plans. Incentive payments will not be considered part of base salary for tenure purposes, merit based salary increases, or termination pay. A faculty member may continue to participate in the performance incentive plan as long as release funds are available. Performance incentive payments cannot be made prospectively. Exceptions to this policy must be approved by the Senior Vice President and Provost.

(Senior Vice President and Provost, 7-1-98)

~~The Office of Research Administration (ORA) coordinates the research and sponsored program functions for the Health Sciences Center. It serves as a central resource to promote the educational, research and service missions of the University by encouraging and fostering health related research and increasing the quality and quantity of sponsored research, training, and public service programs. Information and assistance is provided to faculty and staff in developing proposals to be submitted to external sponsors. The office is the central resource for information about sponsored program activities and is the institutional liaison for dealing with external agencies and organizations on research matters.~~

~~The Office of Research Administration supports faculty participation in research by (1) providing services to faculty to help generate sound, competitive proposals;~~

~~(2) identifying sources of external support; (3) assisting in the preparation of proposals; (4) advising investigators of their responsibilities in research with human subjects and with laboratory animals; (5) matching the interests and capabilities of faculty with the objectives of sponsors; and (6) advising investigators about procedures involved in cooperative projects with other institutions.~~

~~Information about sponsored programs and funding opportunities is disseminated through a weekly electronic newsletter, FasTrack Funding, that announces (1) funding opportunities; (2) program deadlines; and (3) new directions or changes in programs, policies and procedures at granting agencies. Special announcements are sent for announcements with short deadlines or for~~

special or unique programs.

An annual report is printed each year presenting proposals submitted and grants and contracts received by faculty and staff in the previous University fiscal year.

The Office maintains a web page at <http://www.uokhsc.edu/admin/ORA/ORAIHOM.HTM> with links to funding opportunity announcements, federal agency homepages, University policies and procedures as they relate to research activities and other appropriate information. A database is maintained of current and historical information on proposal activities and awards received.

7.3.1 Research Involving Humans and Animals

The Institutional Review Board (IRB) is responsible for the review and surveillance of all studies and investigations involving humans as research subjects on the Health Sciences Center campus, or studies and investigations involving University faculty, regardless of the location of the study. Members of this committee are appointed by the Senior Vice President and Provost upon recommendation by the chairperson of the IRB.

The Institutional Animal Care and Use Committee (IACUC) is responsible for the review and surveillance of all investigational and educational (teaching) procedures involving animals on the Health Sciences Center campus, as well as all procedures involving University faculty regardless of site of study. Members of this committee are appointed by the Senior Vice President and Provost upon recommendation by the chairperson of the IACUC.

Information concerning the policies, procedures, and requirements of the IRB and IACUC may be obtained from the Office of Research Administration, Room 121, Library, 271-2090 or on their home page referenced above.

2 Use of Radioisotopes, Ionizing Radiation, and Bio-Hazard Materials

Radiation Safety Office

The use of all radioactive materials and ionizing radiation for patient care, teaching, and research purposes must be reviewed and approved by the Radiation Safety Committee. Continuing surveillance including purchasing, receipt, and inventories of all radioactive materials as well as monitoring of all sealed sources for calibration and dosimetry is the responsibility of the Radiation Safety Office. Approved users are responsible to the Committee for all rules and regulations as established by the institution and the Nuclear Regulatory Commission.

The use of all substances and organisms classified as Biohazardous Materials, including all use of recombinant DNA materials, must be approved by the Institutional Biosafety Committee. The Committee must review all protocols and shall determine the appropriate procedures required for the Hazard Class and/or biosafety level of material being used. The user is responsible to the Committee for certification of his/her qualifications for use of the specified material. Committee surveillance of continued use is required. The members of the Radiation Safety Committee and the Institutional Biosafety Committee are appointed by the Senior Vice President and Provost. Information concerning the policies, procedures, and requirements of the Radiation Safety Committee and the Institutional Biosafety Committee may be obtained from the Office of Research Administration, Room 121, Library, 271-2090.

~~The Radiation Safety Office (RSO) provides radiation related safety services to departments on Health Sciences Center campuses in Oklahoma City and Tulsa. These services include personnel monitoring, waste services, and decommissioning of laboratories and health physics services including the calibration of GM counters, monitoring of sink disposal and effluent from hoods, and providing bioassays for individuals as needed. Training is provided for new employees and for mini-license holders and their employees. The RSO is responsible for ensuring that OUHSC policies are in compliance with Federal, State, and local regulations. The office works closely with the Radiation Safety Committee and departments to ensure the safety of all OUHSC employees.~~

THE UNIVERSITY OF OKLAHOMA
HEALTH SCIENCES CENTER

CHARTER OF THE ~~GENERAL~~ REGULAR FACULTY
AND
THE FACULTY SENATE

PREAMBLE:

The General Regular Faculty of the University of Oklahoma Health Sciences Center has adopted the following charter, within the structure of the University, to assist with the orderly conduct and governance of its affairs, protecting however the rights and jurisdictions of individual colleges and their respective faculties, to ensure due process, and to facilitate faculty-administration division of labor and reciprocally supportive collaboration in achieving the goals and purposes of the Health Sciences Center.

This charter is not intended to abridge the rights and privileges of any member or sub-group of the General Regular Faculty (i.e. department or college faculty group) to determine matters of their rightful jurisdiction, academic freedom, and responsibility.

ARTICLE I
NAME

The name of this organization shall be: "The General Regular Faculty of the University of Oklahoma Health Sciences Center."

ARTICLE II
OBJECT PURPOSE

The object purpose of this organization shall be:

- A. To help define and protect the rights of faculty members;
- B. To support the faculty in implementing the University functions of teaching, research and scholarly activity, and ~~public service in relation to all matters of health;~~
- C. To develop, recommend and implement policies for the Health Sciences Center and the University in matters relating to the instruction of students and the conduct of research and scholarly activity, and the provision of services ~~or~~ in any ~~academic or other~~ matters affecting the welfare of the Health Sciences Center;
- D. To promote collaborative effort within and among ~~different~~ faculty, professions, and colleges; and health care professions in order to provide for each recipient the combination of skills and knowledge best suited for his/her particular needs;

- E. To respect the rights and jurisdictions of the individual Colleges in the Health Sciences Center ~~and;~~

ARTICLE III MEMBERS

Section 1. Members.

The membership of the ~~General~~ Regular Faculty of the Health Sciences Center shall be composed of all full-time faculty members with the unmodified rank of ~~instructor~~ assistant professor or above who hold tenure track, tenured, or consecutive term appointments. The ~~General~~ Regular Faculty does not include individuals holding temporary appointments such as instructor, lecturer or associate; or with modified ranks such as "visiting, adjunct, special, acting, and/or clinical," or holding temporary research appointments such as assistant professor of research or higher.

Section 2. Voting Rights.

All members, with the unmodified rank of ~~instructor~~ assistant professor above and who hold tenure track, tenured or consecutive term appointments, shall have full voting rights.

Section 3. Proxy.

No votes shall be cast by proxy.

ARTICLE IV POWERS

Section 1. Governance Powers.

The governance of the Faculty of the Health Sciences Center is vested in the ~~General~~ Regular Faculty of the Health Sciences Center, subject to the provisions of ~~Article II "D"~~ Article III, section 1 above.

Section 2. Exercise of Powers.

These governance powers shall be exercised either by the ~~General~~ Regular Faculty or by the Faculty Senate (see Article VII, section 5).

Section 3. Accountability of Senate.

The Faculty Senate shall be subject to the orders of the ~~General~~ Regular Faculty, and none of the Senate's acts shall conflict with actions taken by the ~~General~~ Regular Faculty.

ARTICLE V OFFICERS

Section 1. Officers.

The Officers of the ~~General~~ Regular Faculty shall be the Officers of the Faculty Senate: ~~Chairman~~ Chair, ~~Chairman-Elect~~ Chair-Elect, Secretary, and Secretary-Elect. These officers shall perform the duties prescribed by this Charter, by the parliamentary authority adopted by the ~~General~~ Regular Faculty, and any other activities necessary to

achieve the ~~objects~~ purposes of the General Regular Faculty of the Health Sciences Center.

Section 2. Election of Officers.

The officers shall be elected yearly by and from among the representatives who compose the Faculty Senate.

Section 3. Eligibility.

No member shall hold more than one office at a time. No member shall serve more than two consecutive terms in the same office.

ARTICLE VI
MEETINGS

Section 1. Meetings.

The General Regular Faculty shall meet at least twice yearly, usually in ~~the first week of~~ October and ~~the first week of~~ April.

Section 2. Annual Meeting.

The ~~regular~~ meeting in April shall be known as the Annual Meeting and shall be for the purpose of receiving reports of Officers and Committees, for communicating a report of significant yearly Senate activities, and for any other business that may arise.

Section 3. Special Meetings.

- a. Special meetings of the Regular Faculty may be called by the Chair of the Senate, ~~at the request of by the Provost of for the Health Sciences Center, the Chairman of the General Faculty,~~ or by written petition of a total of thirty (30) Regular Faculty of whom no more than 15 belong to any one college.
- b. The purpose of the meeting shall be stated in the call.
- c. Every Regular Faculty member shall be notified.
- d. Except in cases of emergency at least seven (7) days notice shall be given, and the meeting shall be called within thirty (30) days of the presentation of a petition.

Section 4. Quorum.

Sixty (60) members of the General Regular Faculty of the Health Sciences Center representing three or more Colleges, provided no more than 30 of the quorum number are from any one college, constitute a quorum.

ARTICLE VII
THE FACULTY SENATE

Section 1. Members.

- a. The Faculty Senate shall be composed of at least three (3) members of the General Regular Faculty from each OUHSC College except the Graduate College, which shall have one representative, and one (1) member from each College on the Tulsa Campus. One additional representative shall be elected by each College

for each additional one hundred (100) Regular Faculty over the first 100 whose primary appointment is in that College. No College, however, shall have more

than forty (40) percent of the total number of Senate representatives. The Provost of the Health Sciences Center or his designate shall be an ex-officio member of the Senate and shall serve without vote.

- b. Terms of office of members of the Faculty Senate shall be staggered. Specific methods of accomplishing this shall be determined by each College. No member shall serve more than two consecutive elected terms as a member of the Faculty Senate.

Section 2. Election.

- a. Representatives of ~~Colleges~~ to the Faculty Senate shall be elected by and from each College of the Health Sciences Center. They shall be elected by written ballot for a three (3) year term.
- b. ~~On or before~~ Prior to June 1, each College shall elect its new representatives to fill out-going Senate positions and inform the ~~Chairman~~ of the Faculty Senate.
- c. Except for the Graduate College, ~~faculty members~~ Senators shall ~~vote in and~~ represent that College in which they hold their primary appointment. Members with joint or multiple appointments shall declare, at the beginning of each academic year, the College in which they will vote during that year.
- d. The Senate representatives shall assume their office on July 1.
- e. Each College shall elect one or more alternates to serve in case of the absence or disability of a Senator. The number of alternates elected from each College shall be one-half of the number of Senators to which that College is entitled rounded to the next highest whole number. They shall be elected by written ballot for a one-year term. If more than one alternate is elected, the alternates shall be numerically listed according to votes. The alternate for the Graduate College shall be elected to a one-year term from the membership of the Graduate Council.

Section 3. Replacement of Senate Members.

- a. The ~~representative~~ Faculty group of each College may establish procedures for the recall of any Senator of that College. However, in no case can a Senator be recalled without a majority vote of the ~~General~~ Regular Faculty members of that College.
- b. Should a Senator be unable to fulfill the duties of that office for any reason, that name ~~he~~ may be removed from the rolls upon written request to the Senate Secretary from that Senator or from the ~~representative~~ Faculty group of the represented College ~~to the Senate Secretary~~.
- c. In the event of the removal of a Senator from the rolls for any reason, the First Alternate will fill that position for the remainder of the academic year. At the next College election, a Senator will be elected to fill the unexpired term.
- d. In the event there is no alternate to complete the unexpired term, the ~~representative~~ Faculty group of the College will be asked to fill the vacancy. The procedure by which the vacancy is filled is determined by each College.

Section 4. Officers

~~The Officers of the Faculty Senate shall be the Officers of the General Faculty. The Officers shall be: Chairman, Chairman-Elect, Secretary, and Secretary-Elect, and such other officers as are provided for in the Bylaws-Charter.~~

Section 5. Powers.

- a. ~~The Faculty Senate shall exercise the governance of powers of the General Regular Faculty of the Health Sciences Center as delegated by the General Regular Faculty.~~
- b. ~~The Faculty Senate shall conduct the affairs of the General Regular Faculty between the latter's meetings, make recommendations to the General Regular Faculty, and perform such other duties as are specified in the Charter and Operating Procedures or Bylaws, and/or are necessary to achieve the objects objectives of the General Regular Faculty.~~
- c. ~~Any member of the General Regular Faculty may bring matters relating to the governance before the General Regular Faculty or the Faculty Senate by written request.~~
- d. ~~The Faculty Senate shall determine its own rules, procedures, times and place of meetings and regulations governing its internal affairs.~~
- e. ~~The Faculty Senate shall publish it a Charter as well as Operating Procedures and Bylaws.~~

Section 6. Meetings.

- a. ~~The Faculty Senate shall meet at least three nine (9) times a year and at other times as necessary.~~
- b. ~~The Faculty Senate shall report significant Senate activities to the Regular Faculty in the spring Annual Meeting of the Regular Faculty.~~

Section 7. Dues.

~~Dues may be requested of the members of the General Faculty by a vote of the Senate with the concurrence of a majority of faculty voting in the individual Colleges. The Senate shall not initiate such a process more than once in any one year. All Senate funds shall be deposited in the University's Special Agency Account credited to the Senate and expended upon the signature of the Chairman and the Chairman-Elect.~~

ARTICLE VIII
COMMITTEES

Section 1. Standing and Special Committees.

~~There shall be such Standing or special committees as of the General Regular Faculty and/or Faculty Senate shall be established as deemed necessary to facilitate faculty governance from time to time, deem necessary to carry on the work of the General Faculty.~~

Section 2. Committee Membership.

- a. The Chairman Chair of the General Regular Faculty shall be an ex-officio member of any and all standing and special the committees with vote voting privileges.
- b. All members of the General Regular Faculty are eligible to serve on special or standing committees, provided, however, that the membership is proportioned proportional among the colleges in roughly the same ratio as are seats in the Senate.
- c. The Health Sciences Center Student Association shall may be invited to nominate one a student to serve on each selected Senate Committees. except the Committee on Committees and Bylaws Committee. Student representatives on Committees shall serve with vote.

ARTICLE IX

LIAISON WITH THE HEALTH SCIENCES CENTER PROVOST

Section 1. Function.

The Faculty Senate shall serve as an advisory body to the Provost of for the Health Sciences Center and other administrative officers of the University in relation to matters of interest and importance to the Faculty Health Sciences Center. These areas include teaching and curriculum, research, health sciences and public service, libraries, budgetary planning, faculty personnel, intra-Center relations, interrelations between health delivery centers in the community, Center operations, and Center projects.

Section 2. Faculty Assistance to Administration.

At the beginning of each academic year, the Faculty Senate shall provide to the Provost for of the Health Sciences Center a list of nominees who are willing and able to serve during the ensuring ensuing year on the Health Sciences Center committees or councils. The Provost shall recommend the nominations to the President of the University who, if he/she approves, shall make the appointments.

Section 3. State of the Health Sciences Center Message.

At the first meeting of the General Regular Faculty each academic year, the President of the University and the Provost of the Health Sciences Center shall be invited to orally present to the General Regular Faculty of the Health Sciences Center a statement on the State of the Health Sciences Center and his (their) recommendations for furthering the furtherance of progress of the Center.

Section 4. Disposition of Requests for Action.

Requests from the Faculty Senate for action by the Administration of or by the University Regents shall be directed to the President Provost of the University through the Provost for the Health Sciences Center who will then forward these requests to the President of the University. The Provost for of the Health Sciences Center as well as the Faculty Senate shall, within thirty (30) calendar days, report in writing their to the Faculty Senate the disposition of any request for action or information received from the other party(ies). The reports shall include the rationale for actions taken or not taken.

ARTICLE X
INTER-SENATE LIAISON COMMITTEE

Section 1. Purpose.

The purpose of the ~~Inter-Senate Liaison Committee~~ shall be to routinely facilitate the exchange of information between the OUHSC Senates, the University President, and the Norman Campus Senate. on the Health Sciences Center and Norman campuses on concerns and actions of mutual interest, and to recommend actions of the respective bodies on either campus.

Section 2. Composition.

The ~~Inter-Senate Liaison Committee~~ shall be composed of the ~~Chairman, Chairman-Elect, and the Secretary of the Senate, on each campus.~~

Section 3. Meetings.

~~The respective chairmen of the two Faculty senates shall arrange for meetings of the Inter-Senate Liaison Committee.~~

- a. The Committee will meet as often as necessary with the University President and representatives of the Norman Campus Senate to achieve the Committee purpose as set out in Article X, Section 1 above
- b. The Committee will report activities and progress routinely to the Senate

ARTICLE XI
PARLIAMENTARY AUTHORITY

The rules contained in the current edition of Robert's Rules of Order Newly Revised, shall govern the ~~General Regular~~ Faculty and the Faculty Senate in all cases to which they are applicable and in which they are not inconsistent with this Charter and any special rules of order which the ~~General Regular~~ Faculty may adopt.

ARTICLE XII
AMENDMENT OF THE CHARTER

Section 1. Amending.

The Charter may be amended from time to time in any particular ~~with the following:~~ as follows:

- a. Amendments of this Charter and ensuing Rules and Operating Procedures may be proposed at any regular or special meeting of the Faculty Senate.
- b. Amendments must be approved by a two-thirds (2/3) vote of the Faculty Senate voting by mail ballot.
- c. Amendments shall be submitted to each Faculty Senate member for vote at least fifteen (15) days prior to tabulation of ballots.

Section 2. Effective Date.

Amendments shall be effective immediately after upon approval by the University of Oklahoma Board of Regents.

ARTICLE XIII
ADOPTION

This Charter shall ~~become~~ be effective ~~when it has been~~ once approved by a majority of the Regular Faculty in each of the Colleges of the Health Sciences Center and approved by the Board of Regents, signed by the of the President of the Board and sealed by the Executive Secretary of the Board of Regents.

(Approved by the Faculty Senate 9/5/02)

ACADEMIC MISCONDUCT CODE

This Code applies to students, former students, and graduates.

ACADEMIC MISCONDUCT

11.1

Academic Misconduct includes any act which improperly affects the evaluation of a student's academic performance or achievement, including but not limited to the following:

- (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 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 or clinic 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 or medical records or documents, including admissions materials, transcripts, and patient records; 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.

It is the responsibility of each faculty member and each student to be familiar with the definitions, policies, and procedures concerning academic misconduct.

NOTIFICATION OF CHARGE 11.2**Notification of Dean** 11.2.1

Notification of the dean shall be in writing with a brief description of the evidence and shall be made within ten University business days after discovery of the incident, exclusive of University breaks or academic intercessions.

- (a) If the incident is discovered by a faculty member in a particular course, he or she must notify his or her dean of the incident as well as the student's dean, if different.
- (b) If the incident is discovered by someone other than a faculty member in a course, or is reported by a student or other person or if no particular class is involved (e.g., submission of falsified records), the dean of the accused student shall be notified.

Notification of the Student 11.2.2

The student's dean shall initiate academic misconduct procedures against the student. The dean shall notify the student in writing of the charge of academic misconduct, describing the alleged act and the grade penalty determined by the instructor, if a course is involved, and of the student's right to request a hearing by serving the student in person or by mail to the last address provided to the University. The dean shall simultaneously send notification to the Vice Provost for Academic Affairs.

A student may continue his or her regular enrollment in the University pending administrative resolution of misconduct allegations. However, until such resolution, a student may not graduate or receive a transcript without approval of the Senior Vice President and Provost, and any official transcript released during such period shall bear a notation that academic misconduct student code proceedings are ongoing.

CONFERENCE WITH VICE PROVOST FOR ACADEMIC AFFAIRS 11.3

Within five University business days of the date of service, the student shall contact the Vice Provost for Academic Affairs and schedule a conference to discuss the matter.

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 Provost shall notify the student's dean who shall confirm imposition of grade sanctions and implement disciplinary sanctions.

At the conference between the student and the Vice Provost for Academic Affairs, the Vice Provost shall describe the academic misconduct process, possible sanctions, and the student's right (a) to a hearing with adequate notice; (b) to be represented by an attorney at the student's expense in which case the University reserves the right to be represented by University legal counsel; and (c) to refrain from discussing the matter or from making any statement regarding the matter. 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 Provost within five University business days of the conference. The request should indicate whether the student intends to be represented by counsel at the hearing. Failure to do so 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. The student may also use this written request to respond in writing to the allegation.

- (b) Admit the charges – If the student admits to the charges at this time or denies the charges but fails to submit a request for a hearing, the Vice Provost will inform the student's dean and the dean of the college offering the course. The grade penalty shall be confirmed, and the student's dean shall make his or her decision regarding further sanctions, if any. Provided, however, that if the student admits to the charges but wants to confer with the dean or to submit a written statement concerning extenuating circumstances affecting disciplinary sanctions, the student may do so only if done within five University business days of the date of the admission to the charge. Failure to do so within the five days will result in the dean making his or her decision without such information.

Nothing in this policy is intended to preclude the student from discussing the incident with the person initiating the charge, if that person agrees. Such a meeting should be scheduled after the conference between the student and the Vice Provost for Academic Affairs. Any such meeting shall not extend the period of time for requesting a hearing.

The person initiating the charge of academic misconduct may withdraw the charge at any time prior to the commencement of a hearing by the AMB or, if no hearing is held, prior to the imposition of a final sanction by sending written notice to the student's dean. The dean shall inform, in writing, the Vice Provost and others involved that the charge has been withdrawn and, at his or her discretion, may terminate the case.

HEARING 11.4

Academic Misconduct Boards 11.4.1

Each college shall establish an Academic Misconduct Board (AMB) consisting of two students and three members of that college's faculty to hear each case.

Membership of the AMB shall be determined by the dean on an ad hoc basis from a pool of ten faculty and ten students. The faculty members for the pool shall be determined by the faculty of the college. Student members shall be appointed or selected from nominations submitted by appropriate student organizations. Terms of service shall begin September 1 and end August 31 except that, if a hearing is in progress at this time, any retiring member shall be continued on the board until the case in progress is closed.

The dean of the college shall appoint an additional faculty member who shall be nonvoting to chair the AMB and to be responsible for the board's administrative matters, including scheduling of cases, notification of hearings and decisions, and maintenance of records.

Selection of AMB to Hear the Appeal 11.4.2

In a case in which a hearing has been requested, the facts of the case shall be determined by the AMB of the student's college.

Scope of Hearing 11.4.3

The Board will consider the information and arguments presented, make findings of facts of matters in dispute, and determine whether the student did engage in the alleged act.

The Board will also hear any evidence and argument by the parties concerning extenuating circumstances that may affect decisions about what disciplinary actions might be imposed and may make recommendations to the dean concerning disciplinary actions. (Sec. 11.5)

Hearing Procedures

11.4.4

- (a) Each AMB shall establish the procedures to be followed for the hearing.
- (b) Prior to the hearing each party shall furnish to the other party a list of witnesses and exhibits to be called at the hearing, as requested by the AMB chair.
- (c) Students who elect to have legal counsel representation at the hearing shall furnish the name of such counsel, when identified, to the dean and the chair of the AMB.
- (d) Written notification of a hearing must be distributed to the parties involved at least ten University business days in advance of the hearing date, and shall 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 faculty statement of the charges and issues involved;
 - (5) Names of AMB members and a statement that parties have a right to challenge any member no later than 5 days prior to the hearing.
- (e) Students who fail to appear after proper notice will be deemed to have pled guilty to the charges against them.
- (f) Hearings shall be closed to the public and shall be confidential.
- (g) Hearings shall be tape recorded or transcribed.
- (h) Witnesses shall be asked to affirm that their testimony is truthful.
- (i) The burden of proof shall be upon the complainant, which must establish the guilt of the respondent by a preponderance of the evidence.
- (j) Prospective witnesses other than the complainant and the student are excluded from the hearing during the testimony of other witnesses. All parties, witnesses, and the public shall be excluded during AMB deliberations.
- (k) Formal rules of evidence shall not be applicable in these proceedings. The presiding officer of each board shall give effect to the privileges recognized by law.
- (l) 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 Senior Vice President and Provost.
- (m) Principals in the case shall have reasonable opportunity to question witnesses and present information and argument deemed relevant by the board.
- (n) Final decisions of all AMBs concerning guilt or innocence and recommendations to the dean regarding sanctions shall be by majority vote of the members present and voting. The final report shall contain a written statement setting forth findings of fact and the decision on each of the charges, and may contain recommendations for disciplinary sanctions with the reasoning behind these recommendations. A minority report may be filed.

Findings of AMB**11.4.5**

- (a) If the AMB finds that the facts do not support the allegations, the charges will be dismissed. The chair of the AMB shall transmit the decision in writing to the student's dean, the dean of the college offering the course, if different, and the Vice Provost for Academic Affairs within five University business days of the conclusion of the hearing. The dean shall notify the student in writing of the decision of the AMB within ten university business days after receiving the AMB decision. The matter is then ended, and the grade is recorded appropriately. The AMB record of the case shall be destroyed by the chair of the AMB 20 days after transmittal of the decision.

If the AMB finds that the facts support the allegations against the student, the student shall be found guilty, and the AMB may recommend disciplinary sanctions. The AMB's finding and recommendations must be transmitted to the student's dean and the Vice Provost for Academic Affairs in writing within five University business days of the conclusion of the hearing. The record of the hearing will be forwarded to the student's dean by the chair of the AMB within ten University business days after receiving them, excluding University breaks and academic intercessions. The student's dean shall notify the student in writing of the finding and recommendations of the AMB and of the dean's decision. 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 to other parties who have a legitimate need to know of the action. Implementation of the appropriate action or disciplinary sanction by the dean shall end the process.

DISCIPLINARY ACTIONS**11.5****Grade Penalties****11.5.1**

An instructor who concludes that a student has engaged in, or is engaging in, academic misconduct must fail the student on the examination or paper and may set additional penalties to the extent of denying credit in the course. The instructor's grade sanctions will not become final until the student is found guilty by the AMB, defaults, or admits the charges. The dean has the responsibility to confirm that the appropriate grade is recorded on official student records.

Additional Disciplinary Sanctions**11.5.2**

The AMB may recommend disciplinary sanctions including but not limited to those noted below:

- (a) 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 result in far more severe action.

Censure shall not be noted on a student's transcript, but will be noted in the Office of the Vice Provost for Academic Affairs. Copies of the letter of censure shall be provided to the student, the Vice Provost for Academic Affairs, the appropriate deans, and the instructor.

- (b) Limited Notation Suspension – Suspension from classes and other privileges for a period of not less than one semester or more than one calendar year. During this period, the student will not be allowed to earn credits for transfer to the University of Oklahoma at any other institution. Any credits earned at another institution during a period of suspension shall not be recorded on the student's University of Oklahoma transcript and shall not be acceptable transfer credit at the University of Oklahoma. A notation of suspension for academic misconduct shall be made on the student's transcript. Such transcript notation shall be

removed upon the student's graduation from the University or four years from the date of suspension, whichever comes first. The student's college is responsible for notifying the Registrar to remove the notation.

- (c) Permanent Notation Suspension – Suspension from classes and other privileges for a period of not less than one semester or more than one calendar year. During this period, the student will not be allowed to earn credits for transfer to the University of Oklahoma at any other institution. Any credits earned at another institution during a period of suspension shall not
- (d) be recorded in the student's University of Oklahoma transcript and shall not be accepted as transfer credit at the University of Oklahoma. A permanent notation of suspension for academic misconduct shall be made on the student's transcript.
- (e) Expulsion – Termination of student status for an indefinite period, intended to be permanent. A notation of expulsion for academic misconduct shall be made on the student's transcript. Such notation shall be permanent. A student may be reinstated after expulsion, if recommended by the student's dean after a complete reconsideration of the student's case.

DETERMINATION OF DISCIPLINARY SANCTION

11.6

The student's dean shall determine the appropriate disciplinary sanction. The dean may consider the evidence in the record regarding extenuating circumstances and may request additional information prior to making his/her decision.

APPEALS

11.7

Decisions regarding the facts and the disciplinary action shall be final and not appealable within the University, unless (1) manifest procedural irregularities effectively denied the student a fair hearing, (2) new and significant evidence becomes available which could not have been discovered by a reasonably diligent student before or during the original hearing; or (3) probable inequity exists in the disposition of the matter. Such appeals must be made within ten days of the time such grounds for the appeal are discovered or should have been discovered.

Appeals shall be made in writing to the Senior Vice President and Provost. Consideration of such appeals may be made by the Senior Vice President and Provost upon the basis of written statements and such other evidence as the Senior Vice President and Provost may require according to procedures he deems appropriate.

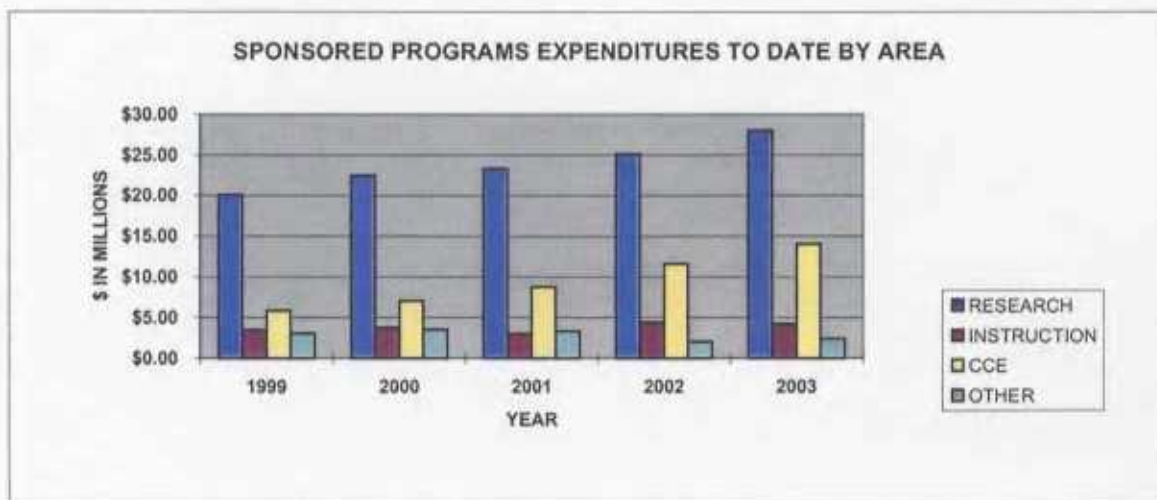
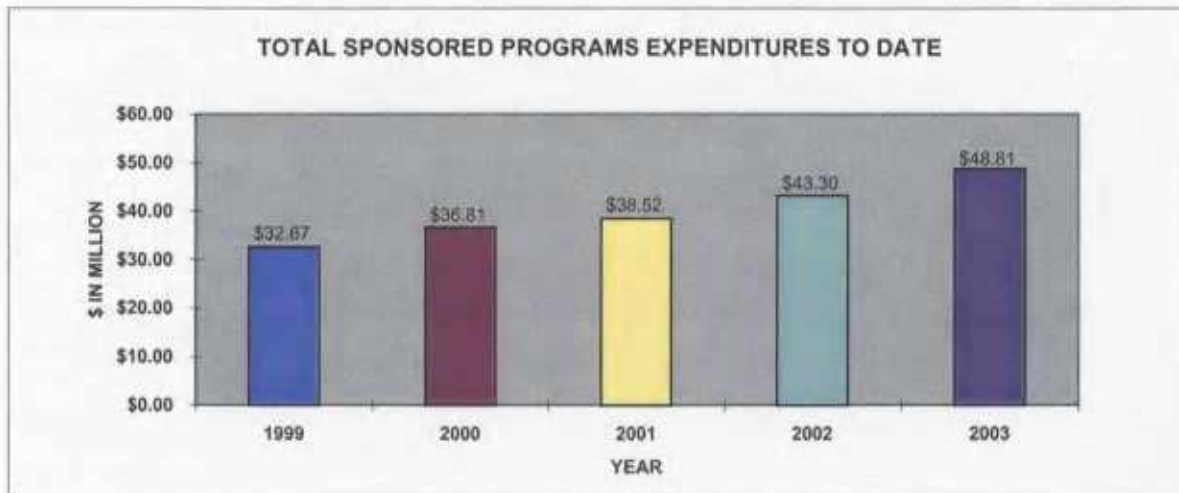
Harmless deviations from prescribed procedures may not be used to invalidate the decision or proceeding. Technical departures from these procedures and errors in their application shall not be grounds to withhold disciplinary action unless, in the opinion of the Senior Vice President and Provost, the technical departure or errors were such as to have prevented a fair determination of the issues.

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.

(Regents, 6-9-98, 1-26-99)

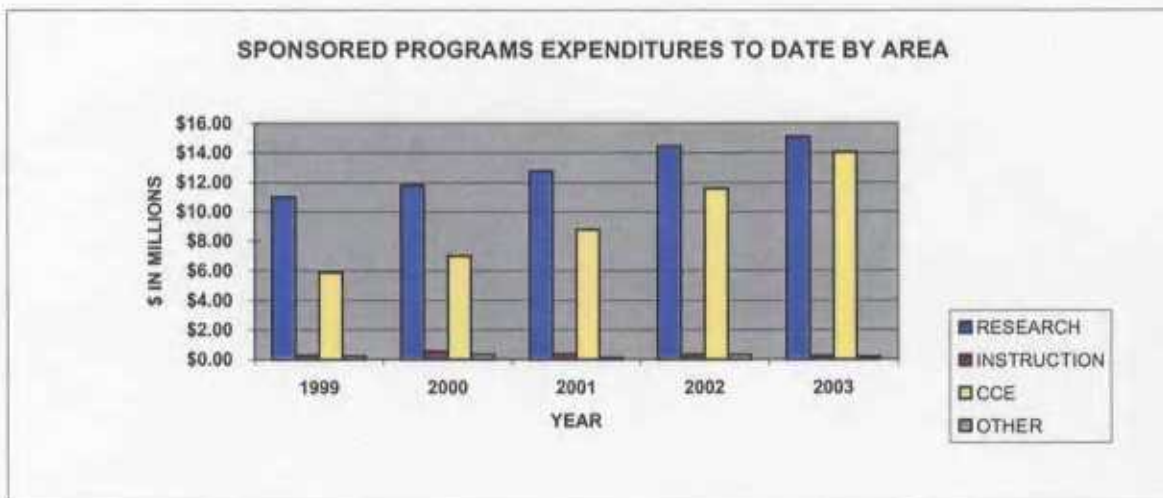
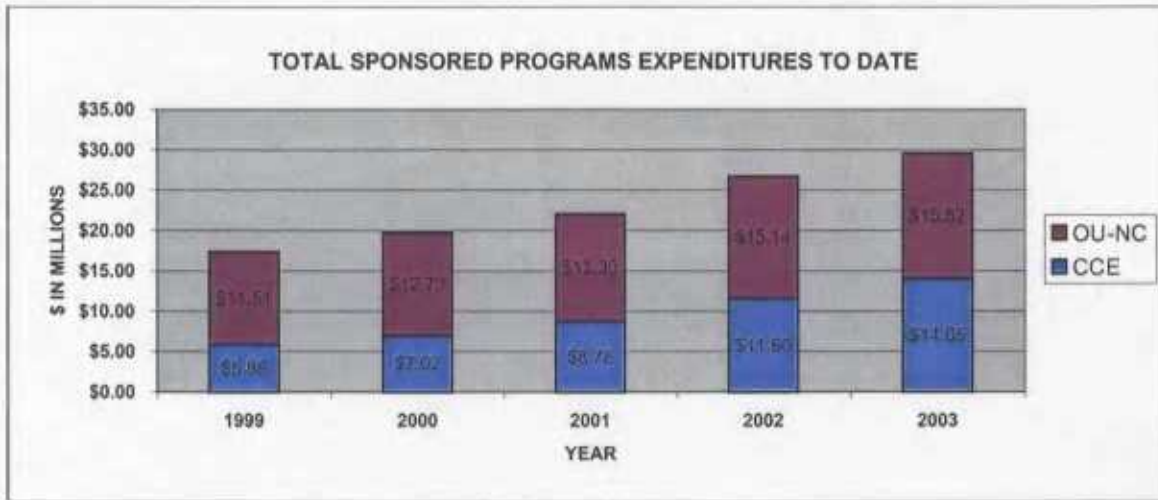
THE UNIVERSITY OF OKLAHOMA

HEALTH SCIENCES CENTER AND NORMAN CAMPUS



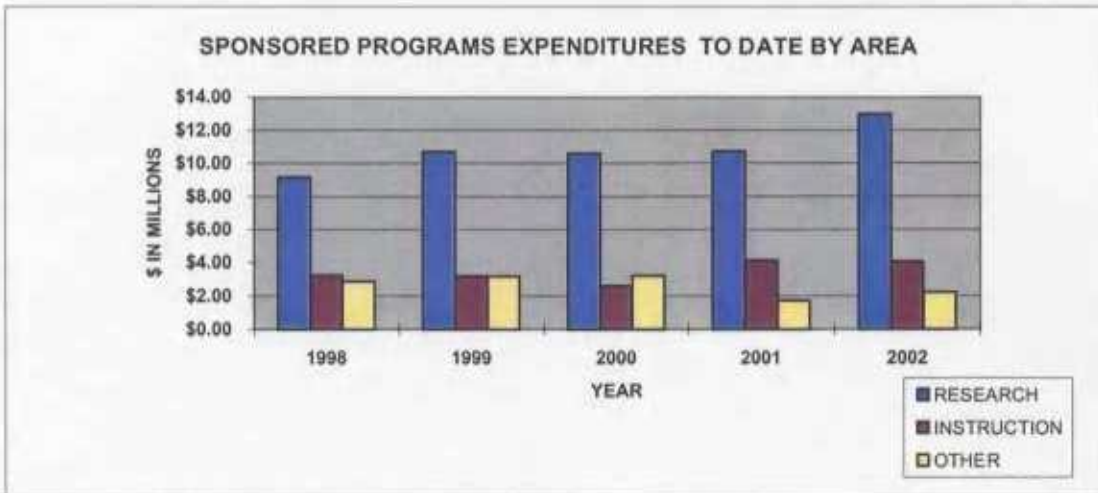
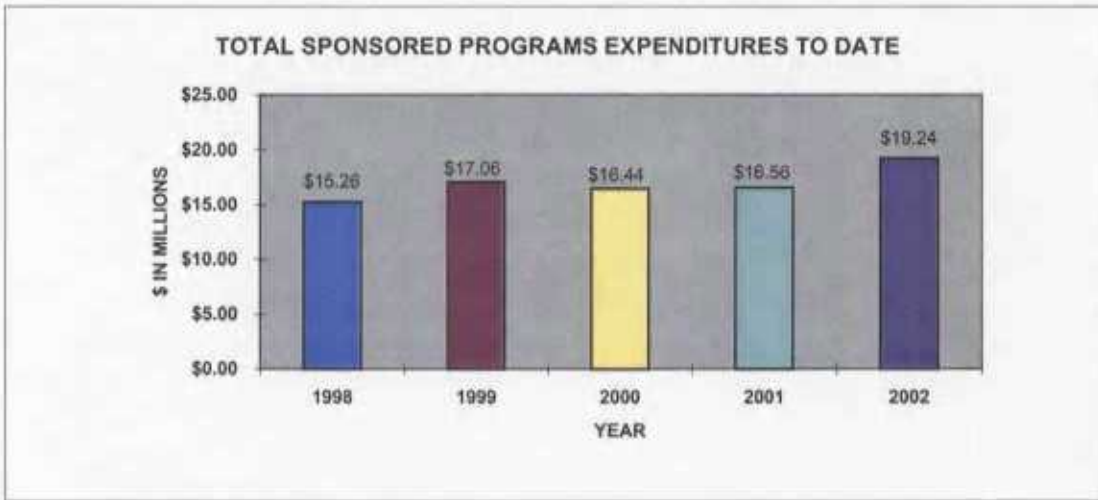
	FY 2003 YEAR	YEAR %CHANGE	FY 2002 YEAR	2002 September	MONTH %CHANGE	2001 September
RESEARCH	\$ 28,072,396	11.56%	\$ 25,162,377	\$ 8,687,687	16.55%	\$ 7,453,799
INSTRUCTION	\$ 4,290,566	-4.22%	\$ 4,479,678	\$ 1,352,906	-1.02%	\$ 1,366,876
CCE	\$ 14,047,534	21.13%	\$ 11,596,958	\$ 4,181,203	10.25%	\$ 3,792,346
OTHER	\$ 2,398,608	16.66%	\$ 2,056,105	\$ 782,299	20.93%	\$ 646,898
TOTAL	\$48,809,104	12.74%	\$ 43,295,117	\$ 15,004,096	13.15%	\$ 13,259,919

NORMAN CAMPUS



	FY 2003 YEAR	YEAR %CHANGE	FY 2002 YEAR	2002 September	MONTH %CHANGE	2001 September
RESEARCH	\$ 15,091,138	4.50%	\$ 14,440,750	\$ 4,525,776	9.76%	\$ 4,123,163
INSTRUCTION	\$ 237,537	-32.91%	\$ 354,053	\$ 84,566	-29.22%	\$ 119,485
CCE	\$ 14,047,534	21.13%	\$ 11,596,958	\$ 4,181,203	10.25%	\$ 3,792,346
OTHER	\$ 189,853	-44.82%	\$ 344,035	\$ 110,850	24.25%	\$ 89,216
TOTAL	\$ 29,566,062	10.59%	\$ 26,735,795	\$ 8,902,396	9.58%	\$ 8,124,210

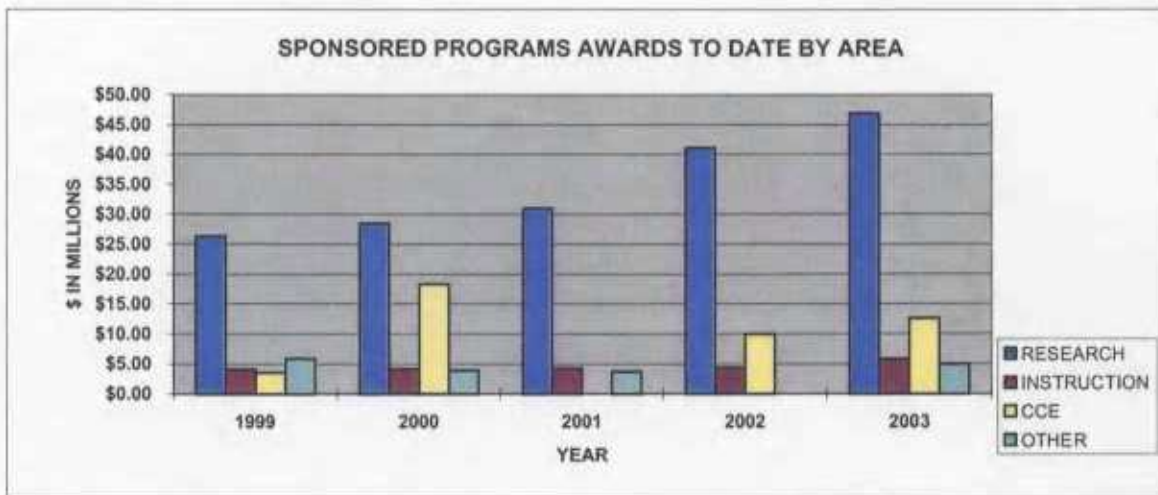
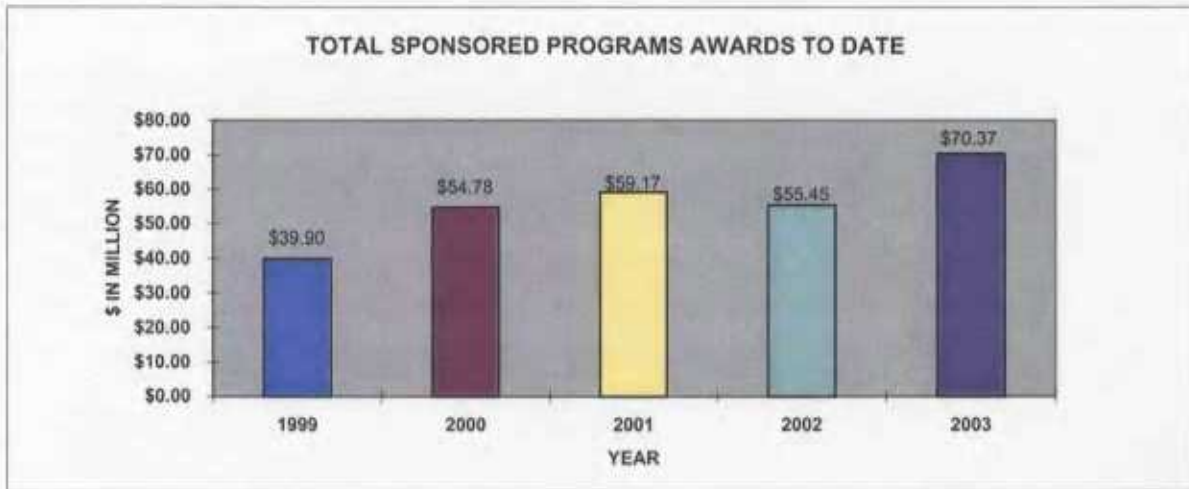
HEALTH SCIENCES CENTER



	FY 2003 YEAR	YEAR %CHANGE	FY 2002 YEAR	2002 September	MONTH %CHANGE	2001 September
RESEARCH	\$ 12,981,258	21.08%	\$ 10,721,627	\$ 4,161,911	24.96%	\$ 3,330,636
INSTRUCTION	\$ 4,053,029	-1.76%	\$ 4,125,625	\$ 1,268,340	1.68%	\$ 1,247,391
OTHER	\$ 2,208,755	29.01%	\$ 1,712,070	\$ 671,449	20.40%	\$ 557,682
TOTAL	\$ 19,243,042	16.21%	\$ 16,559,322	\$ 6,101,700	18.81%	\$ 5,135,709

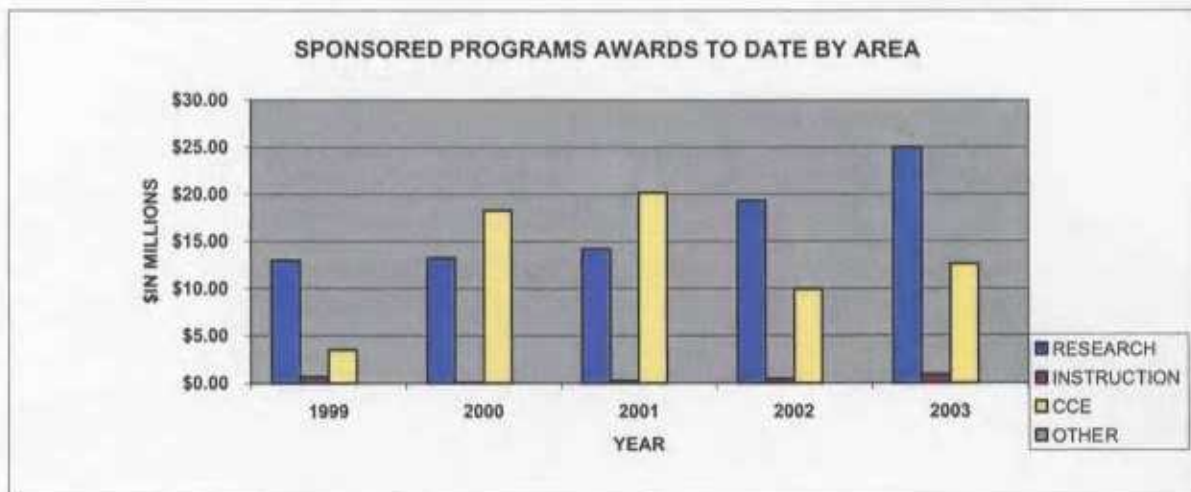
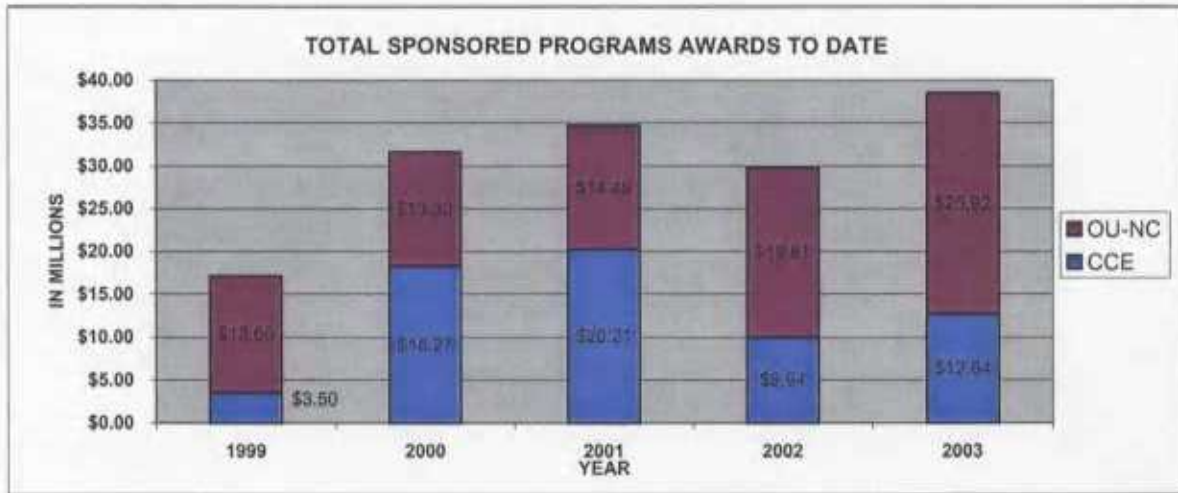
HEALTH SCIENCES CENTER

NORMAN CAMPUS AND HEALTH SCIENCES CENTER



	FY 2003 YEAR	YEAR %CHANGE	FY 2002 YEAR	2002 September	MONTH %CHANGE	2001 September
RESEARCH	\$ 46,903,050	14.06%	\$ 41,120,846	\$ 19,341,486	10.92%	\$ 17,437,693
INSTRUCTION	\$ 5,838,160	32.99%	\$ 4,390,069	\$ 2,462,231	163.73%	\$ 933,615
CCE	\$ 12,636,791	27.12%	\$ 9,940,507	\$ 6,090,882	35.21%	\$ 4,504,734
OTHER	\$ 4,988,400		\$ -	\$ 486,800	-56.10%	\$ 1,108,970
TOTAL	\$ 70,366,401	26.90%	\$ 55,451,422	\$ 28,381,399	18.33%	\$ 23,985,012

NORMAN CAMPUS



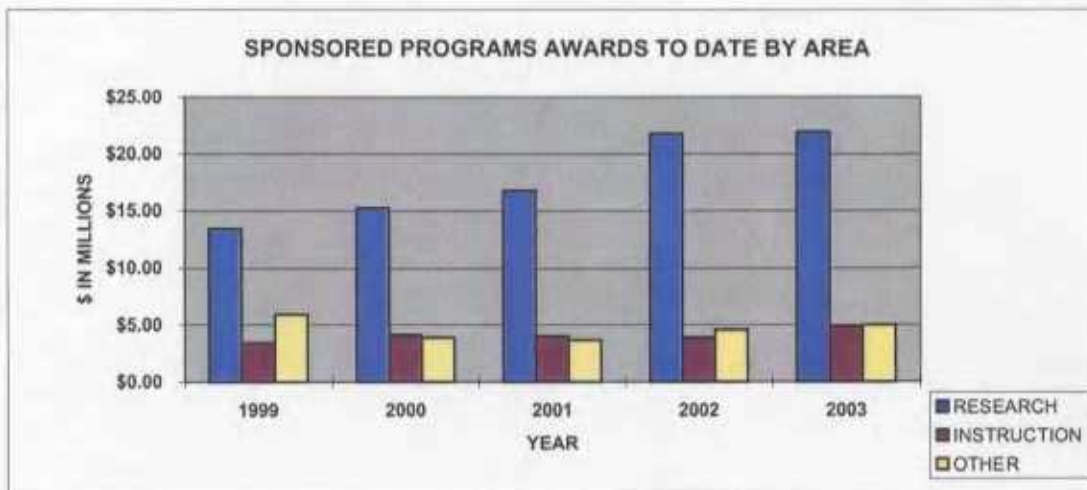
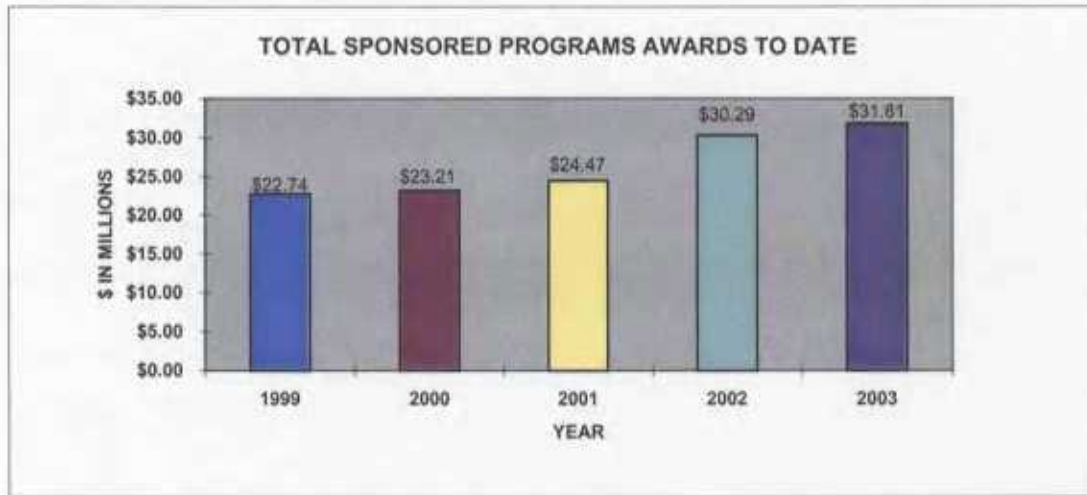
	FY 2003 YEAR	YEAR %CHANGE	FY 2002 YEAR	2002 September	MONTH %CHANGE	2001 September
RESEARCH	\$ 24,992,890	29.33%	\$ 19,324,183	\$ 10,228,036	45.40%	\$ 7,034,191
INSTRUCTION	\$ 923,482	91.24%	\$ 482,895	\$ 141,335	-55.05%	\$ 314,415
CCE	\$ 12,636,791	27.12%	\$ 9,940,507	\$ 6,090,882	35.21%	\$ 4,504,734
OTHER	\$ -		\$ -	\$ -		\$ -
TOTAL	\$ 38,553,163	29.60%	\$ 29,747,585	\$ 16,460,253	38.87%	\$ 11,853,340

NORMAN CAMPUS

NORMAN CAMPUS
REPORT OF CONTRACTS AWARDED (OVER \$100K)
September 2002

AWD #	AGENCY	TITLE	VALUE	PERIOD	PI(S)
020260	DOC, NOAA	Land Atmosphere Memory Quantified Using Observations from the Oklahoma Mesonet and the NOAA Land Surface Model	\$115,078	12 mons.	Basara, J. - OCS; Crawford, K. - OCS
020278	EPA	Evaluation of Commercial, Microbial-Based Products to Treat Paraffin Deposition in Tank Bottoms and Oil Production Equipment	\$149,999	12 mons.	Mc Inerney, M. - Botany & Microbio EC Sullita, J. - Botany & Microbio EC Gieg, L. - Botany & Microbio EC
030070	US-DOE	Immobilization of Radionuclides at the Bear Creek Valley Field Research Center	\$25,000	24 mons.	Krumholz, L. - Botany & Microbio EC
03077	NSF	Planning Grant for a Courseless Curriculum	\$100,000	12 mons.	Knox, R. - CEES; Rhoads, T. - IE Kolar, R. - CEES; Gramoll, K. - AME
030078	EPA	Passive Treatment of Metal-Rich Waters Through Enhanced Wetland Technologies	\$160,001	24 mons.	Nairn, R. - CEES; Strevett, K. - CEES Knox, R. - CEES
030085	NSF	Understanding Biocomplexity: Developing Methods of Defining Sustainable Uses for Agricultural Products	\$109,851	12 mons.	Anex, R. - S&PP ED; Wood, A. - Geog
030085	DOT-FAA	Doppler on Wheels in Juneau, Alaska	\$324,068	6 mons.	Wurman, J. - Meteorology
030086	USDOE	Controlling Structural Characteristics of Single-Walled Carbon Nanotubes (SWNT)	\$435,000	36 mons.	Resasco, D. - CEMS
030090	OK-DOT	University of Oklahoma Bridge Design Squad	\$170,000	9 mons.	Knox, R. - CEES
030091	NSF	Collaborative Research: TeachEngineering -- Hands on engineering Resources for K-12	\$112,272	12 mons.	Mooney, M. - CEES
030095	NSF	VISUALIZATION: Advanced Weather Data Visualization	\$102,318	12 mons.	Levit, J. - CIMMS
030096	US-DOE	Wind-Tunnel Modeling of the DOE/DTRA Urban 2003 Tracer Experiment	\$100,212	12 mons.	Kastner-Klein, P. - Meteorology
030098	US Dept of State	Working Groups to Study Water Resources and Usage in the Middle East	\$163,076	11 mons.	Ragep, F. - International Programs Horn, J. - International Programs
030101	NSF	NIRT (Nanoscale Interdisciplinary Research Teams): Bioavailability of Aromatic Hydrocarbons and Dynamics of Their Interactions with Humic and Fulvic Acids: Linking Molecular- and Microbial-Scale Interactions	\$850,000	12 mons.	Nanny, M. - CEES EC Duncan, K. - Botany & Microbio EC
2943	ST-LSHH	LA Survey 2002	\$194,228	12 mons.	Lowther, M. - CCE CSSWPC
2952	OK-DOC	Corrections FY03	\$334,688	12 mons.	Mc Bride, D. - CCE CSCSP
4069	OK-TRAN	Oklahoma Scenic Byways	\$441,599	12 mons.	Gragg, R. - CCE APBUS
4071	HHS-ACF	Tribal IL Project FY03	\$200,000	12 mons.	Correia, P. - CCE CSNRC
4921	HHS-SAM	Southwest Capt. Year 2	\$288,594	12 mons.	Lowther, M. - CCE CSSWPC
5994	OK-HCA	OHCA Reconciliation Project FY03	\$887,250	12 mons.	Thomas, J. - CCE CSCPM
6033	OK-DHS	CSPEP FY03	\$1,202,502	12 mons.	Wright, R. - CCE SPSOCWK
6104	OK-DRS	Work Incentive Education FY03	\$242,096	12 mons.	Biscoe, B. - CCE CSNDET
6181	OK-DHS	DDSD FY03	\$1,159,260	12 mons.	Correia, P. - CCE CSNRC
6262	OF-PS	USPS Advanced Leadership	\$922,661	12 mons.	Little, R. - CCE APPS
TOTAL			\$8,789,753		

HEALTH SCIENCES CENTER



	FY 2003 YEAR	YEAR %CHANGE	FY 2002 YEAR	2002 September	MONTH %CHANGE	2001 September
RESEARCH	\$ 21,910,160	0.52%	\$ 21,796,663	\$ 9,113,450	-12.40%	\$ 10,403,502
INSTRUCTION	\$ 4,914,678	25.79%	\$ 3,907,174	\$ 2,320,896	274.82%	\$ 619,200
OTHER	\$ 4,988,400	8.75%	\$ 4,587,215	\$ 486,800	-56.10%	\$ 1,108,970
TOTAL	\$ 31,813,238	5.03%	\$ 30,291,052	\$ 11,921,146	-1.74%	\$ 12,131,672

HEALTH SCIENCES CENTER

December 2-3, 2002

HEALTH SCIENCES CENTER
REPORT OF CONTRACTS AWARDED (OVER \$100K)

September 2002

AWARD NO.	AGENCY	TITLE	VALUE	PERIOD	PI(S)
C1007302	Maternal and Child Health Bureau	Poison Center Certification Program	\$181 K	12 mos	Dr. C. K. Buckner Pharmacy Office of the Dean
C1007702	National Center for Research Resources	Oklahoma Biomed Research Infrastructure Network	\$1,961 K	12 mos	Dr. F. J. Waxman Dept of Microbiology and Immunology
C1012401	Juvenile Diabetes Foundation	Pre-Eclampsia Women-Type I Diabetes Markrs & Mech	\$250 K	12 mos	Dr. T. J. Lyons Medicine Endocrinology
C1012701	National Institute of Allergy and Infectious Diseases	Human and Mouse Antibodies Against Influenza Virus	\$330 K	12 mos	Dr. G. M. Air Dept of Biochemistry and Molecular Biology
C1012901	National Science Foundation	Collaborative Rsrch: Hlth Educ Assets Library	\$253 K	24 mos	Dr. C. S. Candler Dept of Medicine
C1013001	National Center for Research Resources	Mentoring Vision Research in Oklahoma	\$2,618 K	11 mos	Dr. R. E. Anderson Dept of Ophthalmology
C1014301	National Institutes of Health	Plant Viruses as Platforms for Biomaterials	\$170 K	12 mos	Dr. A. Zlotnick Dept of Biochemistry and Molecular Biology
C1014401	National Institute of General Medical Sciences	Reduce Risk of Type 2 Diabetes in Indian Children	\$128 K	12 mos	Dr. J. J. Mulvihill Pediatrics Genetics
C1109002	National Heart, Lung and Blood Institute	Caffeine Influences on Exercise and Psychological	\$429 K	24 mos	Dr. W. Lovallo Dept of Psychiatry and Behavioral Sciences
C1216110	Bureau of Health Professions	Native American Center of Excellence Consortium	\$517 K	12 mos	Dr. P. A. McHale Medicine Office of the Dean
C1295605	Indian Health Service	American Indian Nursing Student Success Program	\$228 K	12 mos	Dr. P. B. Forni Nursing Office of the Dean

AWARD NO.	AGENCY	TITLE	VALUE	PERIOD	PI(S)
C1299307	Maternal and Child Health Bureau	Leadership Ed for Health Prof Caring for Children	\$380 K	12 mos	Dr. M. L. Wolraich Pediatrics Child Study Center
C1422209	Bureau of Health Professions	Health Professions Student Loan(HPSL)/Primary Care	\$339 K	12 mos	Mr. A. M. Spano Office of Student Financial Aids
C1444413	Bureau of Health Professions	Health Professions Student Loan(HPSL)	\$182 K	12 mos	Mr. A. M. Spano Office of Student Financial Aids
C3001401	National Heart, Lung and Blood Institute	Regulation of Cell Migration in Vascular Remodelin	\$234 K	36 mos	Dr. E. W. Howard Dept of Pathology
C3001601	National Institute of Allergy and Infectious Diseases	Studies on Clostridium Septicum Lethal Toxin	\$134 K	22 mos	Dr. R. K. Tweten Dept of Microbiology and Immunology
C3002402	National Institute of General Medical Sciences	Chromosome Movement in Prometaphase	\$281 K	12 mos	Dr. G. Gorbsky Dept of Cell Biology
C3005302	Administration on Developmental Disabilities	Oklahoma Family Support Project	\$100 K	17 mos	Dr. V. Martin Center for Learning & Leadership
C3005501	National Center for Research Resources	MHC-Bound, SIV-Derived, CTL and HTL Epitopes	\$103 K	37 mos	Dr. W. Hildebrand Dept of Microbiology and Immunology
C3006301	National Institute of Diabetes and Digestive and Kidney Diseases	Role of Herg-Like K+ Channels in G.I. Smooth Muscl	\$219 K	12 mos	Dr. H. I. Akbarali Dept of Physiology
C3012002	Bureau of Health Professions	Ryan White Title IV: Coordinated HIV Services	\$326 K	12 mos	Dr. R. A. Greenfield Medicine Infectious Diseases
C3012701	National Science Foundation	Understanding Virus Assembly: The Role of Protein	\$110 K	24 mos	Dr. A. Zlotnick Dept of Biochemistry and Molecular Biology
C3013401	National Science Foundation	Assembly of Synaptic Fusion Core Complex Studied b	\$108 K	24 mos	Dr. Y. Liu Dept of Pathology

AWARD NO.	AGENCY	TITLE	VALUE	PERIOD	PI(S)
C3018601	National Eye Institute	Gene Express-Normal & Pathologic Retinal Vascular	\$147 K	12 mos	Dr. J. D. Ash Dept of Ophthalmology
C8041801	Ortho-McNeil Pharmaceutical	Efficacy & Safety of Topirmate-Treatment of PTSD	\$226 K	12 mos	Dr. P. M. Tucker Dept of Psychiatry and Behavioral Sciences
C8042001	Novartis Pharmaceutical Corporation	Inadequately-Controlled Partial Seizure Dose Study	\$156 K	24 mos	Dr. J. T. Parke Dept of Neurology
C8042101	Novartis Pharmaceutical Corporation	Inadequately Controlled Part Seizure Adj Therapy	\$171 K	24 mos	Dr. J. T. Parke Dept of Neurology
Totals	27		\$10,281 K		

OKLAHOMA STATE REGENTS FOR HIGHER EDUCATION
State Capitol Complex, Oklahoma City

Institution: The University of Oklahoma – Norman Campus

ACADEMIC CALENDAR FOR 2003-2004

Summer Session (2003):

Semester begins (first day of classes) June 2
Please list dates of all holidays and breaks July 4

Semester ends (including final exams) July 28
Commencement date (graduation ceremony) _____

Fall Semester (2003):

Semester begins (first day of classes) August 25
Please list dates of all holidays and breaks September 1
November 26-30

Semester ends (including final exams) December 19
Commencement date (graduation ceremony) _____

Second Semester (Spring 2004):

Semester begins (first day of classes) January 12
Please list dates of all holidays and breaks January 19
March 13-21

Semester ends (including final exams) May 3-7
Commencement date (graduation ceremony) May 8

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

Intersession begins	<u>July 29</u>	<u>December 22</u>	<u>May 10</u>
Intersession ends	<u>August 23</u>	<u>January 10</u>	<u>May 29</u>

Alternative Schedules (please describe any alternative schedules)

Summer Session I: June 2-27
Summer Session II: June 30-July 28

Signature of President _____ **Date** _____

OKLAHOMA STATE REGENTS FOR HIGHER EDUCATION
State Capitol Complex, Oklahoma City

Institution: University of Oklahoma College of Law

ACADEMIC CALENDAR FOR 2003-2004

Summer Session (2003):

Semester begins (first day of classes)	<u>May 19</u>
Please list dates of all holidays and breaks	
Memorial Day	<u>May 26</u>
Independence Day	<u>July 4</u>
Semester ends (including final exams)	<u>July 15</u>
Commencement date (graduation ceremony)	<u>N/A</u>

Fall Semester (2003):

Semester begins (first day of classes)	<u>August 25</u>
Please list dates of all holidays and breaks	
Labor Day	<u>September 1</u>
Thanksgiving	<u>November 26-30</u>
Semester ends (including final exams)	<u>December 19</u>
Commencement date (graduation ceremony)	<u>N/A</u>

Second Semester (Spring 2004):

Semester begins (first day of classes)	<u>January 12</u>
Please list dates of all holidays and breaks	
Martin Luther King	<u>January 19</u>
Spring Break	<u>March 13-21</u>
Semester ends (including final exams)	<u>May 7</u>
Commencement date (graduation ceremony)	<u>May 8</u>

December 2-3, 2002

Intersession (classes that meet between regularly scheduled semesters or that meet between spring semester and summer session or between fall session and spring session): None

Intersession begins _____
Intersession ends _____

Alternative Schedules (please describe any alternative schedules) N/A

Signature of the Dean *Andrew M. Coats* Date November 12, 2002

Signature of President _____ Date _____

UNIVERSITY OF OKLAHOMA**COMPLIANCE AND QUALITY IMPROVEMENT PROGRAM****I. Adoption of Compliance and Quality Improvement Program****1.01 Purpose of the Program**

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

(i) protect research subjects, patients and employees through more effective and efficient compliance efforts and oversight; and (ii) assist faculty and staff with the myriad of complicated laws and regulations to which they are subject in a way that facilitates the University's critical missions. Training and education will be the key mechanisms for achieving these goals.

1.02 Action by Board of Regents

This Program was originally adopted on the 30th day of January 2002 by resolution of the University's Board of Regents (the "Board"). It was revised on December 3, 2002.

1.03 Pre-existing Standards and Procedures

In addition to this document, the University has established and maintains various practices, policies and procedures ~~which~~ that are incorporated into the Program. This Program does not supercede or diminish any other policy or program of the University that, in whole or in part, also addresses compliance issues, unless such other policies or programs are inconsistent with this Program.

1.04 Compliance with Other Laws

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

1.05 Modification of the Program

This Program, and any attachments hereto, will be periodically updated or otherwise modified by the Board as necessary. In addition to this document, the University will periodically distribute memoranda or other policies, which supplement the Program.

1.06 General Application

This Program applies to all University colleges, departments and employees that: (i) submit claims for reimbursement of medical services; (ii) perform human and/or animal research; and/or (iii) handle or work with or around hazardous and/or radioactive materials.

II. Duties of University Leadership

2.01 Board of Regents

The Board has the responsibility for (i) implementing; and (ii) overseeing the Program and related compliance activities. Functions of the Board will include, but not be limited to the following:

- a. Authorization for the University to implement the Program.
- b. Approval of the structure for management oversight and reporting of compliance activities.
- c. Review of periodic reports concerning the Program and compliance activities.
- d. Review of any special reports on any compliance activity.

2.02 University Officers and Other Management Personnel

The Director of Compliance must have the support of all University officers, Department chairs and other management personnel to effectively implement and manage the Program. Employees in leadership positions must pay special attention to the laws and regulations applicable to his/her college or department and should bring areas of concern to the attention of the Director of Compliance.

III. Office of Compliance

3.01 General Purpose

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

3.02 Specific Purpose

In addition to the general purpose stated above, the Office of Compliance will coordinate the University's efforts to:

- a. Inform applicable University employees about the Standards of Conduct and Improvement;
- b. Implement and conduct training programs where needed, and/or monitor existing training programs;
- c. Perform and/or arrange periodic compliance/quality improvement reviews;
- d. Conduct investigations of compliance complaints in coordination with the applicable University department and/or officer;
- e. Maintain a reporting and question hotline for compliance matters;
- f. Serve as a resource to the University on matters of compliance;
- g. Assist with the correction of compliance concerns; and

- h. Draft and implement, in coordination with the applicable department, any necessary policies and procedures.

3.03 Structure

The Office of Compliance will report to the University's General Counsel. However, the Director of Compliance may present compliance issues or concerns directly to the President of the University or the Board in the event the General Counsel does not respond to such issues or concerns in a timely manner.

IV. Director of Compliance

4.01 Appointment

The Director of Compliance will administer the Program ~~will be overseen by a Director of Compliance~~. The specific duties of the Director of Compliance are set forth in Section 4.03.

4.02 Selection Criteria

The Director of Compliance will administer ~~oversee~~ and monitor the University's compliance activities. The day-to-day decisions related to the Program will be made by the Director of Compliance. The Director of Compliance will coordinate the Program and identify and build on existing University policies and procedures. The Director of Compliance should be an individual who has the following characteristics:

- a. High integrity and a thorough understanding of the operations of the University.
- b. Effective analytical skills required to direct regulatory monitoring.
- c. Effective public speaking skills and the ability to articulate complex regulatory information in understandable terms.
- d. Effective interpersonal skills required to work with University officers and employees as well as ~~third party vendors~~ and government representatives.
- e. Effective organizational and planning skills as well as the ability to handle multiple tasks simultaneously.
- f. Effective writing skills.
- g. Thorough understanding of the laws and regulations which apply to the areas covered by this Program, and the ability to identify the legal issues and refer them to the Office of Legal Counsel.

4.03 Responsibilities of the Director of Compliance

~~It is the responsibility of~~ The Director of Compliance is responsible for ~~to~~ ensuring that the Program is implemented and monitored. Coordination and communication are key functions of the Director of Compliance. It is not the duty of the Director of Compliance to perform all compliance related tasks. Rather, the role of the Director of Compliance is to coordinate compliance activities. The Director of Compliance will have authority to review documents and records relevant to compliance activity. The duties of the

Director of Compliance will include, but not be limited to, the following activities:

- a. Oversee implementation of the Program in all areas designated by the Board and President pursuant to the time line established in consultation with the General Counsel.
- b. Work with University officers, Department chairs and employees to prevent, detect and respond appropriately to compliance issues.
- c. Identify University functions and routine business practices and activities requiring compliance training and monitoring.
- d. Establish procedures to make available the appropriate portions of this Program and any amendments thereto to all affected University employees.
- e. Establish a reporting system with University employees who have compliance responsibilities.
- f. Serve as a resource for the University on matters of Compliance.
- g. Perform routine, periodic compliance reviews, or arrange for such reviews, of high-risk areas.
- h. Monitor (in conjunction with the Office of Legal Counsel) developments and changes in statutes, court rulings, rules and regulations that affect compliance requirements, bring them to the attention of the appropriate officers and employees, and assist with remedial activities when appropriate.
- i. Make recommendations, as needed, to University departments regarding their compliance efforts.
- j. Implement systems to ensure that all University employees are adequately informed of their responsibilities under the Program.
- k. Establish a 24-hour a day hotline through which University employees can make anonymous and confidential reports and inquiries about areas covered by this Program.
- l. Maintain records related to the Program.
- m. Review and periodically propose revisions to the Program to meet changes in the University's needs and in the business and regulatory environment.
- n. Submit periodic reports to the General Counsel and Advisory Committee regarding compliance activities.
- o. Conduct investigations in coordination with the applicable department or University officer as needed and act on compliance related matters. The Director of Compliance will notify the appropriate University officer, in addition to the General Counsel, prior to initiating any investigation.

- p. Monitor and respond to any questions, concerns and reports of possible violations reported through any means.
- q. Hire or retain, with the approval of the General Counsel and President and in a manner that is consistent with University policies, any employees or independent contractors necessary to implement the Program and perform the compliance review and training functions.

V. Advisory Committee

5.01 Establishment of Committee

The members of the Advisory Committee will be: (i) the Senior Vice President and Provost – Norman Campus; (ii) the Senior Vice President and Provost – Health Sciences Center; (iii) the Vice President for Health Affairs and Associate Provost – Health Sciences Center; (iv) the Vice President for Research – Norman Campus; (v) the Vice President for Research – Health Sciences Center; (vi) the Associate Vice President for Clinical Research; (vii) the Vice Presidents for Administrative Affairs; and (viii) any other University employees designated from time to time by the General Counsel.

5.02 Purpose of Committee

The Advisory Committee will meet on a periodic basis to (i) provide advice and assistance to the Director of Compliance; (ii) discuss matters of policy applicable to the areas covered by the Program; and (iii) receive reports from the Director of Compliance regarding the activities of the Office of Compliance and developments regarding compliance issues.

VI. Standards of Conduct

6.01 Introduction

The Standards of Conduct (“Standards”) are a non-exclusive compilation of guidelines regarding ethical and legal standards that all University employees are expected to follow when performing services for or on behalf of the University that are related to the areas covered by this Program. The Standards will be made available to all University employees in the Office of Compliance and on the University’s website ~~under the section dedicated to the Office of Compliance.~~ at www.ouhsc.edu/compliance.

6.02 Hiring and Retention

~~The University will not hire or retain as an employee, independent contractor or agent, a health care professional it knows to have been convicted of a criminal offense related to health care or who is debarred by the General Services Administration or is excluded, or otherwise ineligible for participation in Federal Health Care Programs. All health care professionals seeking employment and/or credentials will be required to must provide information concerning: (i) criminal convictions; (ii) exclusions from any Federal Health Care Program; and (iii) sanctions by any Federal Health Care Program. Health care professionals must notify the University of any changes in this information. Each College providing health care services will do a criminal background check prior to a decision to offer employment or credentials to a health care professional. When credentialing physicians, the College of Medicine, Oklahoma City and Tulsa, will consult with the National Practitioner Data Bank as well.~~

6.03 Coding and Billing Standards and Procedures

6.03.1 Billing in General

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

6.03.2 Billing and Coding Specifics

University employed health care professionals will refrain from any of the following practices and work to identify and correct instances in which mistakes have occurred in the following areas:

- a. Billing for items or services not rendered or not provided as claimed;
- b. Submitting claims for equipment, medical supplies and services that are not reasonable and necessary;
- c. Double billing resulting in duplicate payment;
- d. Billing for non-covered services as if covered;
- e. Knowingly misusing provider identification numbers, resulting in improper billing;
- f. Unbundling (billing for each component of the service instead of billing or using an all-inclusive code);
- g. Failure to properly use coding modifiers;
- h. Falsely indicating that a particular health care professional attended a procedure or that services were otherwise rendered in a manner they were not;
- i. Clustering (billing all patients using a few middle levels of service codes, under the assumption that it will average out to the appropriate level of reimbursement);
- j. Failing to refund credit balances; and
- k. Upcoding the level of service provided.

~~6.03.3. Billing to Receive a Denial.~~

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

~~6.03.4. Waiver of Copayments and Deductibles.~~

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

6.03.3 Write-Offs

University employed health care professionals are not permitted to write -off charges for their services, unless the write-off is consistent with applicable State and Federal laws and regulations and any guidance issued by the DHHS Office of Inspector General. Examples of impermissible write-offs include, but are not limited to, (1) the routine waiver of co-payments and deductibles (or "insurance only" arrangements) and (2) the provision of professional courtesies to referral sources. Permissible waivers include, but are not limited to, waiver based on indigency and contractual write-offs and discounts. Waivers of payment are permitted in order preserve State and/or University assets.

~~6.03.5. Billing and Coding Queries.~~

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

~~6.03.6. Use of Consultants.~~

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

6.03.4 Documentation

Claims for payment will be coded and billed based on the documentation contained in the patient's medical record. University employed health care professionals will appropriately document the services and supplies provided to, or the diagnosis and treatment of, each patient and will complete medical records in a timely manner. Medical record documentation must be complete and legible.

6.04 Anti-Kickback Statute and Self-Referral Proscriptions

6.04.1 Anti-Kickback Statute

No University employee, department or college may pay or accept a payment or the referral of a patient to induce the referral of a patient in violation of the federal or state anti-kickback statutes. No one acting on behalf of the University, or one of its departments or colleges, may offer gifts of more than nominal value, loans, rebates, services, or payment of any kind to a referral source or to a patient without consulting the director of compliance. Gifts of nominal value (not to exceed \$300 in a calendar year) may be provided to a referral source if made without intent to induce a referral.

6.04.2 Self-Referral Proscription

~~No University employee may have an ownership or compensation relationship that violates the Physician Self-Referral Statute, more commonly known as "Stark II" prohibits a physician's referral of a patient for a designated health service to an entity with which the physician has a financial relationship unless an exception is met. Compensation and ownership relationships with physicians, including physician employment and independent contractor arrangements, must satisfy an exception to Stark II. Analysis of whether an exception is met depends upon a number of specific facts. University employees should not make a unilateral judgment on the availability of an exception. The responsibility for evaluating the availability of an exception lies with the University's Office of Legal Counsel.~~

~~6.04.3. Physician Recruitment.~~

~~The recruitment and retention of physicians require special care to comply with applicable laws and regulations. Each recruitment package or commitment must be in writing and consistent with applicable laws and regulations. New or unique recruitment arrangements must be reviewed by the Director of Compliance in consultation with the University's Office of Legal Counsel.~~

6.05 Gifts and Gratuities

6.05.1 Gifts from Patients

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

6.05.2 Gifts Influencing Decision-Making

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

~~6.05.3. Gifts to Referral Sources.~~

~~Gifts of nominal value may be provided to a referral source if made without intent to induce a referral. If a gift is to be made to a referral source which will result in that individual receiving gifts valuing over \$300.00 in a calendar year, that gift must be approved in advance by the Director of Compliance. Cash gifts to referral sources are prohibited. Non-cash gifts are permissible~~

~~only if made without regard to the volume of business received from the referral source.~~

~~6.06 Unlawful Advertising.~~

~~Neither the University, one of its departments or colleges or an employed health care professional will use the names, abbreviations, symbols, or emblems of the Social Security Administration, Center for Medicare Services (formerly the Health Care Financing Administration), Department of Health and Human Services, Medicare, Medicaid, or any combination or variation of such words, abbreviations, symbols or emblems in a manner that conveys the false impression that the advertised item or service is endorsed by such government agencies.~~

6.07 Confidentiality of Patient Information

All University employees have an obligation to protect the conduct themselves in accordance with the principle of maintaining the confidentiality of individually identifiable health information in accordance with the HIPAA Privacy Regulations and all other applicable laws and regulations and to adhere to the University's policies and procedures implementing such laws and regulations.

6.08 Environmental Health and Safety/Radiation Safety

6.08.1 Workplace Health and Safety

The University is committed to providing a safe and healthy environment for the entire University community and to complying with all applicable Federal and State laws and regulations pertaining to occupational, environmental, and radiation health and safety wants all employees to work in a safe environment. All University employees must perform their jobs in compliance with all applicable laws and institutional policies and State and Federal laws and regulations relating to the protection of workers' safety. In addition, all employees must ensure that they have received all required safety training and have been authorized to perform a job before undertaking it. Employees must become familiar with the worker safety laws and regulations which apply to their jobs. Employees should seek advice regarding workplace safety and compliance issues from their supervisors or the Environmental Health and Safety Office or the Radiation Safety Office. Each employee is responsible for advising the employee's supervisor or the Environmental Health and Safety Office or the Radiation Safety Office of any serious situation presenting a danger of exposure or injury so that timely corrective action may be taken.

6.08.2 Use of Radioactive and Biological Materials

No use of radioactive materials or radiation producing devices is permitted without the permission of one of the University's Radiation Safety Committees ("RSC"). No use of microorganisms, recombinant DNA or biological toxins is permitted without first obtaining the approval of one of the University's Institutional Biosafety Committees ("IBC"), if such approval is required by University policies. Employees must comply with all applicable RSC and IBC policies, procedures, decisions, conditions and requirements.

6.08.3 Protection of the Work Environment

All University employees must manage and dispose of hazardous chemical, radioactive, and other wastes in a way that maximizes protection of human health and the work environment and is in accordance with all applicable laws

~~local, State and Federal laws~~ and institutional policies regulations. All employees must be trained to perform their duties and conduct their activities in an environmentally responsible manner in accordance with applicable University policies.

6.09 Standards Relating to Research

~~6.09.1 — Protection of Human and Animal Subjects.~~

The University is committed to dealing ethically with the human and animal subjects participating in research projects conducted by faculty, staff and students and research involving University property. Employees involved in human subject or animal research must comply with all federal and state statutes and regulations for research and must adhere to all University policies and procedures regarding research.

6.09.1 Protection of Human Subjects. In order to protect human subjects, each investigator must:

- a. Design and implement ethical research consistent with the three ethical principles delineated in The Belmont Report. The three principles are: justice, beneficence and respect for persons.
- b. Comply with all applicable Federal regulations impacting the protection of human subjects (e.g., 45 C.F.R. § 46 and 21 C.F.R. § 50 and 56).
- c. Ensure that all research involving human subjects is submitted to and approved by one of the University's institutional review boards ("IRB") prior to subject recruitment and data collection, as required by the policies and procedures of the IRB of the respective campus.
- d. Comply with all applicable IRB policies, procedures, decisions, conditions and requirements.
- e. Implement research as approved by the IRB and obtain prior IRB approval for any changes to the research protocol prior to implementation.
- f. Obtain informed consent and assent in accord with Federal regulations and as approved by the IRB.
- g. Document informed consent and assent in accord with Federal regulations and as approved by the IRB.
- h. Report progress of approved research to the IRB, as often and in the manner prescribed by the IRB.

- i. Report to the IRB any injuries, adverse events/effects, or other unanticipated problems involving risks to subjects or others.
- j. Retain signed consent documents and IRB research records for at least three years past completion of the research activity.

6.09.2 Protection of Animal Subjects. In order to protect animal subjects, each investigator must:

- a. Comply with all applicable Federal laws and regulations impacting the protection of animal subjects (e.g., the Animal Welfare Act and the Public Health Service Policy on Humane Care and Use of Laboratory Animals).
- b. Ensure that all research involving animal subjects is submitted to and approved by one of the University's institutional animal care and use committees ("IACUC").
- c. Comply with all applicable IACUC policies, procedures, decisions, conditions and requirements.
- d. Implement research as approved by the IACUC and obtain prior IACUC approval for any changes to the research protocol.
- e. Choose a species for study that is well suited for investigation of the issues posed.
- f. Use the smallest number of animals necessary and sufficient to accomplish the research goals.
- g. If procedures used in research or teaching involve exposure to painful, stressful or noxious stimuli, consider whether the knowledge that may be gained is justified.
- h. Use only reputable suppliers for the procurement of animals.
- i. Ensure that caging conditions and husbandry practices meet applicable standards.
- j. Dispose of animals in accordance with applicable laws and standards.

6.09.3 Scientific Misconduct

The University will not tolerate scientific misconduct ~~which~~ that includes, but is not limited to: (i) plagiarism; (ii) falsification; (iii) fabrication; and (iv) other unethical scientific practices. Scientific misconduct is further defined in and governed by other University policies.

6.09.4 Research Financial Issues

Research costs and budgets must be prepared and submitted accurately and in accordance with (i) generally accepted accounting principles; (ii) OMB Circular A-21; and/or (iii) the terms set forth in an industry-sponsored or government grant or contract, whichever is applicable, in addition to applicable statutes and regulations. Financial conflicts of interest will be reported in accordance with University policy.

VII. Administration of the Program

7.01 Adherence to the Program

It is intended that all University employees subject to this Program carry out their duties for the University in a manner that is consistent with this Program. Conduct that does not comply with the Program (i) is not authorized by the University; and (ii) may subject the employee to corrective action pursuant to Section 7.03. Such corrective actions also may apply to an employee's supervisor or department chair, as applicable, who (i) directs or approves the employee's improper actions; (ii) is aware of the improper actions, but does not appropriately correct such actions; or (iii) otherwise fails to exercise appropriate supervision.

7.02 Questions About the Program

If any question arises as to (i) the existence of, interpretation of or application of any law or regulation that applies to an area or matter that is covered by this Program; or (ii) whether any action complies with the Program, a University employee should present that question to such employee's immediate supervisor. If the question cannot be addressed in that manner because the supervisor is absent, does not know the answer or does not respond in a timely manner, or is suspected of being involved in or condoning the activity, the question should be addressed to the Director of Compliance. Legal issues should be referred to the Office of Legal Counsel. The University encourages employees not to guess, but to ask for clarification from the Director of Compliance if there is confusion or a question with regard to the Program, the law, or a policy or procedure.

7.03 Corrective Action

The Program includes the possibility of corrective action for University employees who have failed to comply with (i) the Program; (ii) other University policies and procedures; and (iii) applicable Federal and State laws and regulations. Corrective action also may be appropriate where an employee should have, but failed, to detect a violation. Any violation of applicable Federal or State laws or regulations or deviation from the appropriate standards of conduct as set forth in this Program will subject an employee to corrective action, which may include, but is not limited to, any of the following:

- a. Mandatory training;
- b. Counseling session;
- c. Corrective action;
- d. Required leave;
- e. Reduction in salary;
- f. Demotion;
- g. Suspension;
- h. Abrogation of tenure;
- i. Suspension of billing privileges, if a health care provider; and/or
- j. Termination of employment or contractual relationship.

Mandatory training and/or counseling will be the preferred corrective action and will be used whenever appropriate.

~~7.04~~ ~~Exit Interviews.~~

~~The University shall attempt to conduct an exit interview for all employees performing services for the University that are covered by this Program who terminate employment for any reason using the exit interview form attached hereto as Exhibit B. The employee's supervisor should notify Human Resources when an employee notifies him/her of the employee's termination. Upon receipt of such notice, Human Resources should send the employee the Exit Interview Questionnaire attached hereto as Exhibit B which should also be returned to Human Resources. Exit interview forms which raise compliance issues should be copied and routed to the Director of Compliance.~~

7.05 Self-Reporting

To be effective, the Program depends to some extent upon self-reporting and acceptance of responsibility by University employees who may have made mistakes out of lack of knowledge or inattention. To the extent a University employee self-reports a potential wrongdoing, both the self-reporting and the acceptance of responsibility will be taken into account by the University as a mitigating factor in determining the form of action taken. University employees can use the Hotline described in Section 10.02.4 of this Program to self-report or they may contact the Director of Compliance directly.

VIII. Training and Education

8.01 Generally

Education and training are a critical part of the Program and are the primary mechanisms for preventing and correcting compliance issues. ~~Education and training will involve not only new employees, but all existing employees as needed.~~ The University will require participation by all employees in appropriate training programs. University officers, department chairs and other management personnel will be involved in the educational process by ~~assisting in~~ (i) identifying areas that require training; and (ii) supporting the training process. The Director of Compliance will be actively involved in the design and implementation of training and educational programs. A Training Program relating to the areas covered by this Program will be developed. the training process.

8.02 Mandatory Training

An employee's failure to attend a mandatory training session will subject that employee to corrective action as discussed in Section 7.03 above. The supervisor or management employee responsible for conducting the training

will maintain attendance records and will forward copies of such records to the Director of Compliance.

8.03 Dissemination of Information

~~Upon the adoption of this Program by the Board, The University will distribute to employees: (i) a letter from the University's President discussing the University support of the Program; and (ii) the Standards of Conduct summarizing the Program. From that point forward, Human Resources will help coordinate the distribution of the Standards of Conduct to new and existing employees, and the affected Departments will provide a copy of the President's letter and the Standard's of Conduct to persons at the same time an offer of employment is made and such individuals will be required to~~
Employees will be required, as a condition of employment, to acknowledge receipt of the Standards of Conduct by executing a Certification and Agreement of Compliance as attached hereto as Exhibit C B as a condition of employment. On at least an annual basis, employees will be reminded of their obligations under this Program and their duty to report suspected violations of the Program and applicable statutes and regulations through a written or electronic communication from the Office of Compliance.

IX. Monitoring and Compliance Review

9.01 Generally

Regular monitoring and review of compliance activities is a feature of the Program. There will be regular reporting to University management, the President and the General Counsel.

9.02 Monitoring Techniques

The University will utilize regular and periodic compliance reviews. The compliance reviews will focus on those areas within the University that have substantive exposure and which otherwise put the University at risk. If it is determined that any error or deviation is caused by improper procedures, misunderstanding of the rules, including fraud or other systematic problems, the Director of Compliance, in consultation with the General Counsel should take immediate steps to correct the problem. To the extent that monitoring and auditing discloses that variations or deviations were not detected in a timely manner due to deficiencies in the Program, the Program will be modified.

Monitoring techniques can take a variety of forms, including, but not limited to: (i) onsite visits; (ii) document reviews; (iii) personal interviews. The Director of Compliance will have access to (i) any pertinent records and (ii) relevant personnel. Cooperation with the Director of Compliance is mandatory.

9.03 Advice from the Government and its Agents

To the extent the University requests advice, or receives advice, from the government or its agents, the University will document and retain a record of such request and response or unsolicited advice received. Each employee receiving such advice will be responsible for providing a copy of the advice, if written, or a memorandum describing the advice, if oral, to the Director of Compliance. Every effort should be made to obtain such advice in written form. The Director of Compliance will maintain a log of advice received.

X. Response and Prevention

10.01 Reports of Wrongdoing

All University employees have a duty under this Program to report possible wrongdoing or suspected violations of applicable federal and state laws and regulations. The University has an open door policy available to all employees acting in good faith to encourage communication, dialogue and the reporting of incidents of potential wrongdoing or suspected violations. A “suspected violation” occurs when an employee has reasonable cause to believe that a violation of a law regulation applicable to an area covered by this Program, or a violation of this Program, has occurred or will occur. The University will not retaliate or discriminate against any employee who makes a good faith report of a suspected violation regarding the observed conduct or actions by another person by reason of such a report being made. While the University will strive to maintain the confidentiality of an employee’s identity, it may become necessary for such employee’s identity to become known or revealed during the investigation process. It will be a violation of this Program to make a report of a suspected violation which is knowingly false.

The reporting methods set forth below apply to reports of suspected violations of law which apply to areas and matters covered by this Program or to suspected violations of this Program. Other issues should be reported through the University’s normal reporting structure.

10.02 Methods of Reporting

10.02.1 Immediate Supervisor

The first option for reporting suspected violations of law is to make the report to the employee’s immediate supervisor who can in turn, work with the Director of Compliance to investigate and rectify any problems. If reporting to the supervisor is inappropriate because the supervisor is absent, does not know the answer or does not respond in a timely manner, or because the supervisor is suspected of condoning the activity, reports can be made pursuant to one of the other options set forth below.

10.02.2 Director of Compliance

The University desires to establish an open line of communication between all employees and the Director of Compliance to provide for the successful implementation and operation of the Program. The Director of Compliance can be reached by telephone at (405) 271-2511 or during ordinary office hours in Room 175D of the Bird Library. A message may also be sent to the Director of Compliance via regular or electronic mail.

10.02.3 Hotline

If an employee wishes to remain anonymous while reporting potential wrongdoing, an employee may call the Helpline, which will be available 24 hours a day, at (405) 271-2223 or toll free at (866) 836-3150. The call will not be traced and the person need not give his/her name.

10.03 Responding to Reports

When a report of a suspected violation is received on a matter that does not concern compliance issues, that report will be referred to the appropriate University department. Whenever the Director of Compliance receives a report of a suspected violation, from any source, which allegation may

reasonably constitute a criminal or civil offense, the Director of Compliance will promptly conduct a preliminary review of such allegation. Advice from the Office of Legal Counsel may be sought to determine the seriousness of the allegation. The preliminary review should be completed within a reasonable time of the receipt of the report. If the Director of Compliance reasonably determines that it is necessary to conduct an internal investigation of the alleged misconduct, the Director of Compliance will conduct such an internal investigation in coordination with the applicable Department or University officer. The Director of Compliance will notify the appropriate University officer, in addition to the General Counsel, prior to initiating any investigation. The internal investigation should be completed within a reasonable time of the initial report. When circumstances so require, the Director of Compliance will proceed more quickly than the time standards set forth herein or authorize additional time to complete the investigations. All internal investigations and their results will be reported to the General Counsel.

Employees under investigation may be removed from their current work activity and put on administrative leave pending completion of an investigation or preliminary review upon action of the Director of Compliance or the General Counsel, to the extent permitted by applicable University policies and procedures.

The Director of Compliance should take appropriate steps to secure or prevent the destruction of documents and other evidence relevant to the investigation. Advice from the Office of Legal Counsel regarding any such investigation may be obtained if necessary. Once an investigation is completed, if corrective action is warranted, it should be immediate and imposed in accordance with the University's Employee and Faculty Handbooks.

Exhibit A

Employee Investigative and Audit Response Guidelines

As government and public scrutiny increases regarding the areas addressed by the University's Compliance and Quality Improvement Program, the possibility of a government investigator or auditor contacting a University employee at his/her home or place of work increases. The University encourages each employee contacted by a government investigator or auditor to cooperate fully and appropriately. If you receive such a visit or are contacted, you should follow the following steps:

1. Ask the investigator or auditor for identification and check it.
2. Tell the investigator or auditor it is the University's policy that you make two calls first.
 - a. Call your supervisor. You may ask the investigator or auditor to talk to your supervisor.
 - b. Call the Director of Compliance at (405) 271-2511 or the Office of General Counsel at (405) 325-4124. You may ask the investigator or auditor to talk with the Director of Compliance or the General Counsel.
3. You do not have to talk to the investigator or auditor if you do not want. The University is not instructing you not to talk to the investigator or auditor; however, you are not under any obligation to talk to them. Until it is determined who or what is the subject of the investigation or audit, as a matter of sound advice, it is usually not in an employee's best interest to talk with an investigator or auditor without an attorney present. Simply tell the investigator or auditor that you want the interview to be terminated until an attorney is present.
4. You are not authorized to give University documents (including documents you may be prepared at work) to the government. Any request for documents should be reported to the Office of Legal Counsel.
5. Search Warrants: If a government investigator presents a search warrant, you must allow the search to occur. However, you should follow the steps outlined above. In order to protect the University's interests, it is crucial that your supervisor and the Office of Legal Counsel are notified immediately. Further, before any search occurs, ask the investigator to make a copy of the search warrant. Make a log of all documents taken and attempt to obtain the investigator's permission to copy the documents prior to their removal.
6. Subpoenas: If an investigator presents a subpoena for documents, you do not have to provide the documents immediately. Give the subpoena to your supervisor who will coordinate with the Office of Legal Counsel regarding the appropriate response to the subpoena.

Exhibit B

~~OFFICE OF COMPLIANCE EXIT INTERVIEW QUESTIONNAIRE~~

~~Employee's Name:~~

~~Job Title:~~

~~College and Department:~~

~~Dates of Employment:~~

~~1. During the course of your employment, did you become aware of, or did you observe, any conduct or activity that could be considered questionable, unethical, or illegal regarding matters covered by the Compliance and Quality Improvement Program?~~

~~_____ Yes _____ No~~

~~If "yes" please describe.~~

~~2. If you answered "yes" to Question 1, did you notify your supervisor, the compliance officer, or any other individual about your concerns and observations?~~

~~_____ Yes _____ No~~

~~If "yes", please explain, and be as specific as possible when you reference persons, dates, locations, and outcomes.~~

Exhibit B

CERTIFICATION AND AGREEMENT OF COMPLIANCE

I certify that I have received and have read a copy of the University of Oklahoma's Standards of Conduct and that I fully understand the requirements set forth in that document. I certify that I shall act in full accordance with all policies of the University including the University's Compliance and Quality Improvement Program ("Program"), as amended and revised from time to time. Such policies ~~include~~ reflect the University's commitment to adhere to all applicable statutes and regulations. I understand that I will be subject to disciplinary action, including the possibility of termination, for violating such policies, the Standards of Conduct or the Program or for failing to report violations as required by the Program.

Name:

Signed:

Date:

**QUARTERLY FINANCIAL ANALYSIS
for the Three Months Ended September 30, 2002**

EXECUTIVE SUMMARY

(For more detailed information, see the Quarterly Financial Analysis (QFA) report that was provided separately.)

ALL FUNDS, COMBINED

Revenues, prior year carry forward, and distributions from reserves of \$340.6 million (30.4% of budget) exceeded expenditures of \$313.2 million (27.9% of budget). [See page 1 of the QFA.]

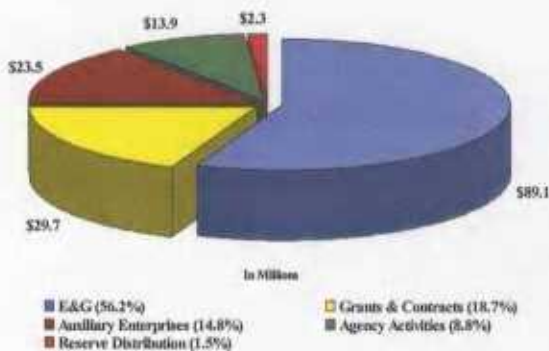


ALL FUNDS, BY CAMPUS

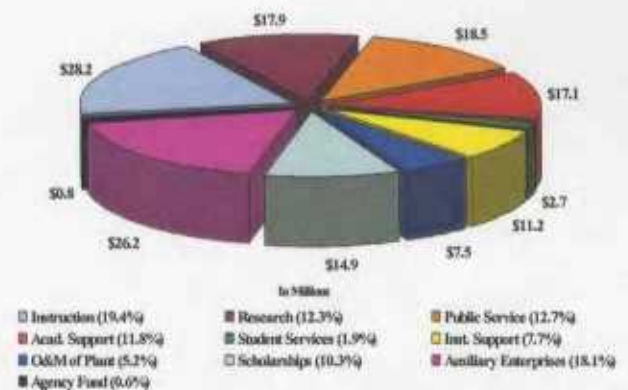
Norman Campus

Revenues and distributions from reserves of \$158.5 million (29.8% of budget) exceeded expenditures of \$145.0 million (27.2% of budget). [See page 2 of the QFA.]

Revenues



Expenditures

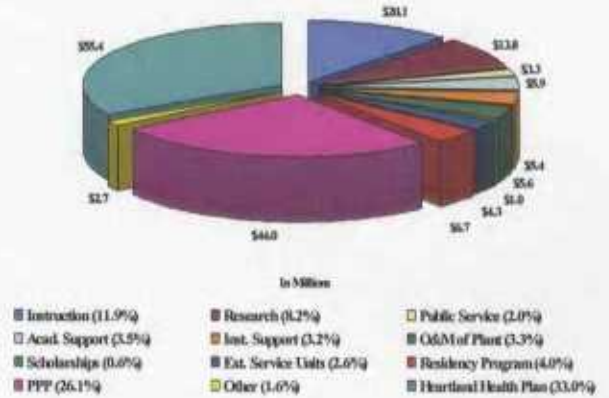
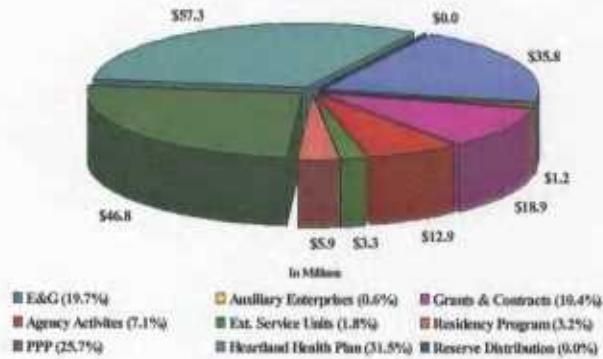


Health Sciences Center

Revenues and distributions from reserves of \$182.1 million (30.9% of budget) exceeded expenditures of \$168.2 million (28.6% of budget). [See page 8 of the QFA.]

Revenues

Expenditures



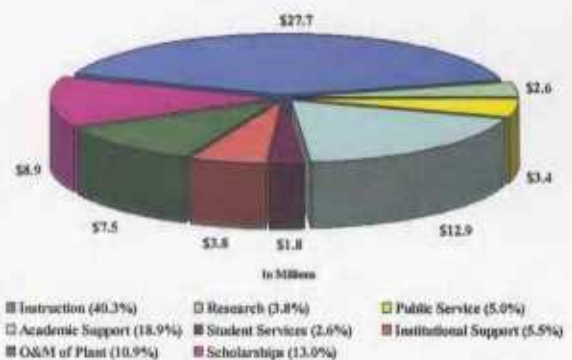
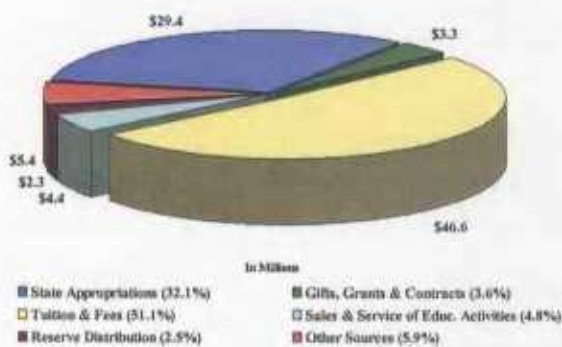
EDUCATIONAL & GENERAL

Norman Campus

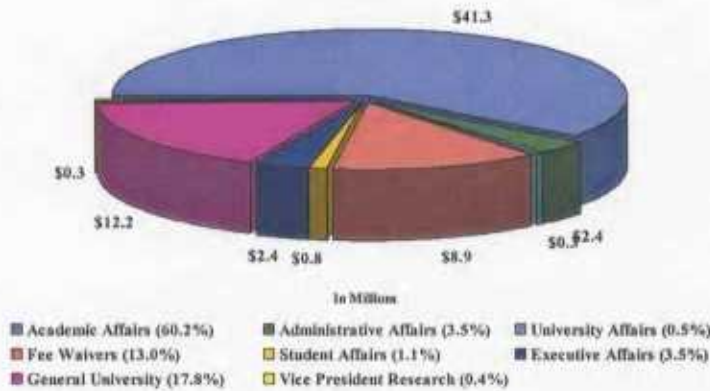
Revenues and distributions from reserves of \$91.4 million (33.8% of budget) exceeded expenditures of \$68.6 million (25.4% of budget). [See page 3 of the QFA.]

Revenues

Expenditures By Function



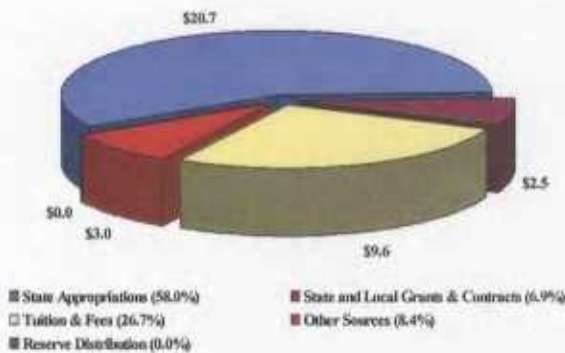
Expenditures by Organizational Area



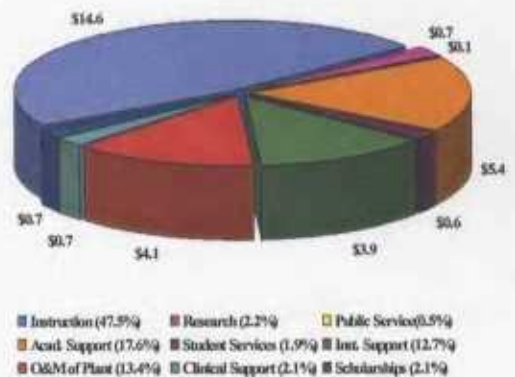
Health Sciences Center

Revenues of \$35.8 million (29.6% of budget) exceeded expenditures of \$30.8 million (25.4% of budget). [See page 9 of the QFA.]

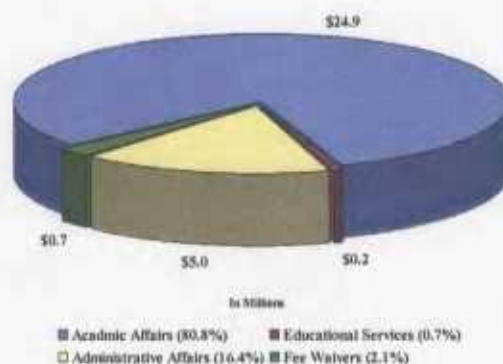
Revenues



Expenditures by Function



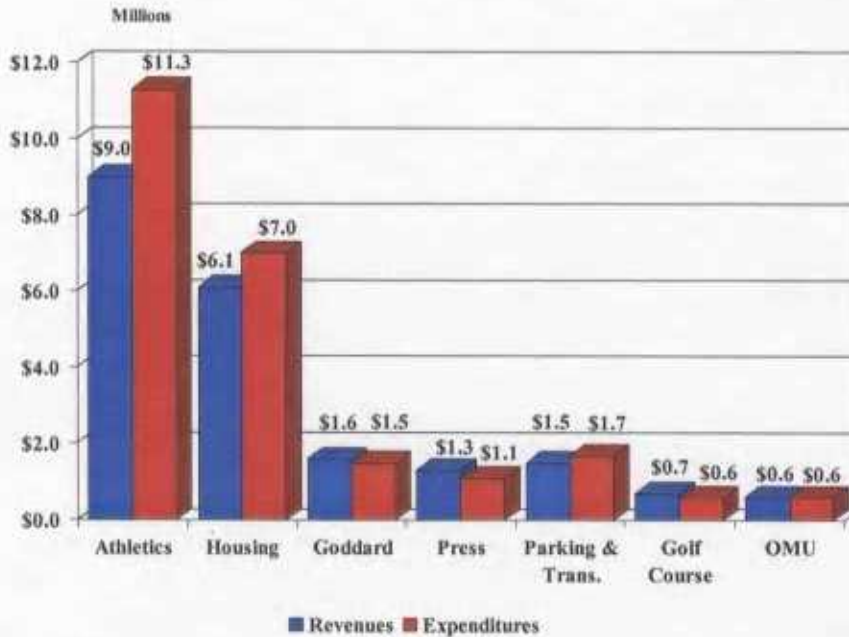
Expenditures by Organizational Area



AUXILIARY ENTERPRISES

Revenues and expenditures for major auxiliary enterprises (year-to-date revenues of \$500,000 or more) are detailed below. [See page 5 of the QFA.]

Norman



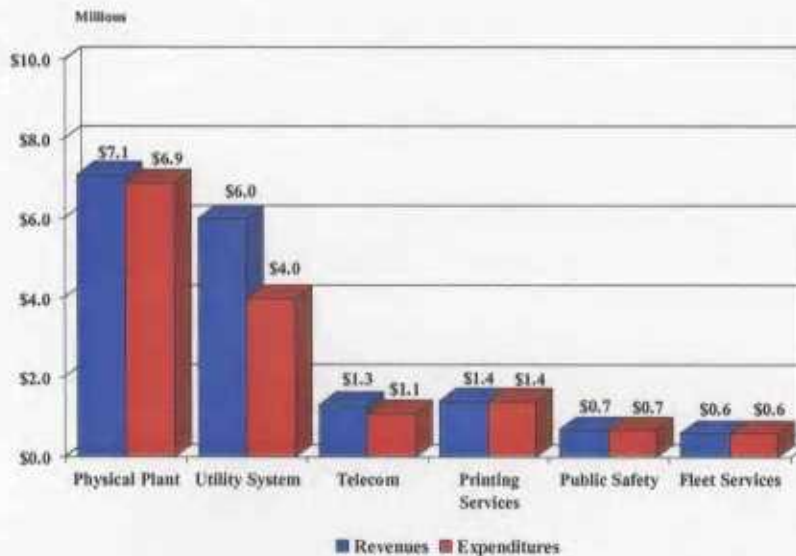
Health Sciences Center

One auxiliary enterprise was reporting revenues of \$500,000 or more. Campus Police reported revenues of \$511,000 and expenses of \$350,000. [See page 11 of the QFA.]

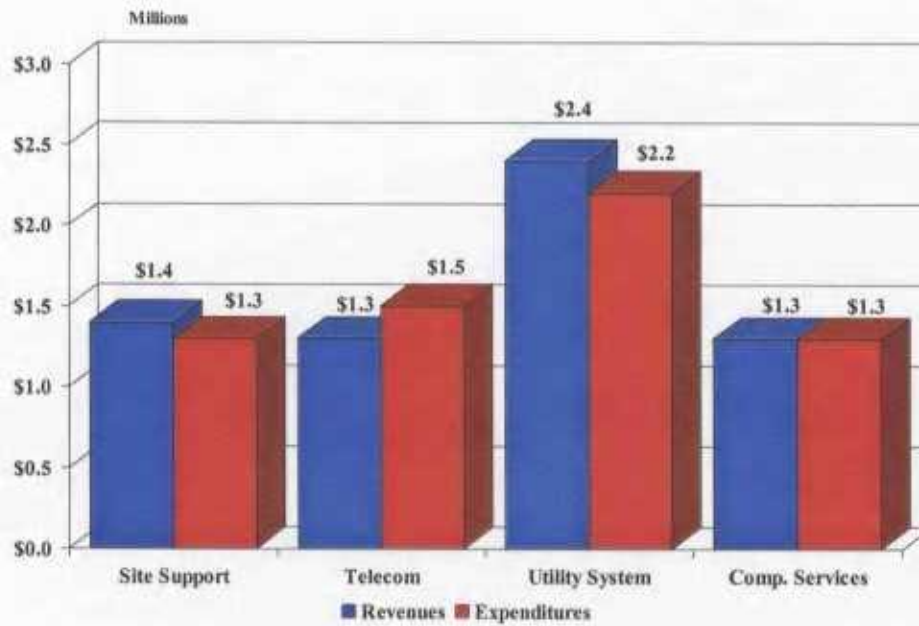
SERVICE UNITS

Revenues and expenditures for major service units (year-to-date revenues of \$500,000 or more) are detailed below.

Norman [See page 6 of the QFA.]



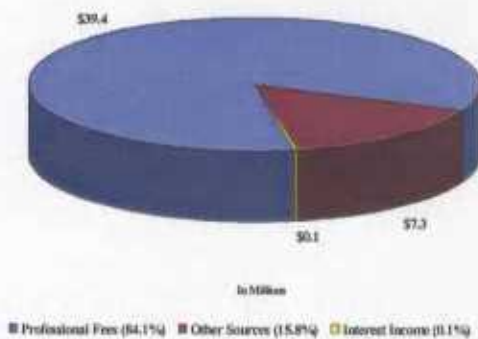
Health Sciences Center [See page 12 of the QFA.]



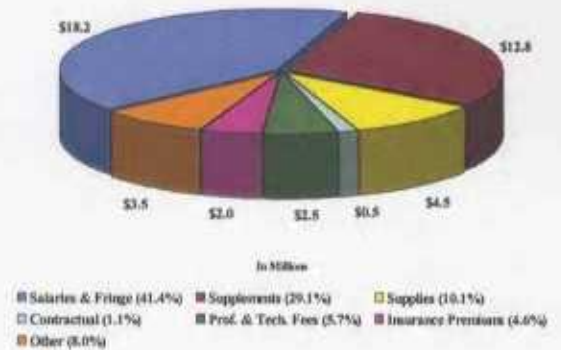
Professional Practice Plan (PPP)

PPP revenues and distributions from reserves of \$46.8 million (35.7% of current budget) exceeded expenditures of \$44.0 million (33.5% of budget). [See page 13 of the QFA.]

Revenues



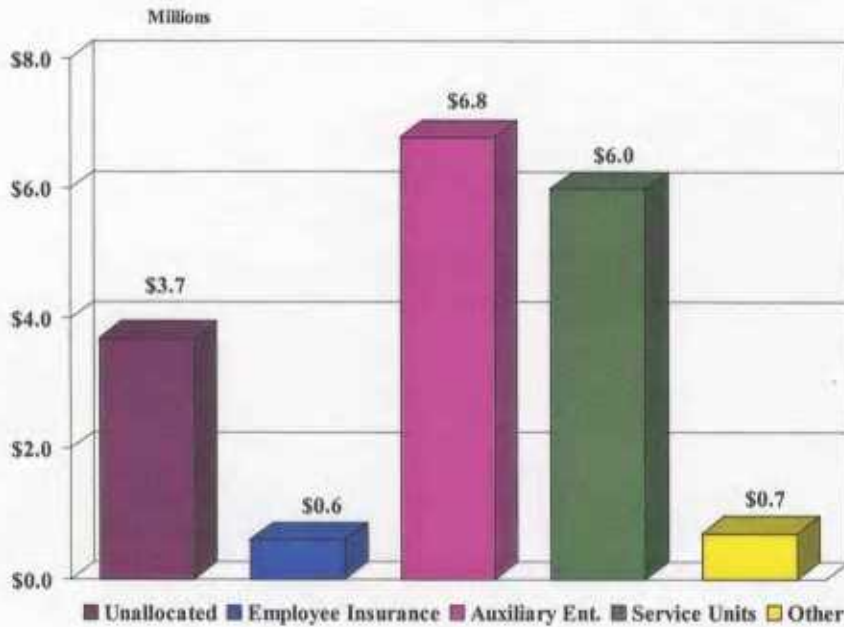
Expenditures



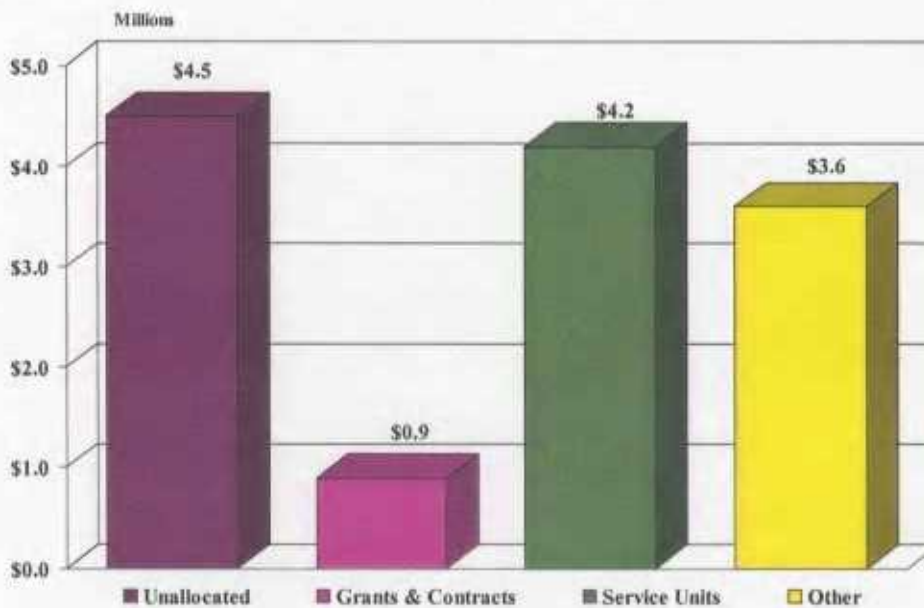
RESERVES

Reserves for the Norman Campus and the Health Sciences Center totaled \$17.8 million and \$13.2 million, respectively, at September 30, 2002. [See page 16 of the QFA.]

Norman Campus



Health Sciences Center



December 2-3, 2002

QUARTERLY REPORT OF PURCHASES

July 1, 2002 through September 30, 2002

<u>Item</u>	<u>Description</u>	<u>Campus-Department</u>	<u>Vendor</u>	<u>Award Amount</u>	<u>Explanation / Justification</u>
1.	PURCHASE OBLIGATIONS FROM \$75,000 TO \$125,000				
1	HSC-Tulsa – Lease of Warehouse Space	Operations	Helmerich Payne Properties	\$78,757	Lease of Property - Warehouse storage at Tulsa Business Park.
2	HSC-Tulsa – Lease of Office Space	Family Medicine Department	Brooks Harvard LLC	\$96,879	Lease of Property - Office space at the Doctors Medical Arts Building in Tulsa.
3	HSC – Voice-Data Cabling and Certified Fiber Cabling	Telecommunications	Sequoyah Communications Inc	\$100,000	Technician services to install, terminate and test voice/data/fiber cabling.
4	HSC – Elevator Maintenance	Site Support	Allied Elevator	\$112,380	Elevator maintenance for all buildings as specified in contract.
5	HSC – Instruction for Classes	College of Pharmacy	Professional Compounding Centers of America, Inc	\$100,000	Instruction for Pharmaceutical Calculations, Drug Delivery Systems I & II, Pharmacy Lab Coordination, to be provided for fall and spring 2003.
6	HSC – Data and Communication Service	Information Technology	World Com	\$77,544	Access charge and private line service from the Tulsa Campus to OKC campus. Provides dedicated point-to-point data and video circuits.
7	HSC – Temporary Medical Professional Services (Locum Tenens)	Anesthesiology	National Anesthesia Service Inc.	\$120,000	Temporary services of anesthesiologists to provide anesthesia services.
8	HSC – Billing Services	Pathology	Comp One Services Ltd.	\$110,000	Patient billing services for the Lawton Clinic.
9	HSC – Compaq Alphaserver	Information Technology	Pioneer Standard Electronics Inc.	\$78,936	Two Compaq servers.
10	HSC – Vasculight	Dermatology Clinic	Eclipse Med Ltd.	\$91,800	Laser for application on human skin.

December 2-3, 2002

11	NC – Unarmed security personnel	Athletics	Sooner Security of Norman Inc.	\$120,000	Furnish unarmed security personnel for athletic events held at the University.
12	NC – Awards	Athletics - Equipment Room	Jostens	\$110,000	Athletic letter awards and custom design of championship awards.
13	NC – Server	Bioinformatics Research	Sun Microsystems Inc.	\$94,900	Sunfire V880 server.
14	NC – Lab Analysis of Asbestos	Physical Plant	Tec An Inc.	\$85,000	Lab analysis of asbestos samples.
15	NC – Consulting Services	Federal Relations Office	Boesch & Co. Inc.	\$106,751	Consulting services on federal legislation.
16	NC – Fire Sprinkler System	Physical Plant	Simplex Grinnell	\$97,000	Perform all required inspections, testing and documentation for fire sprinkler systems.
17	NC – Telephone Equipment	Telecommunications	Creative Comm Co.	\$100,000	Provide telephone equipment including service and warranty.

II. ACQUISITION OF GOODS AND SERVICES PURSUANT TO AND FUNDED BY SPONSORED GRANTS AND CONTRACTS BETWEEN THE AMOUNTS OF \$125,000 AND \$300,000

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19	HSC – Subcontract	Microbiology / Immunology	University of Tulsa	\$130,000	Services of Glen Collier, Ph.D. in support of research project: 'Oklahoma Biomedical Research Infrastructure Network'.
20	HSC – Subcontract	College of Pharmacy	University of Maryland Baltimore	\$199,198	Scientific/technical services in support of research project: 'Synthesis and Evaluation of Cocaine Antagonists'.

III. SOLE SOURCE PROCUREMENTS IN EXCESS OF \$35,000

21	HSC – Lease of Space	Dermatology	Enid Health Center Co. LLC	\$37,380	Lease of office space at the Enid Health Center. Competition would not have helped and was not called for. Specific space for mission accomplishment.
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December 2-3, 2002

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23	HSC-Tulsa – Telephone Service	Voice & Data – Telecommunications	Southwestern Bell	\$48,000	Telephone service for basic, line, long distance, directory advertising and special circuits. Competition would not have helped. Compatibility with existing capabilities was required.
24	HSC-Tulsa – Accept and Process Medicaid and SoonerCare Applications	Women’s Clinic & Family Medicine Clinic	State of Oklahoma - Department of Human Services (DHS)	\$66,000	DHS processes applications for Medicaid, SoonerCare and other services. Competition was not required.
25	HSC – Site Licenses	Library	MD Consult LLC	\$41,810	Online medical subscription information and site licenses for 9 concurrent users. Competition would not have helped or added value.
26	HSC – Lease of Property	OB/GYN Professional Practice Plan	Hillcrest Real Estate Development Co.	\$37,700	Lease of office space at Hillcrest Physicians South Building. Specific space for mission accomplishment. Competition would not have helped and was not called for.
27	HSC – Prepare Blood Components	OU Physicians – Hematology / Oncology Clinic	Sylvan N Goldman Center	\$120,000	Preparation of blood components for patient treatment and associated laboratory testing. Competition was not available or applicable.
28	HSC – Maintenance of Senograph 2000D Machines	OU Physicians – Breast Health Institute, Radiology Clinic	GE Medical Systems	\$70,320	Only FDA approved provider of maintenance of specialized mammography equipment. Competition was not available.

December 2-3, 2002

29	HSC – Software Permissions on Telephone Trunk Processor	Telecommunications	Avaya Communications	\$72,251	Software licenses on existing telephone system to maintain stations and trunks processor. Competition was not applicable.
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31	HSC – Lease of Property	OU Physicians – Edmond Family Care Clinic	Village Center Medical Office LLC	\$57,504	Lease of office space at the Medical Clinic at Coffee Creek. Specific space for mission accomplishment. Competition would not have helped and was not called for.
32	HSC – Maintenance for Hardware and Software	Information Technology	Sun Microsystems, Inc	\$44,517	Specific maintenance coverage for existing hardware and software. Competition is not applicable.
33	HSC – Medical Director Services	Pharmacy	Acute and Intensive Care Ped of Oklahoma	\$118,333	Medical Director and other services of William Banner, Jr. MD for the Oklahoma Poison Control Center. Competition is not applicable.
34	HSC – Analyzer	Microbiology / Immunology	CTL Analyzers LLC	\$37,800	Product and source are unique in the market place. Product electronically counts spots on cell plates for high-resolution image analysis. Competition was not available.
35	HSC – Ultracentrifuge	Microbiology	Beckman Coulter	\$58,812	Product is a specialized ultracentrifuge, unique in the market place, needed for certain scientific research tests. Competition was not available.
36	HSC-Tulsa – Yellow Pages Ads	Voice & Data	Southwestern Bell Yellow Pages	\$47,466	Yellow pages ads for departments at the Schusterman Campus. Competition is not applicable.

December 2-3, 2002

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38	NC – Service Contract	Sam Noble Oklahoma Museum of Natural History	Simplex/Grinnell	\$67,540	Competition is not applicable. Service security contract on existing system.
39	NC – Aviation Fuel	College of Continuing Education	Cruise Aviation Assoc. Inc.	\$200,000	Vendor is the only source for 100-Octane LL aviation fuel at Max Westheimer Airport. Vendor provides fuel for aircraft in OU Aviation. Competition is not available.
40	NC – Maintenance Agreement	Microscopy Laboratory-Botany	Jeol USA Inc.	\$37,525	Annual maintenance agreement on electron microscope and scanning microscope. Competition is not applicable.
41	NC – High Performance Liquid Chromatography Detection System	Chemistry & Biochemistry	Dionex Corp	\$62,367	High performance liquid chromatography detection system that must be compatible with existing lab equipment for integrity of experiment results. Competition is not applicable.
42	NC – Bed frame for Smart-Radar Truck	Cimms-Research	Wilke Mffg.	\$36,082	Bed frame must be compatible with existing smart-radar truck. Competition is not applicable.
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December 2-3, 2002

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47	NC – Lease of Space	College of Continuing Education - Advanced Programs, North American Programs	Charles E. Smith Co.	\$42,996	Lease of property in Arlington, Virginia. Specific space for mission accomplishment. Competition is not applicable.
48	NC – Software License, Support and Maintenance Renewal	University Software	IBM Corp.	\$75,000	Software license, support and maintenance renewal of the IBM mainframe. Competition is not applicable.
49	NC – Support and Maintenance	University Software	Critical Tech.	\$81,338	Support and maintenance for hardware and software for the Optika Software and Emedia. Also, maintenance for the Plasmon system. Competition is not applicable.
50	NC – Software License and Support Agreement	University Software	American Management Systems Inc.	\$50,000	Annual software license and support for Advantage Financial System. Competition is not applicable.
51	NC – Software License	University Software	SAS Institute Inc.	\$46,110	Annual software license renewal for the OS SAS Premier-R system. Competition is not applicable.
52	NC – Maintenance Renewal	University Software	Optika International Summit	\$52,088	Annual maintenance renewal for the Acorde Context Fore and ERM systems. Competition is not applicable.
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December 2-3, 2002

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December 2-3, 2002

**REGENTS' FUND
QUARTERLY FINANCIAL REPORT
September 30, 2002**

I. Policy Information

- Highlights of the *Statement of Investment Policy* are described below.

Target Asset Allocation

Asset Class	Minimum %	Target %	Maximum %
U.S. Equities	52%	55%	58%
International Equities	12%	15%	18%
Fixed Income	27%	30%	33%
Cash Equivalents	0%	0%	5%

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 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,

The Russell 3000 Index is used as the benchmark for the U.S. Equity Component.

The Morgan Stanley Country Index- Europe, Asia and Far East (MSCI EAFE) is used as the benchmark for the International Equity Component.

The Lehman Intermediate Aggregate Bond Index is used as the benchmark for the Fixed Income Component.

Comparative Return Objective - which shall measure performance as compared to a universe of similar investment funds.

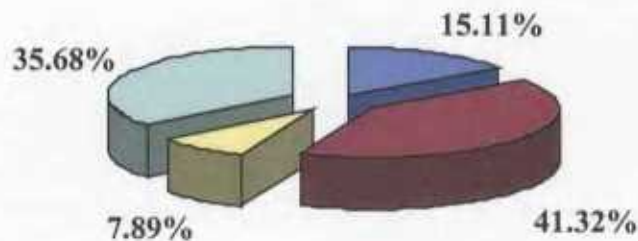
II. Market Value

The total market value of the Regents' Fund at September 30, 2002 was \$51.4 million.

III. Consolidated Investment Fund

• **Asset Allocation**

Cash and investments held by the CIF at September 30, 2002, had a market value of \$36.5 million, which is down \$3.2 million (8.1%) from June 30, 2002. The asset allocation of the CIF as of September 30, 2002 is summarized below.



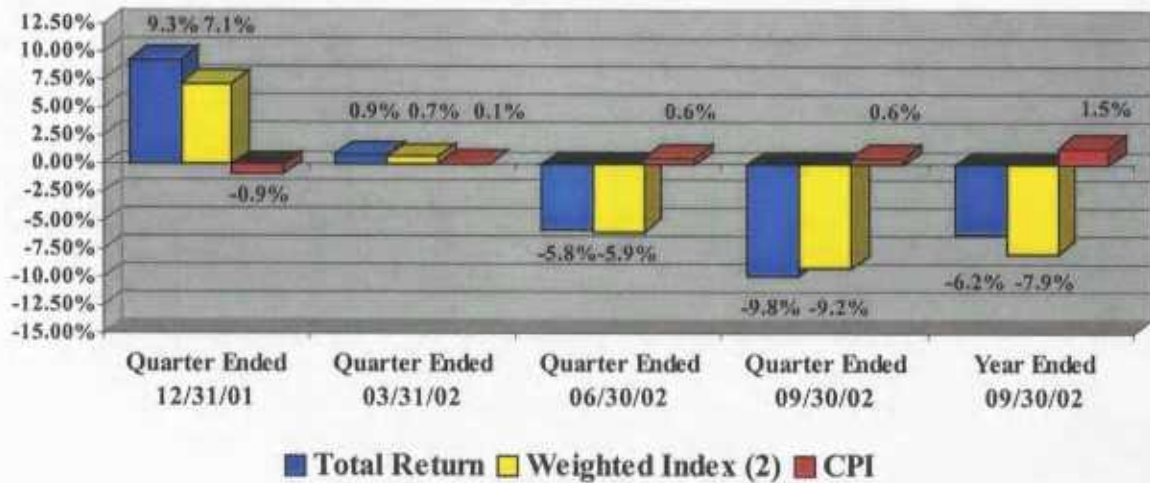
■ Cash Equivalents (1) ■ U.S. Equity ■ International Equity ■ Fixed Income

(1) During October 2002, an additional \$3.0 million was made available to the investment manager to be invested pursuant to the *Statement of Investment Policy*. Taking this reallocation into consideration, the allocation to Cash Equivalents drops to approximately 7.5%.

• **CIF Performance**

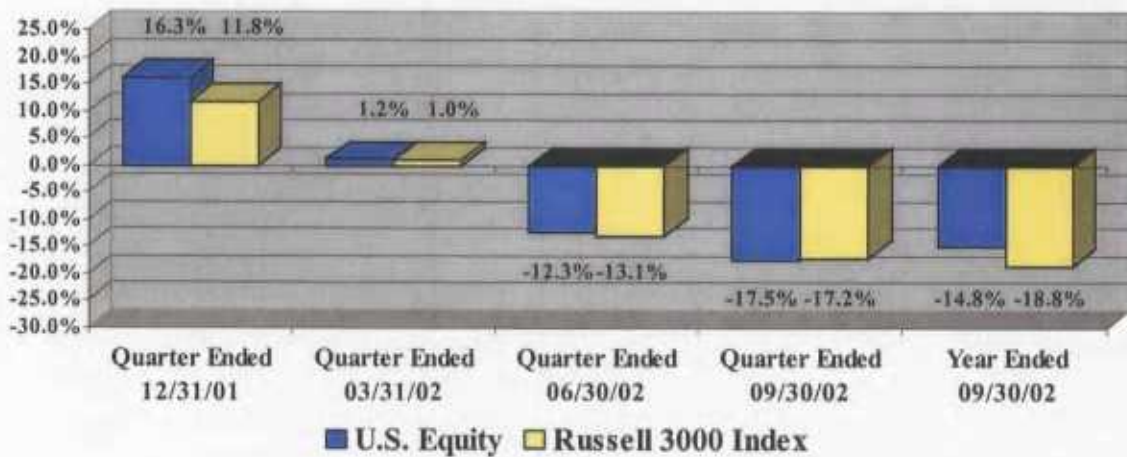
- As illustrated below, the total return on the CIF for the three months ended September 30, 2002 is -9.8%, trailing the weighted index of -9.2% by 60 basis points. The US Equity return for the three months ended September 30, 2002 (-17.5%) trails the Russell 3000 (-17.2%) by 30 basis points. The International Equity return for the three months ended September 30, 2002 (-20.4%) trails the benchmark (-19.7%) by 70 basis points. The fixed income return for the three months ended September 30, 2002 is 4.7% matching the benchmark of 4.7%.

Total CIF

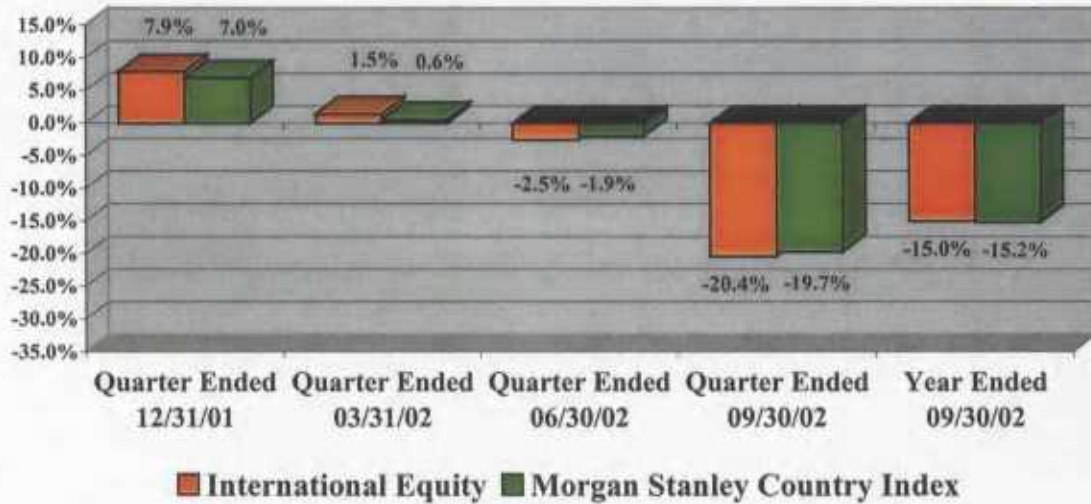


(2) The weighted index is a composite of indices represented by the Russell 3000, the Morgan Stanley Country Index (MSCI EAFE), and the Lehman Aggregate Bond Index.

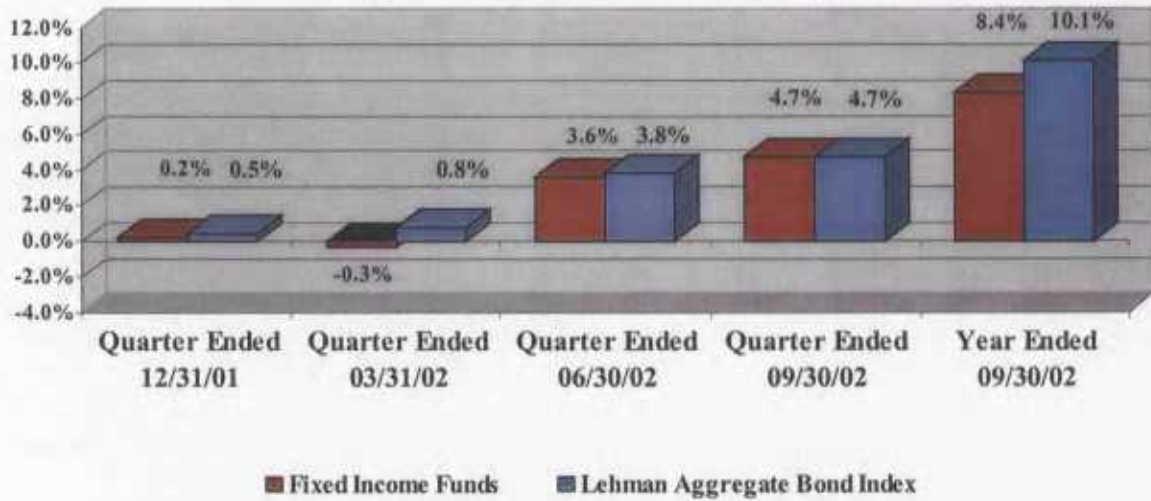
CIF U.S. Equity Funds



CIF International Equity Funds

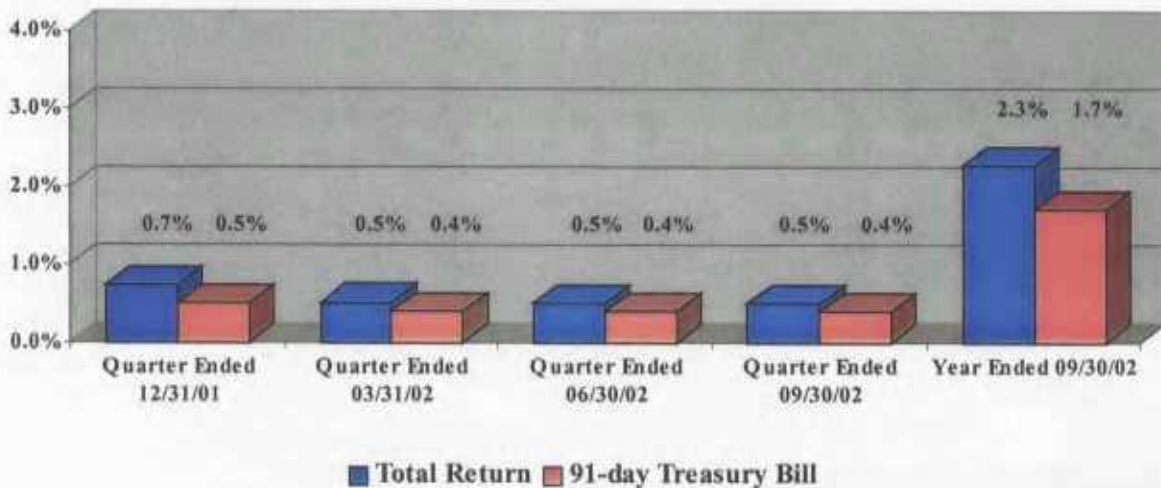


CIF Fixed Income Funds



IV. Short Term Investment Fund (STIF) Performance

- The market value of STIF at September 30, 2002 was \$12.6 million, which is up \$1.9 million (17.5%) from June 30, 2002.
- As illustrated below, the total return on the STIF for the three months ended September 30, 2002 is 0.5%, exceeding the 91-day Treasury Bill rate of 0.4% by 10 basis points.

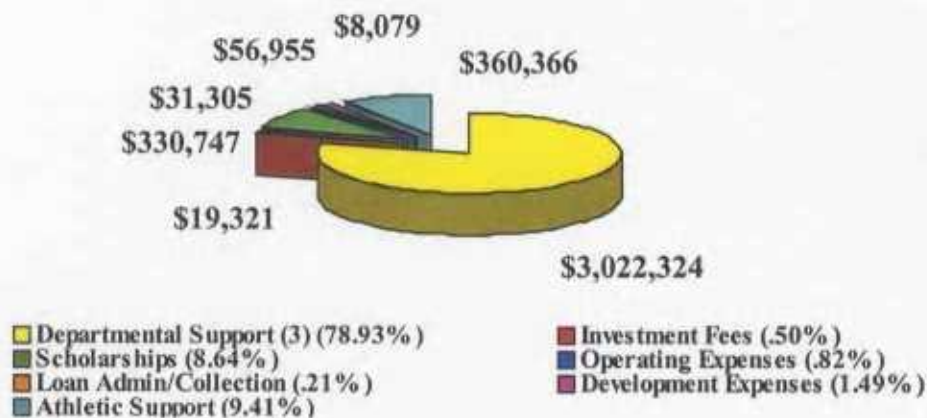


V. Revenues and Expenditures

During the three months ended September 30, 2002, recognized revenues of \$1.8 million trailed expenditures of \$3.8 million resulting in a net decrease to market value of \$2.0 million. This decrease is attributable to depreciation on investments as a result of market fluctuations, which have been partially offset by cash gifts and investment earnings.

Revenues	<u>2002</u>	<u>2001</u>
Investment Income	\$ (3,358,281)	\$ (3,687,343)
Cash Gifts (3)	5,024,591	369,699
Interest	99,683	131,237
Oil and Gas Royalties	6,872	11,718
Other Income	591	2,005
Total Revenues	\$ 1,773,456	\$ (3,172,684)

FY02 Expenditures



- (3) During the first quarter, a gift from BP America Production Company was received and utilized. The gift was restricted to the acquisition and costs related to the purchase of a building. This transaction is reflected in Cash Gifts and Departmental Support.

VI. Cash Gifts and Contributions

The following cash gifts and contributions were received during the three months ended September 30, 2002.

• A gift from the BP America Production Company to establish the B.P. Foundation Fund	\$ 3,000,000
• A gift from the OU Health Sciences Center to establish the Office of Technology Development Growth Fund	820,304
• A gift from the University Hospitals Trust to establish the Oklahoma Medicaid Professorship for Medicaid Social Work Services	500,000
• A gift from the OU Medical Center to benefit the HSC General Support Fund	300,000
• Athletic Priority Seating Program	209,635
• A gift from the estate of Eugene A. Hensley for the benefit of the OU General Scholarship Fund	129,406
• A gift from the estate of Ruth D. Butler to establish the Ruth D. Butler Scholarship Fund	52,382
• A gift from the Chevrolet Motor Division of General Motors Corp. for the benefit of the OU General Scholarship Fund	4,000
• A gift from the estate of Roxie Scott for the benefit of the Lt. William Johnson Scott Memorial Fund	3,614
• A gift from Jeanne Cooper for the benefit of the Laurence L. Jones Scholarship Fund	3,205
• Various gifts of \$1,000 and under	2,045
TOTAL GIFTS	<u>\$ 5,024,591</u>