

**MINUTES OF AN ORGANIZATIONAL MEETING
THE UNIVERSITY OF OKLAHOMA BOARD OF REGENTS
March 12, 2024**

An organizational meeting of the Board of Regents governing The University of Oklahoma, Cameron University and Rogers State University was called to order in the Michael F. Price College of Business Dodson Lounge in Norman, Oklahoma, at 9:00 a.m., on March 12, 2024.

The following Regents were present for all or parts of the meeting: Natalie Shirley, Chair of the Board, presiding; Regents Eric Stevenson, Frank Keating, Rick Nagel, Bob Ross, and Rick Braught.

Others attending all or a part of the meeting included Mr. Joseph Harroz, President of The University of Oklahoma; NC Senior Vice President and Provost Andre-Denis Wright; HSC Senior Vice President and Provost Gary Raskob; Vice Presidents Darrin Akins, Matt Brockwell, Sean Burrage, Susan Bynum, Joe Castiglione, Brian Holderread, Belinda Higgs Hyppolite, and David Surratt; Chief Legal Counsel Armand Paliotta; and Interim Executive Secretary of the Board of Regents, Liz Roberts.

Attending from Cameron University was Dr. John McArthur, President of the University.

Attending the meeting from Rogers State University was Dr. Larry Rice, President of the University, and Vice President Mark Rasor.

Notice of the time, date and place of this meeting was submitted to the Secretary of State, and the agenda was posted in the Office of the Board of Regents on or before 12:00 p.m. on March 11, 2024, both as required by 25 O.S., Sections 301-314.

Chair Shirley opened the meeting, stated, "On the advice of counsel, disclosure of communications related to the matters noted in the executive session item of the agenda will seriously impair the ability of the University to process or investigate such matters in the public interest," and then asked for a motion to enter executive session. Regent Ross moved the Board enter executive session as listed on the Executive Session agenda item, below. The following voted yes on the motion: Regents Stevenson, Keating, Nagel, Ross, and Braught. The Chair declared the motion unanimously approved.

The Board then moved to the Room 2065 for the executive session.

EXECUTIVE SESSION

Proposed Executive Session: Possible discussion and vote to enter Executive Session pursuant to 25 O.S. § 307(B) for the following discussion purposes:

- a. Confidential communications between the Board and its attorney(s) concerning pending or potential research or financial investigation(s) and/or pending or potential investigations and/or claims regarding negligence, unjust enrichment, real estate operations, property claims, personnel, and other legal claims, where the Board's attorney has determined disclosure will seriously impair the ability of the Board to conduct the investigation(s) and/or claims in the public interest as authorized under 25 O.S. § 307(B)(4), including the following:

- Review, discuss, and/or consider adoption, modification, and/or rejection of strategic plan, programmatic, financial, student, academic-online or in-person, departmental, athletics, and personnel matters and issues regarding Rogers State University, Cameron University, The University of Oklahoma, the University of Oklahoma Health Sciences Center, and/or The University of Oklahoma-Tulsa,
 - Review, discuss, and/or consider the application of recent federal, state, local, and administrative laws and regulations relating to pending and/or anticipated litigation matters, pending investigations, and potential and/or pending legal risks.
- b. Routine, periodic review and/or consideration and adoption, modification, or other action related to employment, including terms and conditions, of University President(s) as authorized under 25 O.S. § 307(B)(1).
- c. Routine, periodic review and/or consideration and adoption, modification, or other action related to employment, including terms and conditions, of University personnel as listed in Attachment A as authorized under 25 O.S. § 307(B)(1).
- d. Routine, periodic review and/or consideration and adoption, modification, or other action related to employment, including terms and conditions, of University personnel as listed in the Academic Personnel Actions and the Administrative and Professional Personnel Actions agenda items of Rogers State University, Cameron University, and The University of Oklahoma public agendas as authorized under 25 O.S. § 307(B)(1).
- e. Discussion of assessment of potential vulnerability of governmental facilities and facilities clearances as authorized under 25 O.S. § 307(B)(11)(b) and 51 O.S. § 24A.28(A)(2).
- f. Discussion of confidential trade secret information as authorized under 25 O.S. § 307(B)(7), 12 O.S. § 2508, 78 OS § 86, 51 O.S. § 24A.19, and 63 O.S. § 3224(D), including the following:
- Review, discuss, and/or consider adoption, modification, and/or rejection of strategic plans, programmatic, financial, student, academic-online or in-person, departmental, athletics, and personnel matters for Rogers State University, and/or Cameron University, and/or The University of Oklahoma, and/or the University of Oklahoma Health Sciences Center, and/or The University of Oklahoma-Tulsa.
- g. Discussion of confidential information pertaining to donors, donor and The University of Oklahoma Foundation, Inc. investments, or prospective donors under 25 O.S. § 307(B)(7) and 51 O.S. § 24A.16a.
- h. Discussion of filed litigation against Cameron University, including the following cases and/or claims where the Board's attorney has determined disclosure will seriously impair the ability of the Board to conduct the investigation(s) in the public interest as authorized under 25 O.S. § 307(B)(4):

None.

- i. Discussion of filed litigation against Rogers State University, including the following cases and/or claims where the Board's attorney has determined disclosure will seriously impair the ability of the Board to conduct the investigation(s) in the public interest as authorized under 25 O.S. § 307(B)(4):

None.

- j. Discussion of litigation filed against or threatening to the University of Oklahoma, including the following cases and/or claims, where the Board's attorney has determined disclosure will seriously impair the ability of the Board to process the claim or conduct the investigation(s) in the public interest as authorized under 25 O.S. § 307(B)(4):
 1. *Amy B. Middleman v. OU Medicine, Inc. and The University of Oklahoma*, EEOC Charge No. 564-2023-00341 before the United States Equal Employment Opportunity Commission;
 2. *Anita A. Hopson-Malone v. Mewbourne College of Earth & Energy*, EEOC Charge No. 564-2023-02113 before the United States Equal Employment Opportunity Commission;
 3. *B.E.R.T., et al. v. University et al.*, Case No. CIV-21-1022 in the United States District Court for the Western District of Oklahoma;
 4. *Burdine v. STATE OF OKLAHOMA EX REL., Board of Regents of The University of Oklahoma* Case No. CJ-2020-1928 in the District Court for Oklahoma County, Oklahoma;
 5. *Carl Mize v. University of Oklahoma*, EEOC Charge No. 564-2023-01703 before the United States Equal Employment Opportunity Commission;
 6. *Daniels v. Board of Regents for the University of Oklahoma et al* Case No. 5:22-cv-00625-R in the United States District Court for the Western District of Oklahoma;
 7. *State of Oklahoma v. Davis, Gwennyth Olivia*. Case No. CM-2021-1311 in the District Court for Cleveland County, Oklahoma;
 8. *Garg v. University*, Case No. CJ-2018-628 in the District Court for Cleveland County, Oklahoma;
 9. *In re: Genentech, Inc. Herceptin (Trastuzumab) Marketing and Sales Practices Litigation*, 16-MD-2700 in the United States District Court for the Northern District of Oklahoma;
 10. *Joshua Foreman v. University of Oklahoma*, OCR Case No. 07232159 before the United States Department of Education Office for Civil Rights
 11. *Knox/Shepherd v. Oklahoma State Regents for Higher Education and Board of Regents for the University of Oklahoma, Cameron University and Rogers State University*, Case No. CJ-2020-2383 in the District Court for Oklahoma County, Oklahoma;
 12. *Lewis v. Regents of the University of Oklahoma*, Case No. CJ-2022-1018, in the District Court of Cleveland County, Oklahoma;

13. *Melton v. University, et al.*, Case No. CJ-21-423 in the District Court for Cleveland County, Oklahoma;
14. *Rollins v. OU Medicine, Inc., et al.*, Case No. CJ-2023-4289 in the District Court for Oklahoma County, Oklahoma;
15. *Sherad Cravens v. State of Oklahoma ex rel., Board of Regents of the University of Oklahoma, et al.* Case No. CJ-2023-6868 in the District Court for Oklahoma County, Oklahoma;
16. *The Sustainable Journalism Foundation. et al., v. Board of Regents* Case No. CV-2021-1770 in the District Court for Cleveland County, Oklahoma;
17. *Tufaro v. University, et al.*, Case No. CIV-20-1138-J in the United States District Court for the Western District of Oklahoma;
18. *Tufaro v. University, et al.*, Case No. 23-6039, in the 10th Circuit Court of Appeals;
19. *Tully v. State Of Oklahoma, operating as the Stephenson Cancer Center, Nicholas Shepherd* Case No. CJ-2020-4061 in the District Court for Oklahoma County, Oklahoma;
20. *Estate of Montae IMBT Johnson*, Case No. PR-21-00851-1 in Probate Court, Dallas County Texas;
21. *USA Today and The Oklahoman v. State of Oklahoma, ex rel Board of Regents of the University of Oklahoma*, Case No CV-2022-4152, in the District Court of Cleveland County, Oklahoma;
22. Natural Gas Claim. Claim by the University for damages caused by Winter Storm Uri;
23. *Robert Albino v. State of Oklahoma, ex rel The Board of Regents of the University of Oklahoma and the University Graduate College*, Case No. CJ-2022-3611, In the District Court of Tulsa County (transferred to Cleveland County on February 13, 2023. Cleveland County case number CJ-2023-235);
24. *Sarah Rogers v. University of Oklahoma, College of Medicine and OU Health Partners, Inc.*, CJ-2023-00106 (District Court for Tulsa County);
25. *In re: Diamond Sports Group, et al*, Case No. 23-90116 (CML); In the Bankruptcy Court for the Southern District of Texas, Houston Division (Ballys Bankruptcy);
26. *House v. Nat'l Collegiate Athletic Ass'n (In re: Coll. Athlete NIL Litig.)*, Case No. 4:20-cv-03919, in the United States District Court for the Northern District of California;
27. *Hubbard v. Nat'l Collegiate Athletics Ass'n*, Case No. 4:23-cv-01593 in the United States District Court for the Northern District of California;

ATTACHMENT A

Individuals include:

- Member(s) of the Board of Regents of the University of Oklahoma
- President, The University of Oklahoma
- President, Cameron University
- President, Rogers State University
- Vice President and General Counsel of the University and to the Board of Regents
- Interim Executive Secretary of the University of Oklahoma Board of Regents
- Chief Audit Executive
- Senior Vice President and Provost, Norman Campus
- Senior Vice President and Provost, Health Sciences Center
- Senior Vice President and Chief Financial Officer
- Vice President, OU at Tulsa
- OU Director of the Polytechnic Institute-Tulsa
- Vice President for Intercollegiate Athletics Programs and Director of Athletics
- Vice President for Marketing and Communications
- Vice President for Human Resources
- Vice President for Campus Operations
- Vice President for Online Learning
- Vice President for Research, HSC
- Vice President for Enrollment Management
- Vice President for Executive Affairs
- Vice President for Research and Partnerships, Norman Campus
- Vice President for Diversity, Equity & Inclusion
- Vice President for University Advancement
- Vice President for Student Affairs
- Vice President of Administration and Finance, HSC
- Vice Provost for HSC
- Associate Vice President for Budget and Finance, Norman Campus
- Institutional Equity Officer
- Chief Government Affairs Officer
- Chief Strategy Officer
- Risk Officer
- Executive Deputy Athletics Director
- Deputy General Counsel, Norman Campus
- Deputy General Counsel, HSC
- President of The University of Oklahoma Foundation, Inc.

Following executive session, the Board returned to the Dodson Lounge, where Regent Ross moved to exit executive session at 2:23 pm.

As the Board returned to the open meeting, the Chair commented that no votes were taken in executive session and no items not listed on the agenda for discussion were discussed.

MINUTES

Regent Nagel moved approval of the minutes of the regular meeting held on January 12, 2024, as printed and distributed prior to the meeting. The following voted yes on the motion: Regents Stevenson, Keating, Nagel, Ross, and Braught. The Chair declared the motion unanimously approved.

REPORTS OF COMMITTEE CHAIRS

Regent Nagel, Academic Affairs & Research: We met yesterday. Members of my committee are Regent Rick Braught and Regent Bob Ross. It's important to note that no official actions were taken. We began with a report from Provost Wright with the following highlights. First of all, he reported on the narrowing of the list of the Dean's search for the College of Journalism, which is still ongoing and going well. He also updated us on graduation. Specifically this year, we've made a change in how we're going to recognize students at graduation. Before, historically, recognition for summa and magnum cum laude designation, was only reserved for students of the Honors College. That's now been opened up to all students with the requisite GPAs, whether they're in the Honors college or not. Honors students, however, who have chosen a more rigorous path, will still be recognized for their efforts and will graduate with honors distinction. But that'll be the first time that the University will be awarding all of our graduates in our different programs with those distinctions. So that's exciting. There's also a short report on post-tenure review. No action to be taken today, but we'll note that some changes are happening. We've obviously moved through the recommendation committee this week, and there's going to be some things to talk about in the June meeting regarding that. We heard from Vice President Gregg Garn on OU Online. We're at 3,700 total enrolled students, and importantly, when we launched last year, many may remember the adult degree completion program asking those folks that maybe attended OU in the past, life got in the way, they left and never finished, to come back and finish. We have 210 students that enrolled last fall. We've got an over 70% retention rate as the program rolled into the spring. We've got two degrees, five majors, and again, 210 students on track to complete, which is just exciting. I know we've got some press in the room, and that's something I hope gets some coverage because we really want folks in Oklahoma that started here to come back and finish here. We're ready to accept you. Dr. Tomas Diaz de la Rubia, our VP of Research on the Norman campus, had a short report largely emphasizing our need to update the ethics and research policies and procedures, some of which we're going to vote on today to grant more authority to the administration to move quickly and as required to make some changes there that are just necessary from a compliance standpoint. On the Health Sciences Center front, we heard from Provost Raskob about a number of leadership searches underway. Just to hit those at a high level, we have a Dean of College of Pharmacy search, Chair of Department of Nutritional Sciences Search, College of Allied Health. We just completed College of Medicine. We have an associate dean search. We have a Chair of Neurology. We just appointed Dr. Andrew Jay to that on an interim basis as Chair of the Department of Neurology, Open Section Chief, Solid Tumor Oncology Section Chief, Hematologic, I'm just going to pass on the rest of that title. It's too long for me to pronounce. Transplant and Cellular Therapies are open, so lots of openings in line with our growth. The growth target for the Health Sciences Center is 7% a year. That is a reminder. Our medical school really hasn't grown at all in the last 20 years. We're pushing growth hard and make up for the needs of our state in all areas. Obviously, nursing has gotten a lot of attention, but we're continuing to push growth in nursing, medicine, dentistry, masters of public health, masters of Health Administration, physical therapy, communication sciences and disorders, doctor of audiology, masters of speech and language Pathology and ultrasound imaging. Across the board, we're pushing growth in all areas and making investments in laboratory space and classroom space to accommodate that growth. We then heard from Dr. Akins, who reported on focus areas he's concentrating on in the research area. As a reminder, you know, our pillars here are to increase our Blue Ridge Ranking at the Health Sciences Center to

top 100, increase total NIH and research funding at the Health Sciences Center, increase our trainee career development and fellowship awards, and increase the number of faculty with more than one NIH or Federal Award; to help incentivize and achieve that, we have implemented a new incentive system, which actually rewards our researchers with more funding from what they actually capture, to be kind of spread across as incentive compensation for their efforts, and to put more of that on target with the research that they're doing. We're excited about that alignment of incentives to help create the behaviors to achieve the goals that we're targeting in the areas of research at the Health Sciences Center. Pivoting to student affairs, we heard from Vice President David Surratt, who gave us a report focused mostly on career services, and the results are fantastic. Forty-eight percent of our graduates in Oklahoma are staying in Oklahoma, which is actually above most of our competitive peers. We talk about being a force for workforce development here in Oklahoma. We are answering the bell, and so as we continue to push growth, we think about that as growth that will translate into Oklahoma workforce somewhere down the line, which is exciting. It's also good to see that those that are coming from Oklahoma are staying in Oklahoma. Those that were moving in from other states, you know, find careers here, and obviously start their families here. And again, these are all incredible statistics; 76% are finding a career success rate here, which is exciting. The most notable, the average starting wage for an OU graduate is \$10,000 more than the average state salary in Oklahoma. Those that question in this day and age, whether a college education is worth the money and worth the effort, you know, the answer is yes, you're 20% higher just graduating than you are working here without a degree. And so we continue to try to advocate for more and more folks to enroll and go to college. Obviously, we hope that OU is your first choice. We'll talk about those that are applying here in a minute. We have record high participation in job internship affairs by students. We had 800 employers involved in posting jobs here at OU in our different career fairs. Nearly 80,000 job postings circulated amongst our students here, and 7,000 of our students participated in career fairs and in career engagement. So just extraordinary movement in career services in the last couple of years, this last year really being a banner year for activity there. Moving to enrollment, Jeff Blahnik and his team are breaking all sorts of records. We have for the first time eclipsed 7,000 in-state applications, a record. We have eclipsed 18,000 out-of-state applications. Also a record. All of these point to a new record freshman class this fall, if not for issues in the federal financial aid system, which every college in America is dealing with at the moment, which would give us potentially a better vector on what we're actually going to see this fall. We are still projecting based on deposits and housing, you know, some things that they look at and housing selection, et cetera. Somewhere between 5,700 and 6,000 students coming in this fall, which is just another dramatic increase, would represent at least 8%, but as high as potentially a 12% increase in enrollment. That will tip likely the balance of students here, we thought was going to tip it this year. We only missed it by a number. I think it was really right at 50/50 by just one or two students in the freshman class. But this one's likely going to trend 52, 48 ish out-of-state versus in-state, but noting that increases in both in-state and out-of-state in all categories. So it's not like we're putting more out-of-state folks in place of in-state kids. We're growing the pie in both directions. We then spent the bulk of the meeting talking about the Oklahoma Aerospace and Defense Innovation Institute, or what we call OADII. We heard from General Robin Rand, who's come in. We've moved him from the interim position to the permanent to lead that effort. He's got an extraordinary background and career. Really four focus areas that were driving our federal partnership with the Department of Defense and the Defense Industrial base: spectrum warfare dominance, ensuring national and global security through development and use of

advanced electromagnetic spectrum technologies or sensors for our strategic advantage; modernization and sustainment, resilience, supporting the defense sustainment and modernization enterprise. A big part of the Oklahoma economy is aircraft sustainment on the military side, obviously, we think about that at Tinker Air Force Base and in Tulsa, American Airlines and the other, you know, thousand companies across the state, literally, that support largely aircraft, aging systems that need to be modernized for new missions. Cyberspace and information dominance, delivering unique solutions for secure rapid decision making at the speed of warfare; and national defense policy. None of the other three work if you don't have a good policy framework behind it. And so we're bringing on resources to influence that, as well. You think about this growth in two years. It's gone from zero to \$200 million in DOD contracts and awards, with more and more being proposed in partnership with US government and the defense industrial base today. It's doing a lot with a little, it needs more resources. And we're committed, you know, in the long term to providing those in terms of rewarding those who win. That group is winning. And the alignment is self-evident. And with that, Madam Chairman, I conclude my report.

Regent Stevenson, Administration & Operations: I just want to call out the meeting location is, as everyone knows, in Price Business College. And I don't see the dean here, but I'm just so proud of what's happening in Price, how fast this part of the University is growing, one of the fastest growing departments in the University. My pride and joy, the finance department, has over 1100 students that, they're working very hard every day to make sure they have high paying jobs and just doing a great job here. So proud of what's happening here. And Madam Chair, I'm glad you allowed us to host our meeting here today. My committee, Admin and Ops is made up of Regent Braught, Regent Holloway, and myself. And we really cover IT, athletics, and HR. Quickly touching on athletics, we had a presentation, of course, from Joe Castiglione, our athletic director, and most of that conversation just focused around the ever changing, ever complex world of NIL, and what they're trying to do to make sure we're recruiting and retaining the best student athletes that we possibly can under a really complex situation. So, really proud of the work that Joe and his team are doing. Then we had an update from David Horton who leads IT and his team, and just really, again, proud of the work that David is doing. And that team, they've been doing over probably 18 months, two years now, are really trying to protect one of our most critical resources, the information that we have here at the University. A big part of that effort, and for anyone here who is staff and faculty and students, a big part of that effort is just centralizing endpoints or workstations and laptops and overall systems. And to the degree that you can, I just encourage everyone to cooperate and partner with David and his team. It's really to the benefit of all of our good as we protect that data. Because if there's a breach in one part, that breach speaks to the whole University. It doesn't just speak to any one department. So to the degree that you can support that, it's just such a big effort. And I know they also recently implemented, and David shared this with us, the next level of phishing. So the University has been doing a really good job around phishing. We instituted AI phishing, and now as even another level of sophistication, we've seen the numbers go up, the phishing, the successful phishing attacks. So just really be on the alert for that and pay attention to that. There is no program, there's no amount of people, there's nothing that we can do greater than what we have as we have students and faculty working every day to really protect the data that we have and protect your laptops and to do the right thing every day and follow that direction and where you can, if you can centralize that with David and his team, please, please, please do that. It's just, it's much more efficient. It's much more effective and puts David in a position

so that we don't have to yell at him. He doesn't like to get yelled at. I don't like to yell at him, but when it, you know, it's not happening, that's what happens. So, is that fair, David? Thank you. Alright. Madam Chair, that concludes my report.

Regent Braught, Facilities & Properties: The Facilities and Properties Committee met on March 11th with Regent Shirley and Regent Keating joining me in attendance, and no official actions were taken. The committee reviewed the vast list of agenda items for today's meeting. We spent quite a bit of time discussing the Campus Master Plan. This plan reflects the University's highest priorities with regard to facility renovations and preventive maintenance projects, which currently includes a critical short term need for additional teaching lab space. Vice President Brian Holderread talked us through the importance of the College of Engineering Master plan specifically and the need to review all existing space in the college as we look at future growth to help address the engineering workforce needs of the state. Vice President Holderread also reviewed potential property acquisitions, along with room and board rate recommendations for the upcoming academic year with the need to try to balance value and costs. Vice President Holderread noted that \$36 million in federal funding dedicated to the Max Westheimer Airport Runway Strengthening and Extension project was included in the partial budget bill that was passed last week. So we will be moving forward with that project. He also updated the committee on the Newman Hall listing, stating no bids met the minimum acceptable amount, so the listing has been removed. And with that Madam Chair, that concludes my report.

Regent Stevenson reported on behalf of Regent Holloway, Finance, Audit & Risk: The Finance Audit and Risk Committee, which is comprised of Regent Holloway, myself, and Regent Rick Nagel is continuing to operate in alignment with our annual calendar. Since our last report in January, our committee has met once to oversee the financial accounting and risk management functions of each of the Universities under our governance. With this report, I'd like to update on significant matters considered by our committee. And it's funny, I'm reading this in her tone or her voice, and she continually reminds us all committee actions are advisory. All formal actions and approvals must come before the full Board. At our March meeting, we received updates on the second quarter financial results for all campuses compared to their respective budgets and on progress towards established financial goals. For each institution, the actual results yielded no significant concerns when compared to the established budgets on an overall basis. And our cash position remains strong, specifically relating to key performance indicators; we reviewed spring enrollment trends, bursar collection rates, net tuition trends, and housing occupancy rates. We also discussed the planned bond transactions for OU, which relate to various capital projects, as well as the April 2024 bond tender that will allow us to save on overall cost of debt. We're informed that in advance of these transactions, our Fitch credit rating has been maintained at an A plus with a stable outlook. We also received a legal compliance and risk update from General Counsel Armand Paliotta, including discussing the University's policy office function and an introduction to the new OU Chief Risk Officer, Tim Wiseman, who was mentioned in the last report, comes to us from the equivalent position at the University of Wyoming. Finally, David Horton, our Chief Information Officer, and Jeff Miller, our Chief Information Security Officer, presented on cybersecurity risks to the University and our related IT responses. That concludes the report.

Regent Ross, Health & Clinical Enterprise: Regents Shirley and Nagel are on the committee with me. We met yesterday with the Dean of OU Medicine, Dr. Ian Dunn. Dr. Dunn led a discussion on the future of the medical school in terms of culture, the role of the chair of the department, the educational experience. And we spent a good deal of time discussing the future of research funding. We have some great leverage to pull, and Dr. Dunn is focused on increasing our NIH funding and our Blue Ridge Institute ranking. Next, we had a discussion and met with Dr. Gary Raskob, who's the provost of the Health Science Center. Dr. Raskob reported on very strong financial success at OU Hospital the past seven months, which is our fiscal year to date. I just would share a few of these numbers, all of them up. Admissions is up 7.2%. Patient days are up 4.8%, average daily consensus up 4.8, total surgery is up 5.6. Inpatient surgery is up 11.6 and clinic visits up 20.8 on the income statement. Some items to note, the year-to-date EBIDA exceeded budget by 36 percent. Operating income exceeded budget by 480%. Total revenue exceeded budget by 7%. Total expenses were unfavorable by 5%, but this was mainly due to the specialty pharmacy and infusion, which had a correlating surge in revenue. OU Hospital is doing well enough to trigger a mission support of \$4.6 million in January compared to the budget admission support of \$2.5 million. Very good news there. Finally, we met with the OU Foundation President Guy Patton and Amy Noah to discuss advancement related to the Health Sciences Center. And we talked about several different opportunities and projects they're working on, including the fundraising effort for the Adolescent Behavioral Health capital campaign. And that is the end of my report.

ALL UNIVERSITIES

REMARKS BY THE CHAIR OF THE BOARD

As I think most of you know, this is Regent Keating's final meeting, and he has been a source of joy, of humor, and sometimes head shaking. We are absolutely going to miss him. We have a resolution for him, and I will not read it because it is lengthier than you all want to hear. The Chair then read some highlights of the resolution, and ended her remarks by saying, Frank, I know that I'm joined by my fellow Regents in expressing my profound gratitude for your wise counsel, your good humor, and your great judgment.

ISSUE: RESOLUTION HONORING SERVICE – ALL

RESOLUTION

WHEREAS, Frank Keating was appointed to the Board of Regents governing The University of Oklahoma, Cameron University, and Rogers State University by Governor Mary Fallin in 2017;

WHEREAS, after earning his Juris Doctorate from the University of Oklahoma, he enjoyed a distinguished career of three decades in law enforcement and public service, serving as an FBI agent, U.S. attorney, state prosecutor, and Oklahoma House and Senate member, including service as the Republican Senate leader, as well as serving Presidents Ronald Reagan and George H.W. Bush in the Treasury, Justice, and Housing departments;

WHEREAS, in 1993, he successfully ran for governor and was re-elected in 1998, becoming only the second governor in Oklahoma's history to serve two consecutive terms;

WHEREAS, as governor at the time of the Alfred P. Murrah Federal Building bombing in Oklahoma City, he helped raise more than \$6 million in scholarships for the nearly 200 children left with only one or no parents;

WHEREAS, he then entered the private sector, and was formerly the president and CEO of the American Bankers Association and, prior to that, was president and CEO of the American Council of Life Insurers;

WHEREAS, he has served as a member of numerous boards, including the National Archives and the Jamestown Foundation and was chairman of the Bipartisan Policy Center and the Advisory Board of Washington's Mt. Vernon;

WHEREAS, during his time on the Board of Regents, Cameron University achieved the distinction as the most affordable university in Oklahoma for tuition, fees, room and board for undergraduate and graduate students;

WHEREAS, Cameron continued privately funded construction projects in support of the student experience, including the addition of a Film and Theatre Studio, teaching greenhouses, science labs for the Duncan campus, an outdoor fitness area (in partnership with the National Fitness Campaign), an Esports arena, and a complete renovation of Conwill Hall;

WHEREAS, Cameron completed a fundraising campaign for a renovation and expansion of the University Library on the Lawton campus and the creation of a library and information technology learning center on the Duncan campus;

WHEREAS, Cameron has expanded on-campus support for our armed service members by developing an annual Veterans Fair with benefits specialists from the Veterans Administration and other veterans organizations to assist active duty and retired students and their dependents with accessing their earned benefits;

WHEREAS, Cameron developed and published guaranteed course rotations at the program level to assist students and academic advisors with longer term degree progression planning;

WHEREAS, as a result of Regent Keating's guidance and support, Cameron University has been able to modify course delivery formats and university operations to continue to provide outstanding student-centered learning experiences during a pandemic and by doing so, enable citizens to have increased access to quality higher education opportunities, prepare its students for professional success and become a driving force in the cultural and economic development of the region;

WHEREAS, during Regent Keating's time on the Board, Rogers State University expanded distance education delivery in high-demand areas, including fully online programs in Master of Business Administration and Bachelor of Science in Nursing RN-to-BSN;

WHEREAS, RSU added its second master's degree in the Master of Science in Community Counseling in the fall of 2021 semester and added five options in the Master of Business Administration;

WHEREAS, RSU entered into a new partnership with Pryor High School, which resulted in the opening of the Pryor High School Innovation Center at RSU in the fall of 2021, allowing Pryor students to take advantage of concurrent enrollment. Classes offered include manufacturing, engineering, and robotics;

WHEREAS, during his time on the Board, RSU entered into an agreement with Saint Francis Health System to offer the Bachelor of Science in Nursing at an extended RSU campus at Saint Francis Hospital in Tulsa, expanding the University's capacity for generating BSN graduates;

WHEREAS, RSU added a new admission cycle to the traditional, pre-licensure Bachelor of Science in Nursing (BSN) program, allowing entry into the program in both fall and spring semesters, for the first time in the program's history;

WHEREAS, Rogers State University, in partnership with RSUTV and the Cherokee Nation, continued to develop classes preserving and perpetuating the Cherokee language, and developed distance education delivery via over-the-air broadcast of general education credit courses;

WHEREAS, during Regent Keating's term on the Board, RSU signed an Education Partnership Agreement with the National Security Agency, which allows NSA personnel to provide students with academic and career advice;

WHEREAS, during his term, RSU's softball team won the 2022 NCAA Division II softball national championship, the first national championship in university history;

WHEREAS, during Regent Keating's term on the Board, Rogers State University added a Bachelor of Science in chemical engineering, the University's first engineering degree, with the first students entering the program in fall 2023;

WHEREAS, Regent Keating has shown his support for Rogers State University and a significant enthusiasm for higher education throughout his term on the OU Board of Regents;

WHEREAS, during his time on the Board, Joseph Harroz, Jr., former dean of the OU College of Law, was unanimously selected to serve as the University of Oklahoma's 15th president after having served as interim president since May 2019;

WHEREAS, under Regent Keating's leadership, OU unveiled its first Strategic Plan in over a generation – "Lead On, University" – which draws upon 130 years of history and the feedback of thousands of students, faculty, staff, and alumni and defines a clear plan for the University's future and comprehensive strategies to achieve it;

WHEREAS, the research landscape at OU progressed tremendously during his time on the Board, recently setting an all-time high for sponsored research awards (\$210.4 million on the Norman campus for FY23 – a nearly 33% increase from the previous fiscal year) and climbing to No. 71 in the nation for overall research expenditures for FY22, ranking among the top 8% of research universities nationally for the second year;

WHEREAS, Oklahoma health care took a major step forward with the historic merger formalized between the University of Oklahoma and University Hospitals Authority and Trust to join their clinics and hospitals into Oklahoma's first comprehensive academic health system – OU Health – a move that is improving Oklahoma's health and economic vitality by uniting unparalleled patient care, groundbreaking treatments, and the brightest health care researchers;

WHEREAS, during Regent Keating's time on the Board, the OU Board of Regents unanimously approved agreements to allow the University of Oklahoma to leave the Big 12 Conference and join the Southeastern Conference beginning July 1, 2024 – a move that will sustain the University's tradition of national-caliber athletics excellence, strengthen the flagship University as a whole, and serve the wider interests of the State of Oklahoma;

WHEREAS, in Fall 2022, the University of Oklahoma embarked on the largest philanthropic campaign in the history of Oklahoma higher education – with a historic goal of raising \$2 billion, "Lead On: The University of Oklahoma's Campaign for the Future" builds upon OU's core traditions while striving to reach new heights of excellence;

WHEREAS, the University of Oklahoma welcomed three consecutive record-breaking classes from fall 2021 to 2023. With nearly 5,200 students, the Class of 2027's record-setting size represents an 11% increase in new students over last year. The class is also breaking other University records, with the largest percentage of first-generation students and more underrepresented students than any other incoming class; and

WHEREAS, the addition of Cross Village to OU Housing's suite of on-campus living communities made it the largest expansion of housing for the OU freshman experience since the mid-1960s, and the ongoing work to replace the former Adams Center with best-in-class housing facilities is beginning an exciting new chapter in the OU student experience;

NOW, THEREFORE, BE IT RESOLVED that the Regents governing The University of Oklahoma, Cameron University, and Rogers State University hereby express profound appreciation to Frank Keating for his steadfast leadership, vision, and contributions to the respective Universities and the State of Oklahoma and look forward to his continuing interest in and support of the Universities.

Chair Shirley recommended the Board of Regents approve the above resolution.

Regent Ross moved approval of the recommendation. The following voted yes on the motion: Regents Stevenson, Nagel, Ross, and Braught. The Chair declared the motion approved.

Regent Keating responded, "Thanks, everybody. Yeah, I had an hour and 27-minute speech. I don't know what happened to it. I must have left it in the bathroom now. Thank you. This is a phenomenal Board, and I'm very grateful to have been a member of the Board, and for being able to serve with you."

CAMERON UNIVERSITY

REPORT OF THE PRESIDENT OF THE UNIVERSITY

Since we last met Cameron University enjoyed homecoming, including alumni weekend and the Athletics Hall of Fame. We celebrated the next class of distinguished alumni and outstanding young alumni. The reunions for the 25th and 50th anniversary classes were well attended, the 75th and hundredth less so. The stories and memories have only grown better with time. The class of 1974 at Cameron was the last under the name of Cameron College. They were among the first of our bachelor's degree recipients as we changed our mission at that time to adjust to Oklahoma's growing needs. And we'll continue to do that in the future. Graduate Wyatt Hill provided a gift of \$250,000 in support of the President's Leadership program, in addition to the even better gift of sending us two of his children to earn Cameron University degrees, the best gift any parent ever gives a University president. Graduates Todd and Cindy Sanner capped off the weekend with a \$350,000 pledge to repurpose and renovate an older building on campus and into an alumni house to create a space for events before, during, and after arts, music, theater, and athletics events. Spring break is next week, and then thoughts will turn toward commencement. Chair Shirley has agreed to be our commencement speaker on May 3rd. We have our fingers crossed for good weather, but it really doesn't matter what the weather is. You're not going to dampen the enthusiasm of this group of graduates. They are so excited, and ready to get out into the world. So watch out, but that concludes my report.

ACTION ITEMS

SUBSTANTIVE PROGRAM CHANGES – CU

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

PROGRAM: M.Ed. in Education

PROPOSED CHANGE: Option Additions

COMMENTS: Two options, one in English and one in School Counseling, will be added. The requested additions will allow students to earn graduate credit in these disciplines as well as address the current shortage of educators and counselors as noted on the Oklahoma Critical Occupations List. Total hours required for the major and degree will not change. No additional funds are requested.

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

Regent Braught moved approval of the recommendation. The following voted yes on the motion: Regents Stevenson, Keating, Nagel, Ross, and Braught. The Chair declared the motion unanimously approved.

HOUSING RATES FOR FISCAL YEAR 2025 – CU

The Cameron Village apartments opened in August 2005 while the Shepler Center residence halls opened in 1969. Cameron’s apartments and residence hall rates remain lower than the rates of similar facilities at peer institutions.

Inflation is above average for this past year and utility costs continue to increase. The requested average three (3) percent increase for Cameron Village will allow the University to provide the required maintenance for these facilities while maintaining an affordable living environment.

Current and proposed semester room rates are:

	<u>Current Rate</u>	<u>Proposed Increase</u>	<u>Proposed Rate</u>
Shepler, Double	\$ 1,252	\$ 0	\$ 1,252
Shepler, Single	1,865	0	1,865
CV, 4 Bedroom Apartment	3,147	93	3,240
CV, 2 Bedroom Apartment	3,616	109	3,725

All semester rates include the required fees for parking, unlimited laundry, cable television, internet, and the Residence Hall Association.

Current and proposed summer rates are:

	<u>Current Rate</u>	<u>Proposed Increase</u>	<u>Proposed Rate</u>
CV, 4 Bedroom Apartment	\$ 1,618	\$ 47	\$ 1,665
CV, 2 Bedroom Apartment	1,921	59	1,980

Summer housing is not offered in Shepler Residence Halls.

President McArthur recommended the Board of Regents approve the proposed room rates for Shepler residence hall rooms and Cameron Village residential apartments effective August 1, 2024.

Regent Braught moved approval of the recommendation. The following voted yes on the motion: Regents Stevenson, Keating, Nagel, Ross, and Braught. The Chair declared the motion unanimously approved.

FOOD SERVICES RATES FOR FISCAL YEAR 2025 – CU

Cameron University requires students who live in campus housing to participate in the University’s food service program. Students residing in the Shepler residence halls are required to purchase a board plan. Students living in Cameron Village residential apartments are required to purchase a dining/convenience plan that provides a different combination of meals per week. The requirement to participate in a food service plan ensures residential students access to balanced and nutritional meals each week of the semester, as well as the opportunity to build community in an on-campus dining environment.

Over the past few years, the University’s food service costs have increased between 5% and 10% each year. Board and commuter plans were increased an average of 9% last year. The proposed board rates for FY25 contain an average increase of 6% above last year as inflation continues to take its toll on food prices. The proposed rate increase is requested to ensure student access to quality food at times convenient to them and to offset increased costs associated with the University’s food service contract.

Current and proposed semester rates are:

<u>Plan Type</u>	<u>Current Rate</u>	<u>Proposed Increase</u>	<u>Proposed Rate</u>
15 Meals Per Week, \$300 Flex	\$ 2,099	\$ 126	\$ 2,225
10 Meals Per Week, \$325 Flex	1,979	121	2,100
8 Meals Per Week, \$400 Flex	1,967	118	2,085
5 Meals Per Week, \$550 Flex*	1,379	81	1,460

*Available to Cameron Village residents only.

Current and proposed rates for commuter plans are:

<u>Plan Type</u>	<u>Current Rate</u>	<u>Proposed Increase</u>	<u>Proposed Rate</u>
Commuter – 10 Meals, \$25 Flex	\$ 101	\$ 4	\$ 105
Commuter – 30 Meals, \$50 Flex	268	17	285
Commuter – 50 Meals, \$75 Flex	426	29	455
Commuter – 80 Meals, \$100 Flex	633	37	670

President McArthur recommended the Board of Regents approve the rates for board and commuter meal plans effective August 1, 2024.

Regent Braught moved approval of the recommendation. The following voted yes on the motion: Regents Stevenson, Keating, Nagel, Ross, and Braught. The Chair declared the motion unanimously approved.

RENEWAL OF FOOD SERVICES CONTRACT – CU

In March 2020, the Board approved the extension of the food services contract with Sodexo Operations, LLC. The contract granted Cameron University nine separate and successive renewal options of one year each at a mutually agreed upon price.

The proposed renewal contract amount is based on a sliding board scale with the University’s costs based on the number of participants and on the occupancy of Cameron’s residential apartments where residents are required to participate in a dining plan. The estimated contract amount assumes an increase in the number of meal plan participants in Fiscal Year 2025 compared to Fiscal Year 2024. The proposed contract amount includes a 5.3% increase, as outlined in the contract, in the cost of traditional board and commuter plans.

President McArthur recommended the Board of Regents approve the annual one-year renewal option of a food service operations contract with Sodexo Operations, LLC. The estimated contract amount for Fiscal Year 2025 is \$1,250,000.

Regent Braught moved approval of the recommendation. The following voted yes on the motion: Regents Stevenson, Keating, Nagel, Ross, and Braught. The Chair declared the motion unanimously approved.

REVISIONS TO THE CODE OF STUDENT CONDUCT – CU

The Code of Student Conduct was last updated in March 2023. The policy describes the responsibilities of students attending Cameron, outlines the rights of students accused of conduct violations, and contains several academic policies including the academic misconduct policy.

After operating under the current policy, the Office of Student Development proposes to revise and update the University’s policy to reflect current best practices and to provide additional updates to related policies. The proposed revisions (attached hereto as Exhibit A) clarify the rights and responsibilities of students with direct language and a more logical organization.

A summary of proposed policy changes include:

- An addition of a list of Student Rights (2.01) to the Code.
- The list of Conduct Prohibited (2.03) items has been updated. The list remains inclusive, but not exhaustive.

- The Temporary Administrative Action section (3.02) further clarifies and expands the defined situations leading to University action.

The Office of Legal Counsel has reviewed the proposed changes.

President McArthur recommended the Regents approve suggested revisions to the Code of Student Conduct.

Regent Braught moved approval of the recommendation. The following voted yes on the motion: Regents Stevenson, Keating, Nagel, Ross, and Braught. The Chair declared the motion unanimously approved.

FACULTY GRIEVANCE AND DISCIPLINE POLICIES – CU

All tenured faculty (and some term faculty) have legally enforceable rights in their continued employment. Those rights are protected by the due process procedures afforded by the current policies of each institution. The policies are intended to provide a faculty member with sufficient notice and opportunity to be heard by a panel of peer faculty prior to disciplinary action. The Office of Legal Counsel (“OLC”) has worked with senior University administration as well as the Cameron University Faculty Senate to improve the faculty discipline policies and align the policies with those at the University of Oklahoma, Norman Campus.

The proposed policies will replace policy 2.3.4, 2.3.4.1, and 2.3.4.2 in the Regents’ Policy Manual. The proposed policies will replace Policy 4.5.6 in the Cameron University Faculty Handbook. The new policies are attached hereto as Exhibit B for review and approval.

Significant changes to the policies are summarized below:

- **Delegation of Authority:** Currently, all severe sanctions require Board of Regents approval, often leading to delays. Under the proposed policies, abrogation of tenure and termination of employment will continue to require Board approval. However, authority to impose other severe sanctions will be delegated to senior University administrators.
- **Non-Disciplinary Terminations:** The proposed policies update the grounds for severe sanctions and create a new category called “non-disciplinary termination(s).” In particular, the proposed policies remove “violations of the law to which a faculty member has pleaded guilty or nolo contendere...that prevents the faculty member from satisfactorily fulfilling professional duties or responsibilities” and “loss of professional licensure or credentials customary to the faculty member’s discipline or profession” from the list of sanctions. Instead, faculty members who lose required credentials or who have relevant criminal convictions will receive immediate, non-disciplinary terminations. Non-disciplinary terminations of faculty members who are no longer qualified to perform the functions of their job are subject to appeal on limited grounds. Other grounds for non-disciplinary termination include long-term changes in worksite outside of a mutually agreed upon remote work arrangement and an inability to perform the essential functions of this position with or without accommodations.
- **Minor Sanctions:** The proposed policies create a new category of minor sanctions. Minor sanctions include, but are not limited to, suspension of public-facing assignments, suspension of travel privileges for not more than thirty (30) days, and/or restitution to the University. Minor sanctions can be imposed by the chair of the academic unit with approval from the applicable college dean and can be appealed to the Vice President for Academic Affairs.

- **Leave Without Pay:** The current policies allow faculty members to receive full pay even when they may be suspended from their jobs. Under the proposed revisions, a faculty member may be placed on leave without pay once the University has proved to faculty pre-hearing committee that a matter merits a full hearing.
- **Inefficiency:** To reduce clerical and scheduling inefficiencies, timelines have been pared down throughout the revised policy to ensure a timely hearing process while maintaining the rights of the affected parties.
- **Interaction between Institutional Equity Policies:** The current policies contain inconsistencies with other policies regarding jurisdiction over violations of the Non-Discrimination Policy, the Sexual Misconduct, Discrimination, and Harassment Policy, and/or the Consensual Sexual Relationships Policy. The proposed policies clarify that the policies and procedures of the Institutional Equity Office govern those investigations and adjudications.

President McArthur recommended the Board of Regents:

1. Approve the Minor and Severe Sanctions Policy for the CU/RSU Regents' Policy Manual, incorporating by reference the faculty discipline policy in the Cameron University Faculty Handbook; and
2. Approve the Minor and Severe Sanctions Policy for the Cameron University Faculty Handbook.

Regent Braught moved approval of the recommendation. The following voted yes on the motion: Regents Stevenson, Keating, Nagel, Ross, and Braught. The Chair declared the motion unanimously approved.

ACADEMIC PROMOTIONS AND TENURE ACTIONS –CU

All actions will be effective on August 19, 2024, the first day of the 2024-2025 Academic Year for faculty.

Department of Business

Dr. Krystal Brue, Promotion to Professor

Department of Chemistry, Physics and Engineering

Dr. Rajesh Nayak, Promotion to Associate Professor and Grant Tenure

Department of Communication, English and Foreign Languages

Ms. Leah Chaffins, Promotion to Associate Professor and Grant Tenure

Dr. Carie Schneider, Grant Tenure

Department of Computing and Mathematical Sciences

Mr. Jim Streck, Promotion to Senior Instructor

Department of Education

Dr. Emily Finney-Miller, Grant Tenure

Dr. Eileen Richardson, Promotion to Professor

Dr. Michelle Smith, Promotion to Professor

Department of Sports and Exercise Science

Dr. Kris Mahlock, Grant Tenure

President McArthur recommended approval of the faculty promotion and tenure actions listed.

Regent Braught moved approval of the recommendation. The following voted yes on the motion: Regents Stevenson, Keating, Nagel, Ross, and Braught. The Chair declared the motion unanimously approved.

ACADEMIC AND ADMINISTRATIVE PERSONNEL ACTIONS –CU

CHANGE(S):

Husak, Michael, Chair and Professor, Department of Agriculture, Biology and Health Sciences, titled changed to Professor, Department of Agriculture, Biology and Health Sciences, academic year salary changed from \$87,080 per academic year to \$76,280, effective May 8, 2024.

RESIGNATION(S):

Lirag, Rio Carlo, Assistant Professor, Department of Chemistry, Physics and Engineering, December 31, 2023.

Phillips, Jerrett, Vice President for Enrollment Management and Student Success, April 19, 2024.

RETIREMENT(S):

Blackman, Cathy, Associate Professor, named Associate Professor Emeritus, Library, July 1, 2024.

Dzindolet, Mary, Professor and Interim Chair, Department of Psychology, named Professor Emeritus, May 8, 2024.

Hickerson, Teresa, Senior Instructor, Department of Computing and Mathematical Sciences, May 8, 2024.

McArthur, John M., President, named President Emeritus, July 3, 2024.

Oty, Karla J., Director, Institutional Research, Assessment & Accountability, named Director Emeritus, July 3, 2024.

SABBATICAL LEAVE(S) OF ABSENCE:

Hooper, Stuart, Senior Instructor, Department of Social Sciences, sabbatical leave of absence at full pay, for the Fall 2024 semester. Sabbatical leave is requested. Mr. Hooper will work on a book-length manuscript on the transnational military industrial complex and initiate a new research project exploring the interaction between mass media and the American public. The proposed leave will further contribute to Mr. Hooper's professional development and bring additional understanding to his students on the topics. Faculty appointment: 08/01/2018. No previous sabbaticals taken.

President McArthur recommended the Board of Regents approve the personnel actions listed.

Regent Braught moved approval of the recommendation. The following voted yes on the motion: Regents Stevenson, Keating, Nagel, Ross, and Braught. The Chair declared the motion unanimously approved.

FOR INFORMATION ONLY ITEMS

Also included in the agenda were the following items that were identified, by the administration of the University, as “For Information Only.” No action was required, but discussion, comments or consideration could have occurred if requested.

NONSUBSTANTIVE PROGRAM CHANGES CURRICULUM CHANGES ON-CALL ARCHITECTS AND ENGINEERS QUARTERLY REPORT QUARTERLY REPORT OF PURCHASE OBLIGATIONS QUARTERLY FINANCIAL ANALYSIS

NONSUBSTANTIVE PROGRAM CHANGES - CU

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. The modifications listed below have been approved by the President, upon recommendations of the Vice President for Academic Affairs, respective deans and department chairs, and the Curriculum Committee or Graduate Council.

1. PROGRAM: B.S. in Computer Science

PROPOSED CHANGE: Other Degree Program Modification

COMMENTS: For the additional requirements category, upper division MATH and STAT prefix courses will be added to the list of electives, and upper division STAT prefix courses will be added to the list of Mathematics courses. Total hours required for the major and degree will not change. Additional funds are not requested.

2. PROGRAM: Minor in Humanities

PROPOSED CHANGE: Modification

COMMENTS: Two courses in the minor will be replaced with two existing courses. The requested change will remove a course that is taught infrequently and an additional course that was previously deleted. Total hours required for the minor will not change. Additional funds are not requested.

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

CURRICULUM CHANGES – CU

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

COURSE ADDITIONS

<u>Prefix/Number</u>	<u>Title</u>
EDUC 5123	Foundations of School Counseling
EDUC 5403	Developmental School Counseling
EDUC 5673	Practicum in School Counseling
ENGL 5313	Advanced Literary Theory
ENGL 5713	Advanced Linguistics

COURSE DELETIONS

<u>Prefix/Number</u>	<u>Title</u>
MM 1013	Fundamentals of MM Design
MM 1133	MM Production Techniques
MM 1143	Instructional Design
MM 1154	Intro Multimedia Authoring
MM 2023	Corporate Multimedia Production I
MM 2033	Web Communication and Design
MM 2123	Corporate Multimedia Production II
MM 2132	Legal and Ethical Issues
MM 2191	Special Problems In Multimedia
MM 2192	Special Problems In Multimedia
MM 2193	Special Problems In Multimedia
MM 2803	Capstone
MM 3013	Advanced Computer Graphics
MM 3023	Web Publishing And Graphics
MM 3031	Motion Graphics I
MM 3041	Motion Graphics II
MM 3051	Motion Graphics III
MM 3063	3D Animation/Motion Capture I
MM 3073	3D Animation/Motion Capture II
MM 3113	Distance Learning Development
MM 3203	Advanced Instructional Design

<u>Prefix/Number</u>	<u>Title</u>
MM 3991	Workshop
MM 3992	Workshop
MM 3993	Workshop
MM 4003	Advanced Authoring
MM 4023	Advanced Web Communications
MM 4191	Advanced Problems In Multimedia
MM 4192	Advanced Problems In Multimedia
MM 4193	Advanced Problems In Multimedia
MM 4414	Simulation
MM 4804	Capstone

COURSE MODIFICATIONS

<u>Prefix/Number</u>	<u>Title</u>	<u>Comments</u>
CS 2413	Data Structures	Change in description and prerequisites
CS 2513	Computer Organization and Architecture	Change in description and prerequisites
CS 3713	Algorithm Analysis	Change in description and prerequisites
EDUC 4881	Selected Topics in Education	Change in grade mode
EDUC 4883	Selected Topics in Education	Change in grade mode
ENGL 5003	English Usage	Change in title, description, and cross-listing
ENGL 5123	English Comp Training Workshop	Change in title and cross-listing
ENGL 5961	Special Topics in English	Change in description and cross-listing
ENGL 5962	Special Topics in English	Change in description and cross-listing
ENGL 5963	Special Topics in English	Change in description and cross-listing
MATH 1513	College Algebra	Change in description

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

ON-CALL ARCHITECTS AND ENGINEERS QUARTERLY REPORT – CU

In March 2023, the Board of Regents authorized a group of architectural and engineering firms to provide professional on-call services. Work completed during the second quarter of fiscal year 2024 by on-call architectural and engineering firms is summarized below.

<u>Firm Name</u>	<u>Date Initiated</u>	<u>Work Performed</u>	<u>Fee</u>
LWPB, Inc.	June 29, 2022	Architectural & Engineering Services–Library Restroom Project	\$7,351.87

CUMULATIVE TOTAL PROFESSIONAL ARCHITECTURAL AND ENGINEERING FEES FOR WORK COMPLETED BY ON-CALLS THROUGH THE SECOND QUARTER OF FISCAL YEAR 2023-2024

<u>Firm Name</u>	<u>Total Fees</u>
LWPB, Inc.	\$7,351.87

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

QUARTERLY REPORT OF PURCHASE OBLIGATIONS – CU

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

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

The required reports for the quarter ended December 31, 2023 are as follows:

PURCHASE OBLIGATIONS FROM \$50,000 TO \$250,000

Item	Description	Campus-Department	Vendor	Award Amount	Explanation/Justification
1.	Maintenance	Campus wide	EAB Global Inc	\$80,430.00	Strategic care program
2.	Software maintenance	Campus wide	OneNet	\$139,278.00	Continuation of software maintenance
3.	Maintenance	Campus wide	Bedrock Nursery	\$52,000.00	Renewal of campus flower bed maintenance contract
4.	Maintenance	Science Complex	L & S Construction	\$63,850.00	Replacement of damaged ceiling tile due to storm damage

Item	Description	Campus-Department	Vendor	Award Amount	Explanation/Justification
5.	Renovation	Baseball field	Quality Fence Company Inc	\$71,227.00	Renovation of baseball field fence due to storm damage
6.	Maintenance	Information Technology Services	Dell Marketing LP	\$74,520.00	Data center refresh

SOLE SOURCE PROCUREMENTS IN EXCESS OF \$50,000

There were no Sole Source Procurements for the period of October 1, 2023 through December 31, 2023.

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

QUARTERLY FINANCIAL ANALYSIS – CU

By request of the Board of Regents, the Cameron University Statements of Net Position as of December 31, 2023 and 2022, and Statements of Revenues, Expenses and Changes in Net Position for the three months then ended are attached hereto as Exhibit C. The statements are unaudited and are presented for management use only.

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

ROGERS STATE UNIVERSITY

REPORT OF THE CHAIR OF THE BOARD

Before we get started with his matters on the agenda, I am saddened to confirm, as most of you know, that Rogers State University President Larry Rice plans to retire this summer. President Rice has been an example of outstanding servant leadership and through his vision, Rogers State University has excelled in fulfilling its academic and service mission. He's earned the respect of myself and my fellow Regents, and I know they share in offering their thanks and best wishes to him and his wife, Peggy. President Rice's 16-year tenure has seen RSU expand academic offerings and campus infrastructure. Under his leadership, and I'm only going to read just a few of his many accomplishments, he streamlined academic programs to focus on degrees to prepare career-ready students. He has become a leader in the online delivery of courses. He has stayed among the top regional universities in concurrent enrollment. He has begun graduate programs and a bachelor's degree program in chemical engineering. In terms of building infrastructure, he's completed and opened the Dr. Carolyn Taylor Center with student and community amenities. In 2009, the Diamond Sports Complex for baseball and softball was completed. New on campus housing, Chapman Dining Hall, a 2010 expansion and renovation of Baird Hall for Classrooms, classrooms, laboratories, are a few of the capital improvements. He has partnered with MidAmerica Industrial Park in Pryor to build a campus in the Park to expand workforce opportunities. And I will tell you that I've been there from the very beginning with this. This is a model that the entire state could use, and it works because of the work that Larry Rice and his team have done. He has spearheaded private fundraising efforts with the RSU Foundation and assisted in securing some of the largest leadership gifts in the school's history. He's led

efforts to move the University's athletic programs to NCAA division two. He celebrated the Women's softball team national title for division two in 2022. Beside him during his tenure has been his wife, first Lady Peggy Rice. She's been an active advocate for RSU and involved in numerous community and campus activities, including the President's Leadership Class and the Honors program. She's used the President's residence as fundraising and as a student-focused events center. To celebrate her highly successful career in business, friends created the Peggy Rice Award in Business Excellence Endowment in 2021 to recognize a top graduating business student. Larry, I've loved working with you. Your input and knowledge of your community has served all of us well. I know my fellow Regents wish you and Peggy God's speed.

PRESIDENTIAL SEARCH COMMITTEE AUTHORIZATION - RSU

On February 29, 2024, President Larry Rice announced his intention to retire from the Presidency of Rogers State University, effective July 3, 2024. During his sixteen-year tenure as President, Dr. Rice has served with distinction. The Board of Regents now faces the task of appointing a successor.

In connection with Dr. Rice's retirement as President, the Board will consider the process for the presidential search, which may include, but is not limited to, composition of the search committee, the advertisement, the charge to the search committee and criteria for the selection of a president.

Section 1.4 of the Board of Regents Policy Manual for Rogers State University provides for the appointment of an administrative search committee to assist the Board of Regents in locating and vetting appropriate candidates for the position of President. Per policy, the search committee will include representation from RSU's faculty, staff and students and will also include members from the Rogers State community and the Board of Regents.

As the Board has not yet had the opportunity to solicit search committee nominees, and because the next meeting of the Board of Regents does not occur until June, it is appropriate to authorize the Chair of the Board to appoint search committee members in advance of the next meeting of the Board so that they may begin work.

Chair Shirley recommended the Board of Regents authorize the Chairman of the Board, in consultation with the Rogers State University Liaison Regent, to appoint an administrative search committee to recommend candidates for the position of Rogers State University President to the Board of Regents.

Regent Ross moved approval of the recommendation. The following voted yes on the motion: Regents Stevenson, Keating, Nagel, Ross, and Braught. The Chair declared the motion unanimously approved.

REPORT OF THE PRESIDENT OF THE UNIVERSITY

Thank you. You've honored me by what others have done on my behalf, but I accept that. On a personal note, what a privilege to have worked with this Board. Your guidance, your support through some tough times and some good times. On a personal note, thank you Governor Keating, Regent Keating, for the years we've worked together, your friendship, and for you, Madam Chair. 'Cause we've known each other in another life and a professional life. This has been a great Board to work for, and I've had a really positive experience. It's been fun. As I tell anyone, we're still just barely out of our teenage years at Rogers State. We're only 23 years old. And there's hope for the future once I get out of the way. So, thank you.

Now I'm going to do my report, and I'll be quick. I do appreciate the fact, Chair Shirley, of your leadership, and we want to honor you too, for your leadership on this Board. Just a couple things. We've got our final numbers for the spring. We're up 4.8% in credit hours. We're up 2.5% in head count. We're up in head count 10% in first time freshmen. Just two or three tidbits of information. The State Regents have honored us with a little grant for our technical side for a drone flight safety and skills program, and we continue to develop that. Rogers State University's chapter of the National Society of Leadership and Success has been recognized, and we earned a pillar of support in that program with honors distinction. We also have boots back on the Hill. We were a military school, and we have a National Guard leadership program called Gold, where we produce second lieutenants for the National Guard. I'm pleased to tell you that it's thriving, and that it's the largest Gold program in the state. *US News and World Report* continues to give us accolades. We continue to move up in the rankings, particularly in online programs. And we're grateful for that. Then a little bit of unusual news. We partnered with Saint Francis Hospital, and they have renovated and built a new nursing simulator, a 6,000 square foot center for our students. They held a special blessing ceremony for that. This is an ultra-high simulation center with mannequins that can do everything from giving birth to sweating. We'll have two cohorts now through St. Francis and two through Rogers State. So we're really, really grateful for our partnership with that.

ACTION ITEMS

CAPITAL BUDGET REVISION

At the January 12, 2024, meeting, the Board approved the replacement of artificial turf on Soldier Field and the first-time installation of artificial turf at Diamond Sports complex at a cost of approximately \$1,700,000, with funding from auxiliary and capital revolving funds. The University requests a revision to the 2023-2024 budget and the related allotment at the State Treasury to reflect a \$1,000,000 transfer from the University's revolving auxiliary funds to capital funds.

President Rice recommended the Board of Regents approve an increase of \$1,000,000 to the University's Capital Budget.

Regent Stevenson moved approval of the recommendation. The following voted yes on the motion: Regents Stevenson, Keating, Nagel, Ross, and Braught. The Chair declared the motion unanimously approved.

SUBSTANTIVE PROGRAM CHANGES – RSU

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.

- I. DEPARTMENT: Technology and Justice Studies
PROGRAM: Master of Science in Cybersecurity Policy, Governance, and Training
PROGRAM REQUIREMENT CHANGES:
Add a new graduate degree program: Master of Science in Cybersecurity Policy, Governance, and Training
Total degree program hours proposed: 30 credit hours (non-thesis)

COMMENTS:

The M.S. in Cybersecurity Policy, Governance, and Training program will prepare cybersecurity practitioners to deal with external laws and regulations while developing internal policy and implementing corresponding internal training plans.

Features of the program:

- 100% online delivery
- While incorporating requisite technical elements of cybersecurity, the emphasis will be on enabling technical practitioners to function as cybersecurity advocates, most often in roles as Chief Information Officers
- Total credit hours- 30 (non-thesis)

President Rice recommended the Board of Regents approve the proposed changes in the Rogers State University academic programs.

Regent Keating moved approval of the recommendation. The following voted yes on the motion: Regents Stevenson, Keating, Nagel, Ross, and Braught. The Chair declared the motion unanimously approved.

HOUSING RATES FOR FISCAL YEAR 2024-2025 – RSU

Rogers State University’s residence hall rates are competitive to similar facilities at other higher education institutions and the University is the only regional public institution in the Tulsa Metropolitan area to offer residential housing on campus. Renovation and repairs to all the housing complexes continue on an annual basis in order to offer our students the best and most appealing student housing in the area.

The President recommends the Board approve the following housing rates for fiscal year 2025.

Hall	Beds	Fall/Spring		Summer		
		2023-2024	2024-2025	2022-2023	2024-2025	
Ledbetter	NA	\$2,350.00	\$2,400.00	\$1,550.00	\$1,580.00	
UVA	4	\$2,500.00	\$2,550.00	\$1,650.00	\$1,685.00	
UVB	4	\$2,500.00	\$2,550.00	\$1,650.00	\$1,685.00	
	2	\$2,650.00	\$2,705.00	\$1,750.00	\$1,785.00	
	2	Private	\$3,265.00	\$3,330.00	\$2,155.00	\$2,200.00
	1		\$3,265.00	\$3,330.00	\$2,155.00	\$2,200.00
UVC	2	\$2,350.00	\$2,395.00	\$1,550.00	\$1,580.00	
	1	Private	\$2,860.00	\$2,915.00	\$1,890.00	\$1,925.00
Downs	NA	\$1,840.00	\$1,875.00	\$1,215.00	\$1,240.00	

This is an increase of approximately 2%.

President Rice recommended the Board of Regents approve the proposed housing rates effective August 1, 2024.

Regent Nagel moved approval of the recommendation. The following voted yes on the motion: Regents Stevenson, Keating, Nagel, Ross, and Braught. The Chair declared the motion unanimously approved.

MEAL PLAN RATES FOR FISCAL YEAR 2025 – RSU

Rogers State University students who live in campus housing and students who are residents in family housing who receive University funded meal plan scholarships are required to participate in the University’s food service program. The University offers three different meal plans with a combination of meals per week and a flex dollar account for residents in University Village A, B, & C. A fourth plan with a block of meals per semester with a flex dollar account is available to resident in University Village A & B with full-service kitchens and to resident in family housing who receive a university funded meal plan. Participation in the food service program ensures residential students access to balance and nutritional meals and the experience of campus residential living with an on-campus dining environment. In addition to food services offered in the Chapman Hall dining facility, a café/convenience store/coffee and juice bar is available within the Dr. Carolyn Taylor Center.

The University is recommending residential meal plans and commuter plans for fiscal year 2024- 2025 at rates not to exceed the following:

Residential Student plans:

Plan	Term	Meals	Flex \$	2023-2024	2024-2024	Change
A	Weekly	18	\$150	\$2,066	\$2,226	7.7%
B	Weekly	15	\$200	\$2,076	\$2,236	7.7%
C	Weekly	11	\$325	\$2,097	\$2,257	7.6%
D	Semester	135	\$400	\$1,799	\$1,944	8.0%

Commuter Meal Blocks:

Plan	Term	Meals	Flex \$	2023-2024	2024-2024	Change
25 Block	Semester	25	\$150	\$353	\$422	19.5%
50 Block	Semester	50	\$125	\$527	\$605	14.8%

All student plans reflect an increase of 5.3% (CPI- Food Away from Home) plus \$50. The \$50 is offset dollar-for-dollar in an increase to the Flex \$.

Faculty/Staff:

Meals	2023-2024	2024-2025	Change
25	\$183	\$193	5.5%
45	\$320	\$337	5.3%

President Rice recommended the Board of Regents approve the proposed meal plan rates effective August 1, 2024.

Regent Nagel moved approval of the recommendation. The following voted yes on the motion: Regents Stevenson, Keating, Nagel, Ross, and Braught. The Chair declared the motion unanimously approved.

SODEXO FOOD SERVICE CONTRACT – RSU

The University entered into a contract with Sodexo to operate the University food service operation in March 2019. There have been five previous amendments to the original contract approved by the Board of Regents. The University is interested in executing a new contract with Sodexo to continue the strong partnership relationship that has been established. A review of meal plan rates in the Oklahoma and NW Arkansas area indicates that our agreement with Sodexo is very competitive.

The new contract includes the following terms:

- The contract's initial term is from July 1, 2024, to June 30, 2025. It has 7 additional renewal terms ending on June 30, 2032.
- The contract has a \$390,000 signing incentive as set forth below. The University intends to use these incentive payments to reinvest or supplement other housing and food infrastructure, operations, and services.
 - September 15, 2024 - \$40,000
 - September 15, 2025 - \$42,500
 - September 15, 2026 - \$45,000
 - September 15, 2027 - \$47,500
 - September 15, 2028 - \$50,000
 - September 15, 2029 - \$52,500
 - September 15, 2030 - \$55,000
 - September 15, 2031 - \$57,500
- The contract increases meal rates by 5.3% plus \$50 over the previous year's rates. Beginning July 1, 2025, meal charges will increase by in the Consumer Price Index – Food Away from Home, averaged for the prior twelve (12) month period, plus one percent (1%). Thereafter, rates will be increased by the percentage in the Consumer Price Index – Food Away from Home, averaged for the prior twelve (12) month period.
- The University will receive a 6.5% commission on all meal plan and cash/credit card retail sales and a 10% commission on all catered functions payments.
- The University is provided an annual catering fund as set forth below. This annual catering fund is intended to provide food during leadership, alumni, student, and other University sponsored events.
 - July 1, 2024 - \$15,000.00
 - July 1, 2025 - \$16,000.00
 - July 1, 2026 - \$17,000.00
 - July 1, 2027 - \$18,000.00
 - July 1, 2028 - \$19,000.00
 - July 1, 2029 - \$20,000.00
 - July 1, 2030 - \$21,000.00
 - July 1, 2031 - \$22,000.00
- The contract terms are contingent upon the University maintaining a 4-day class schedule and a minimum on-campus boarding average of 600 students per year.
- The contract terms include an investment not to exceed Four Hundred Thousand Dollars (\$400,000) directly to vendors on Client's behalf for mutually agreed upon dining enhancements.

The University will continue to evaluate student meal plan rates and charges independent of this contract and each of its renewals to ensure students are charged a fair and competitive price for food services. In this regard, under the contract, the University can terminate the agreement with or without cause by providing appropriate notice.

The contract has been reviewed by the Office of Legal Counsel.

President Rice recommended the Board of Regents authorize the President or his designee to execute the Sodexo Food Service contract effective July 1, 2024, through June 30, 2032.

Regent Keating moved approval of the recommendation. The following voted yes on the motion: Regents Stevenson, Keating, Nagel, Ross, and Braught. The Chair declared the motion unanimously approved.

FACULTY GRIEVANCE AND DISCIPLINE POLICIES – RSU

All tenured faculty (and some term faculty) have legally enforceable rights in their continued employment. Those rights are protected by the due process procedures afforded by the current policies of each institution. The policies are intended to provide a faculty member with sufficient notice and opportunity to be heard by a panel of peer faculty prior to disciplinary action. The Office of Legal Counsel (“OLC”) has worked with senior University administration as well as the Rogers State University Faculty Senate to improve the faculty discipline policies and align the policies with those at the University of Oklahoma, Norman Campus. The Rogers State University Faculty Senate approved the policy changes.

The proposed policies will replace policy 2.3.4, 2.3.4.1, and 2.3.4.2 in the Regents’ Policy Manual. The proposed policies will replace the following policies in the Rogers State Academic Affairs Policies and Procedures Manual, 3.5, 3.5.1, 3.5.2, 3.5.3, 3.5.4, and 3.5.5. The new policies are attached hereto as Exhibit D for review and approval.

Significant changes to the policies are summarized below:

- **Delegation of Authority:** Currently, all severe sanctions require Board of Regents approval, often leading to delays. Under the proposed policies, abrogation of tenure and termination of employment will continue to require Board approval. However, authority to impose other severe sanctions will be delegated to senior University administrators.
- **Non-Disciplinary Terminations:** The proposed policies update the grounds for severe sanctions and create a new category called “non-disciplinary termination(s).” In particular, the proposed policies remove “violations of the law to which a faculty member has pleaded guilty or nolo contendere...that prevents the faculty member from satisfactorily fulfilling professional duties or responsibilities” and “loss of professional licensure or credentials customary to the faculty member’s discipline or profession” from the list of sanctions. Instead, faculty members who lose required credentials or who have relevant criminal convictions will receive immediate, non-disciplinary terminations. Non-disciplinary terminations of faculty members who are no longer qualified to perform the functions of their job are subject to appeal on limited grounds. Other grounds for non-disciplinary termination include long-term changes in worksite outside of a mutually agreed upon remote work arrangement and an inability to perform the essential functions of this position with or without accommodations.
- **Minor Sanctions:** The proposed policies create a new category of minor sanctions. Minor sanctions include, but are not limited to, suspension of public-facing assignments, suspension of travel privileges for not more than thirty (30) days, and/or restitution to the University. Minor sanctions can be imposed by the chair of the academic unit with approval from the applicable college dean and can be appealed to the Vice President for Academic Affairs.

- **Leave Without Pay:** The current policies allow faculty members to receive full pay even when they may be suspended from their jobs. Under the proposed revisions, a faculty member may be placed on leave without pay once the University has proved to faculty pre-hearing committee that a matter merits a full hearing.
- **Inefficiency:** To reduce clerical and scheduling inefficiencies, timelines have been pared down throughout the revised policy to ensure a timely hearing process while maintaining the rights of the affected parties.
- **Interaction between Institutional Equity Policies:** The current policies contain inconsistencies with other policies regarding jurisdiction over violations of the Non-Discrimination Policy, the Sexual Misconduct, Discrimination, and Harassment Policy, and/or the Consensual Sexual Relationships Policy. The proposed policies clarify that the policies and procedures of the Institutional Equity Office govern those investigations and adjudications.

President Rice recommended the Board of Regents:

1. Approve the Minor and Severe Sanctions Policy for the CU/RSU Regents' Policy Manual, incorporating by reference the faculty discipline policy in the Academic Affairs Policies and Procedures Manual; and
2. Approve the Minor and Severe Sanctions Policy for the RSU Academic Affairs Policies and Procedures Manual.

Regent Nagel moved approval of the recommendation. The following voted yes on the motion: Regents Stevenson, Keating, Nagel, Ross, and Braught. The Chair declared the motion unanimously approved.

DISPOSITION OF REAL PROPERTY, 1825 MILITARY ROAD – RSU

The University owns property located at 1825 Military Road Claremore, Oklahoma. The property was donated to the University in 2016. The donor is aware of the University's intention to sell the property.

The sale of this property satisfies the requirements for the disposition of property under section 4.13.2 of the Regents Policy Manual.

- Although the property is located close to the main campus, it is not required for the University to protect other University lands and facilities.
- The property is not economical to operate and maintain and does not provide other benefits. A house in significant disrepair currently sits on the property.
- The donor is aware of the intent to sell.
- Selling the property allows the University to address other immediate needs and long-term requirements.

The University published a Request for Bids on December 19, 2023. One qualified bid was received in the amount of \$62,000. Given the condition of the house and the cost to demolish it, approximately \$20,000, this offer is considered fair and reasonable.

President Rice recommended the Board of Regents authorize the President or his designee to negotiate and execute documents of sale, subject to Legal Counsel review, of property located at 1825 Military Road, located at the intersection of Military Drive and Camden Drive, Claremore, Oklahoma.

Regent Keating moved approval of the recommendation. The following voted yes on the motion: Regents Stevenson, Keating, Nagel, Ross, and Braught. The Chair declared the motion unanimously approved.

ACADEMIC PROMOTION ACTIONS – RSU

Section 3.1.1 of the Regent’s Policy Manual grants the Board the authority to manage certain personnel actions.

All actions will be effective August 1, 2024.

ACADEMIC PROMOTIONS

COLLEGE OF ARTS AND SCIENCES

Department of Biology

Dr. Jin Seo, Promote from Associate Professor to Professor

COLLEGE OF PROFESSIONAL STUDIES

School of Nursing and Health Professions

Mr. Brian Coley, Promote from Instructor to Assistant Professor

Ms. Amber Sanchez, Promote from Instructor to Assistant Professor

Department of Technology and Justice Studies

Mr. Robby Turner, Promote from Instructor to Assistant Professor

President Rice recommended approval of the faculty promotion actions listed.

Regent Nagel moved approval of the recommendation. The following voted yes on the motion: Regents Stevenson, Keating, Nagel, Ross, and Braught. The Chair declared the motion unanimously approved.

ACADEMIC AND ADMINISTRATIVE PERSONNEL ACTION(S) – RSU

ACTION PROPOSED:

APPOINTMENT(S):

Phillips, Jerrett, PhD, Vice President for Student Affairs, Department of Student Affairs, salary at an annualized rate of \$115,500 for 12 months, effective April 22, 2024.

President Rice recommended approval of the faculty personnel actions listed.

Regent Keating moved approval of the recommendation. The following voted yes on the motion: Regents Stevenson, Keating, Nagel, Ross, and Braught. The Chair declared the motion unanimously approved.

FOR INFORMATION ONLY ITEMS

Also included in the agenda were the following items that were identified, by the administration of the University, as “For Information Only.” No action was required, but discussion, comments or consideration could have occurred if requested.

**NONSUBSTANTIVE PROGRAM CHANGES
QUARTERLY REPORT OF PURCHASES
QUARTERLY FINANCIAL ANALYSIS**

NON-SUBSTANTIVE PROGRAM CHANGES – RSU

The Oklahoma State Regents for Higher Education confer upon each institution the authority to approve modifications that are non-substantive but require the changes to be communicated to them for information only. The program modifications itemized below have been approved by the President and the Vice President for Academic Affairs, upon recommendation of the appropriate department and faculty, Curriculum Committee, and the Academic Council.

- I. DEPARTMENT: Technology & Justice Studies
PROGRAM: All
PROGRAM REQUIREMENT CHANGES:
Add two new course selections to the global studies portion of the general education curriculum INT 1113 Introduction to U.S. Intelligence and INT 2113 Critical Thinking, Data Literacy, and Communication Skills.

COMMENTS:

Course additions in support of current five-year Education Partnership Agreement with the N.S.A. and future efforts with the Intelligence Community Centers for Academic Excellence (IC-CAE).

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

QUARTERLY REPORT OF PURCHASES – RSU

Section 4.10.8 of the Regents’ Policy Manual requires the reporting of the purchase obligations at least quarterly.

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

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

QUARTERLY REPORT OF PURCHASES – ALL
 October 1,2023 through December 31, 2023

PURCHASE OBLIGATIONS FROM \$50,000 TO \$250,000

Item	Description	Department	Vendor	Award Amount	Explanation/Justification
1	Insurance	Claremore Campus	Academic HealthPlans Inc	\$80,000.00	International Student Athlete Insurance
2	Software	All Campuses	OneNet	\$68,822.00	Blackboard Consortium
3	Rent	Pryor Campus	MidAmerica Industrial Park	\$53,820.00	Rent Expense
4	Data Processing	All Campuses	University of Oklahoma	\$71,709.65	OU Microsoft Campus License Renewal
5	Data Processing	All Campuses	Jenzabar Inc	\$130,300.00	Jenzabar cloud hosting
6	Data Processing	All Campuses	University of Oklahoma Health	\$58,750.00	Computer Services for Cyber Security
7	Services	Accounting	Forvis LLP	\$85,200.00	External Audit Services FY23 Financials
8	Carl Perkins	Grants	Northeast Technology Center	\$52,839.00	NE Tech Center FY24 Budget
9	Services	All Campuses	Ruffalo Noel Levitz LLC	\$172,285.61	Consulting Services FY24
10	Equipment	Claremore Campus	KMS	\$101,491.00	Auditorium chiller equipment replacement
11	Collection Fees	Bursar	University of Oklahoma	\$72,169.86	Collections fee for HEERF Program
12	Insurance	All Campuses	OMES	\$496,042.98	Insurance – Property Coverage

SOLE SOURCE PROCUREMENTS FROM \$50,000 TO \$250,000
 Competition Not Applicable

None to report.

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

QUARTERLY FINANCIAL ANALYSIS – RSU

The reporting schedule of the Finance, Audit, and Risk Committee establishes a quarterly reporting requirement for financial statements.

By request of the Board of Regents, the Rogers State University Statements of Net Position as of December 31, 2023 and Statements of Revenues, Expenses and Changes in Net Position for the nine months then ended are attached hereto as Exhibit E. The statements are unaudited and are presented for management use only.

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

THE UNIVERSITY OF OKLAHOMA**REPORT OF THE PRESIDENT OF THE UNIVERSITY**

First, Governor Keating, I know it has been said, and I had a chance to offer it to you and your family last night but thank you. And not just for this role the last seven years but thank you for the example that you've modeled in every aspect, from intellect to character, to love and humor. Thank you very much. I appreciate it. From a macro perspective, there are a lot of ways to look at a University that's succeeding, but there are a couple that I think are really important. And the first is, you've heard that lots of places have fallen in terms of number of students. Not only did we hit a record last year, knowing campus was up 11% and the numbers for this year are incredibly encouraging. No one in the state is doing this. And very few in the country are doing this. And it is absolutely because of the individuals who work to make this investment every single day in our students, one of which you'll hear from in a bit. But that is a remarkable moment and thing to understand. And you'll see in our agenda items, how many of them relate to critical infrastructure items. They're not really sexy items, but as you grow, you have to make sure the experience continues to grow with it. You've seen also the research increases that have been spoken about. Very few places are doing that, among a certain dollar threshold. We're the fourth fastest growing in the country, in terms of research expenditures. And finally, you're going to learn three of the four speakers from whom you'll hear in a minute, are all related to what's taking place at the Health Sciences Center. And it all relates to the fact that a state cannot get healthier, unless it has a fully integrated academic health system. And we didn't have one. And it wasn't until just a few years ago that we were able to put that together, taking the faculty practice with what was then OUMI and combining it into OU Health. And through the pandemic and other challenges we've seen over the last seven or eight months, it's really gaining traction and really improving lives. You heard from Regent Ross the numbers that attach to that, that have a direct impact on the healthcare of Oklahomans. It has a direct impact on how we drive the next economic opportunities for our state. It lifts all of us, and it wouldn't have happened without a number of the speakers from whom you're going to hear in a minute. And to me it's really exciting and I can tell by your faces that it excites about 25% of you which I think is a good round number. What I want to do is begin by introducing the Dean of the College of Medicine. This is one of the two individuals that when we said we had to make this huge change and engage in a merger, that was something that very few said could be done, let alone done in short order. There are two individuals that rose to the occasion and showed leadership. We went for a more seasoned person around my vintage, and also for someone younger who could do extraordinary things. He's now been at OU for six years. Prior to coming to OU, he was at Harvard as an associate professor.

He is a neurosurgeon and is an expert in skull-based surgery. He is an absolutely stunning surgeon. And he came here, he took over neurosurgery for us, and he completely transformed it into something that has lifted the healthcare of our state. As part of that, we said, listen, when you're not doing neurosurgery, do you mind helping us out with this transition and this merger? And he stepped in where very few would or could. And as a part of that, not only made the transition happen, but also revolutionized the way that we compensate physicians, put together an entirely new ambulatory care approach that is great for all our citizens. He was so good at it that we made him the permanent chief physician executive at OU Health. And then we thought, why not make him Dean of the College of Medicine? He understands what the role of a College of Medicine is and how it impacts not just those that are being educated, but the research that comes from that that helps all patients, not just directly, but those that aren't here. He understands what it takes to be an institution and how the campus must work together. I'd like to introduce and welcome and thank Dr. Ian Dunn. And ask for some brief comments. We have a microphone up here, and with those kinds of credentials, we expect great things.

Dr. Ian Dunn began, I'm not a veteran to this and I'm not retiring, so, yeah. President Harroz, thank you very much for those remarks and, thank you and Provost Raskob for the job and to the Regents for approving me in in the role. I've been in the role now for six weeks, and I'll tell you, each day gets more and more exciting as I learn more and more about the present and the future and potential of the College of Medicine. As President Harroz has alluded to, the College of Medicine is essential to a high functioning academic health system, and I think we have so much more we can do. Specifically, there are about five areas I would leave you with. One, we're responsible for educating the next generation of the physician and physician assistant workforce in Oklahoma. And we have to increase our capacity. You've heard everybody allude that we want to catch up to and also innovate the way that workforce is educated. Secondly, we want to drive research and a research-intensive College of Medicine is essential to a high function academic health system. So you've heard a little bit about that this afternoon. Thirdly, we want to invest in people, students, learners, faculty. We want to grow our own here in Oklahoma, expand that pipeline, but also recruit national talent from everywhere in the country; we've been successful in doing that. And fourthly, we want to be the best public college of medicine we can possibly be. And there are national comparisons, just like in the SEC, who are our conferences. It's a little less clear in colleges of medicine, but I think in a few years we'll be discussed in that same echelon with all the best public colleges of medicine. Lots of great work to come, and we benefit from a great OU environment in which to work. So thank you.

President Harroz next introduced a video about Dr. Harold Burkhart and the work he does at OU Health. The next thing I'd like to do is introduce a video and the other individual that helped made this merger possible from the physician side. We needed someone closer in years like me, and we looked out and it was Dr. Burkhart, and he stepped up, provided the interim CEO leadership necessary until we could restructure and bring in outside leadership. But what he does was celebrated recently. Every year we have the Evening of Excellence where we celebrate those who have made major contributions to medicine. And there was a video played there that I thought would be absolutely wonderful for everyone to see, to understand what a remarkable leader and surgeon he is. Prior to his arrival in Oklahoma, nine years ago individual children that had congenital heart problems, let alone transplant patients, had to go out of state to get care, if at all. He came here, and he's brought a level of care that is truly two standard deviations greater

than the average. He's a pediatric cardiovascular surgeon, and it's just stunning work, especially if you have a child that has these sorts of issues. There are 125 programs in the country like this, all at academic health systems, and they rank them, and there's only about 6% that are in the highest category for survival rates and outcomes. And he is in that grouping, and it really is stunning work. Proud to have him as a colleague and an example of what academic health systems bring that the community hospital systems simply cannot bring. So very proud of that.

Following the video, the President introduced Dr. Darrin Akins, HSC Vice President for Research, to lay out the agenda for research at the Health Sciences Center. Dr. Akins.

Dr. Akins thanked the Regents for giving him the chance to let everybody know "what our plan is, where we're at and where we're going at the Health Sciences Center and the research mission." We developed a research strategic plan not quite a year and a half ago, Lead On, University. And what we're aspiring to do is increase the amount of research, the impact of our research, the number of clinical trials, and our innovation and discovery. So all of these things are meant to not only improve the health of Oklahomans, but also the lives of Oklahomans. I'm going to talk about four of our primary goals. One is achieving a Blue Ridge ranking in the top 100. So what is a Blue Ridge ranking? That is the gold standard that all academic health centers, as well as other institutions and organizations are judged by against their peers. So if you can get into the top 100, you are an elite institution. We want to recruit and retain our outstanding faculty. We want to enhance the research infrastructure so we can do that recruitment and retention. And we want to promote innovation and biotech startups so we can drive the regional and local economy. So where are we in the Blue Ridge rankings? When we started this strategic plan, we were at 129. We had brought in \$60 million. The Blue Ridge ranking specifically is allocated by how much NIH funding you bring into your organization. In fiscal year '22, we brought in \$60 million, and we were ranked at 129. As I said, our goal is to be at a hundred or even better. Over the last year since we've implemented this strategic plan, we have moved up to number 122. As Dr. Dunn just mentioned, typically the engine that runs an academic health center is the College of Medicine. And as you can see, like other academic health centers, the College of Medicine provides the most NIH research funding on our campus as well. So that's what we're doing on our campus. But how are we compared statewide? Statewide, we're ranked of course, at 122 nationally, but in the Blue Ridge rankings, but at \$64.4 million in those rankings, we are the highest ranked medical research institution in Oklahoma, by about \$23 million. Below us at number two, which is the Oklahoma Medical Research Foundation, which many of you know about. Then there are other institutes as well that are much lower. One of the major activities we're undergoing is renovating 200,000 square feet of research space. We've started some already, and we are continuing that. We've gone to several different sources to get funding to help us in this mission. We've got \$10 million from the state through the University Hospital Authority and Trust. We got a bond issuance for \$55 million for research space renovation. And we've gone out as a faculty and also generated \$17 million in awards from the National Institutes of Health, and from a large Build Back Better Economic Development Award grant; we also have \$8 million at the National Institutes of Health that's pending for additional renovation. So this is what we're trying to do when we recruit people. If you look on the left, this is what the labs look like in two of our 50 year plus old research buildings. This is where we're doing research, where my lab has had to do research for the 27 years that I've been on this campus. So it's very cluttered. You can see where you have to store reagents. The shelving is so high, you actually have to get

onto stools to put stuff up there, which is why there is nothing up there in the shelves. It's all down on the benches. And it basically does not allow us to do the amount, the activity, the productivity of the research that we would like to do. So we have started renovating into a much more modular format, as you can see on the right. And this is much more open, brighter. It allows us to recruit the best and the brightest from throughout the country—the Dukes, the Harvards, the Stanfords, they can come to Oklahoma City. Cost of living is so much lower. They've got the same type of technology and lab environment that they're accustomed to. And we want to recruit these people. Two that we've recruited recently. One is Dr. Singh. He is the new chair of our oncology science department. The other is Dr. Busick. She is the chairperson of our biochemistry and physiology department. And between just the two of them, they have brought in over three and a half million dollars in NIH funding themselves. So we're helping to recruit 50 new faculty over the next four to five years. If only 20 of those have these types of credentials, if you look at the Blue Ridge rankings, we should be in the eighties. So that is why we're trying to recruit top-notch outstanding faculty. Well, of course, retaining those that we already have on campus is important. So we're also enhancing our diabetes space for our diabetes center and those researchers, so that it will be modern, cutting-edge labs. And then additionally, up at our University research park, we also have buildings there that are mostly full of biotech companies, but we have taken one whole floor, 26,000 square feet, and we're going to completely renovate that. It's already ongoing and it should be done in the fall, and it's going to allow us space for 14 to 16 new faculty. So what we want to do is, instead of recruiting one investigator after another, is bring in four to five at the same time and bring in about three groups to this new facility so that we bring in four or five that are working together that are synergistic, that can be leveraged with our areas of research excellence that we already have on our campus, which is cancer research, diabetes research, neuroscience research. So we'd like to get them into this new state-of-the-art building once it's completed. Just to give you an idea, the brick and mortar doing a lot of renovation there, but we're also enhancing the health of Oklahomans by fighting cancer throughout the state of Oklahoma. So we're increasing our footprint of the Stephenson Cancer Center. We're going to be moving into Tulsa. We're in Norman now. The Stephenson Cancer Center, I should mention back in 2018, became what's called an NCI Designated Cancer Center, another major feather in our cap at OU Health Sciences. So there are only 71 NCI designated cancer centers to become designated. It means you have to do outstanding research, outstanding community outreach, and outstanding patient care. So back 10, 12 years ago, they were seeing one out of every 20 cancer patients in Oklahoma. Right now with this NCI designation, we're seeing about one out of every five. And with our increased footprint, we hope to see one out of every three to four. So we're also expanding out to Tulsa with our Health Promotion Research Center, which is really aimed at lowering the amount of tobacco use in Oklahoma, tobacco cessation, and also decreasing substance abuse, which are two major public health problems we have in Oklahoma. We're also very happy to mention that we just got a \$3.2 million award, so that we can be one of only eight centers that competed successfully for becoming a new screening technology center. So there are going to be new kits that the National Cancer Institute gives us so that we can go out throughout the state of Oklahoma and do early cancer detection, not just on a single cancer, but multi cancer detection just from blood work or saliva. So, Dr. Doescher, who's the head of our community outreach and engagement at the Cancer Center, is in charge of this award. And we are thrilled to have this award. The earlier we can identify a person with cancer, the more likely we are to improve the overall health outcome of that person. We're also really excited. Another recent grant we got from the College of Nursing, which is led by Dr. Karina Shreffler, is an \$11 million

National Institutes of Health Award. It is really about promoting health during and after pregnancy. It's going to provide us a maternal health research center in Oklahoma. The Dean of Nursing is here today, Dr. Julie Hoff. This is a seven-year award that's incredibly rare for the National Institutes of Health. They're typically five years at the most. So that's a big, big promising area that we're going to continue to build. Finally, I'm going to tell you about just one other grant. This is led by Dr. Judith James in internal medicine. It's an over \$20 million grant from the National Institutes of Health. It's about enhancing the clinical research training environment in Oklahoma where we're going to bring together the clinical, the translational, those people that bring fundamental discoveries from the laboratory bench into the hospital environment. We pair them with health professionals, community organizations so that we can improve the health of Oklahomans. This award also is aimed at training the next generation of clinician scientists so that our children and the next generation and others, will also have access to the best types of care that we can provide. This award also helps to address the state's top health concerns, things such as cancer, diabetes, heart disease, and mental health. Now finally, as we try to drive economic growth, I just want to point out one new startup company. We've had two in the last two years, and we've had 24 patents awarded at the Health Sciences Center. We've had 11 patents licensed so that they can be further moved into the marketplace. But the one I want to tell you about is Xironetic. It was the brainchild of one of our pediatric surgeons, Dr. Christian El-Amm. And what they're doing is they've actually got FDA approval just over a year ago for these special types of goggles so that they can do what's called augmented reality surgery. So before a patient goes into surgery, they do these very sophisticated scans of the patient. And then with these special goggles, the surgeon can go in there and actually superimpose those scans onto the patient so they know exactly where to make their incisions, exactly where that tumor might be, where they need to go. And last year when this was approved, there was a news outlet that actually did a nice two-minute video that is still online. If you search for augmented reality surgery, you'll be able to find it. It's just fascinating. It's transforming surgery and many other types of surgery. So what I've told you about are major goals. We want to be in the top 100 of the Blue Ridge rankings. We're going to get there. We want to enhance our research infrastructure. We're doing it and we're going to continue to do it. And that's going to allow us to recruit and retain the faculty we need so that we can become a research-driven, top-tier academic health center here in Oklahoma. We're also going to promote innovation and biotech, and that's just the tip of the iceberg. Those things that we look at, that we can see things that might be in a press release, but there are so many things under the water that have to be going on at the same time. So we've got to be enhancing career development training and mentoring of early-stage faculty, providing honors to those that are doing great work, enhancing our patenting licensing startup companies. We've got a new position for the Chief Innovation officer. This person will be over that whole ecosystem, with bringing in groups of four to five scientists at a time. We're going to build our team with scientists that can collaborate with our current researchers on campus, develop more innovative clinical trials, provide the incentives that Regent Nagel told you about, to reward people for getting large amounts of funding. And in the end, what this is going to do is increase our total funding, which was over \$175 million last year. And it's going to increase our NIH funding, which is the gold standard they judge us by so that we can be in the top hundred and an elite academic health center. And finally, we talked about the Evening of Excellence, and I just wanted to thank Regent Keating again. He's always been a supporter. You may not remember this, but about two years after I got on campus, I gave a talk at the Evening of Excellence. You were always attending, always supporting. This is the gala where we also basically generate funding so that we can support

research on our campus. And I just can't believe how mesmerized you were looking at me talking about my future of stopping tick-borne infections in Oklahoma and the world. So, thank you. And, that's where we're at and that's where we're going.

President Harroz then introduced a video highlighting a great student from the Michael Price College of Business, Rylan Texada, saying that he wished he'd met Rylan earlier in his time at the University. Rylan was present at the meeting. The President shared that Rylan came to the University as a National Merit Scholar, is a senior finance major, and involved with the Capital Group Fellows, a group that Regent Stevenson has supported. CGF helps prepare and mentor students.

Finally, the President recognized the two Provosts, Drs. Wright and Raskob, for the absolutely remarkable jobs they perform. He shared that Provost Wright was recognized just recently as a fellow of the American Academy of Microbiology, along with another professor at the University, and congratulated the two.

ACTION ITEMS

AWARDS, CONTRACTS, AND GRANTS

	FY23 Jul 2022-Dec 2022 Expenditures	FY24 Jul 2023-Dec 2023 Expenditures
UNIVERSITY OF OKLAHOMA	\$136,016,490	\$135,069,877
NORMAN CAMPUS	\$78,220,593	\$81,347,803
HEALTH SCIENCES CENTER	\$57,795,897	\$53,722,074

This data is from February 5, 2024, and may be subject to change.

Chart Key / Definitions for the pages attached hereto as Exhibit F:

RESEARCH = Externally Sponsored Research

OSA/PUBLIC SERVICE = Externally Other Sponsored Activity and Sponsored Public Service (non-Research)

INSTRUCTION/TRAINING = Externally Sponsored Instruction/Training

EXPENDITURES = Expenditures Related to Externally Sponsored Funding

AWARDS = New Grants and Contacts Received, or Existing Award Modifications Processed

President Harroz recommended that the Board of Regents ratify the awards and/or modifications for July – December 2023 submitted with this Agenda Item.

Regent Braught moved approval of the recommendation. The following voted yes on the motion: Regents Stevenson, Keating, Nagel, Ross, and Braught. The Chair declared the motion unanimously approved.

POSTHUMOUS DEGREE – KELLI MADISON – NC

Kelli Madison, a graduate student pursuing a Master of Clinical Mental Health Counseling in the Dodge Family College of Arts and Sciences, passed away in December 2023. Ms. Madison had completed 48 of the 60 required credit hours and maintained a 3.94 GPA.

The deans of the Dodge Family College of Arts and Sciences and the Graduate College, as well as the Senior Vice President and Provost, support the request to award a posthumous degree to Ms. Madison.

In accordance with Oklahoma State Regents for Higher Education policy, which was recently revised, a posthumous degree may be awarded to recognize the meritorious but incomplete work of a student who is deceased, provided the student has completed at least two-thirds of the academic degree requirements. Upon the approval of the University of Oklahoma Board of Regents, the Oklahoma State Regents for Higher Education will be notified of the decision for record keeping.

President Harroz recommended the Board of Regents approve the awarding of a posthumous Master of Clinical Mental Health Counseling to Kelli Madison.

Regent Keating moved approval of the recommendation. The following voted yes on the motion: Regents Stevenson, Keating, Nagel, Ross, and Braught. The Chair declared the motion unanimously approved.

POSTHUMOUS DEGREE – JOSHUA MALOY – NC

Joshua Maloy, a senior pursuing a Bachelor of Arts in Organizational Leadership in the College of Professional and Continuing Studies (PACS), passed away December 24, 2023. Mr. Maloy had completed 145 hours of coursework and had maintained an overall GPA of 3.9. He had nine hours remaining to complete his degree and was enrolled in all nine hours this semester. Mr. Maloy was a veteran, having served in the Marine Corps, and he was slated to graduate this May.

The faculty of the department, the Interim Dean of the College of Professional and Continuing Studies, and the Senior Vice President and Provost support this request to award a Bachelor of Arts degree to Joshua Maloy posthumously.

In accordance with Oklahoma State Regents for Higher Education policy, which was recently revised, a posthumous degree may be awarded to recognize the meritorious but incomplete work of a student who is deceased, provided the student has completed at least two-thirds of the academic degree requirements. Upon the approval of the University of Oklahoma Board of Regents, the Oklahoma State Regents for Higher Education will be notified of the decision for record keeping.

President Harroz recommended the Board of Regents approve the awarding of a posthumous Bachelor of Arts degree to Joshua Maloy.

Regent Keating moved approval of the recommendation. The following voted yes on the motion: Regents Stevenson, Keating, Nagel, Ross, and Braught. The Chair declared the motion unanimously approved.

POSTHUMOUS DEGREE – APRIL CHAMBERLAIN – NC

April Chamberlain, a graduate student pursuing an Executive Master of Business Administration with the Michael F. Price College of Business, passed away on February 9, 2024. April completed 29 of the 36 credit hours and maintained an overall GPA of 3.70. She would have finished the program by the end of March 2024.

The faculty of the EMBA in Energy, the Program's Director, the Dean of the Price College of Business, and the Senior Vice President & Provost support this request to award an Executive Master's degree to April Chamberlain posthumously.

In accordance with Oklahoma State Regents for Higher Education policy, which was recently revised, a posthumous degree may be awarded to recognize the meritorious but incomplete work of a student who is deceased, provided the student has completed at least two-thirds of the academic degree requirements. Upon the approval of the University of Oklahoma Board of Regents, the Oklahoma State Regents for Higher Education will be notified of the decision for record keeping.

President Harroz recommended the Board of Regents approve the awarding of a posthumous degree to April Chamberlain.

Regent Keating moved approval of the recommendation. The following voted yes on the motion: Regents Stevenson, Keating, Nagel, Ross, and Braught. The Chair declared the motion unanimously approved.

REQUEST TO NAME THE DEPARTMENT OF PHILOSOPHY IN THE DODGE FAMILY COLLEGE OF ARTS AND SCIENCES – NC

Suhas Patwardhan is a 1971 OU graduate from the Gallogly College of Engineering (MS in Industrial Engineering). He is a graduate of the University of Pune, India and has a master of business administration degree from the University of Central Oklahoma. In 2013, after 42 years of service for CH Guernsey and Co, an engineering and architectural consulting firm based in Oklahoma City, Suhas was named the company's President and CEO.

Dr. Shyam Dev Patwardhan, Suhas' son, was a three-time graduate of the OU department of Philosophy earning his BA in 2004, his MA in 2006, and his PhD in 2013. He was a beloved figure within the department amongst his classmates and department faculty and staff. Sadly, Shyam passed away in December of 2013, just 7 months after completing his PhD. Following his death, Suhas began funding a memorial scholarship in Shyam's name in the department.

Suhas' most recent gift of \$2.4 million supports the Department of Philosophy by creating three new endowed funds focused on scholarship support for undergraduate and graduate students, providing resources for faculty, staff, and student travel, research, lectures, conferences, and awards, as well as general funds to be used to grow and support Philosophy at the direction of the department and college leadership.

President Harroz recommended the Board of Regents approve naming the Department of Philosophy in the Dodge Family College of Arts and Sciences the "Shyam Dev Patwardhan Department of Philosophy" in honor of Suhas Patwardhan's \$2.4 million gift to the department.

Regent Nagel moved approval of the recommendation. The following voted yes on the motion: Regents Stevenson, Keating, Nagel, Ross, and Braught. The Chair declared the motion unanimously approved.

SUBSTANTIVE PROGRAM CHANGES – NC

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

Program Changes
Recommended for Approval by the Graduate Council
March 2024
New Option

PRICE COLLEGE OF BUSINESSAccounting, Master of Accountancy (RPC 265, MC MTBD)

Requesting the addition of a Level IV option of Online Accounting for the Master of Accountancy in Accounting program. The non-thesis program requires a total of 51 hours with 27 hours in the core and 24 hours of electives. Total hours for the degree will change from 33 hours to 33-51 hours.

Reason for Request:

After extended discussions with the Graduate College and Financial Aid, we propose modifying the current 33 credit hour Master of Accountancy (MAcc) to add an additional option for students lacking adequate accounting backgrounds. This additional option is 51 credits total, with prior learning credit from an accredited institution granted as needed for students with some relevant accounting background from past coursework. Each student will essentially have a customized program of study to fit their specific licensure needs, taking 33-51 hours as needed depending on their educational background, but the necessary background courses are official requirements of this new option of the MAcc program. In practice, there will be no change to what we are advising/requiring students to take in terms of coursework but moving the background hours into an expanded hour degree program at the graduate level will resolve the recently emerged financial aid obstacles.

Option Name Changes**PRICE COLLEGE OF BUSINESS**Accounting, Master of Accountancy (RPC 265, MC M001)

Requesting a Level IV option name change for the Accounting option to Accounting Advanced Standing option. Total hours for the degree will be changing from 33 hours to 33-51 hours due to the addition of the new Online Accounting option.

Reason for Request:

Option name change to add Advanced Standing to the option name which will differentiate this 33 hour option from the new 51 hour Online Accounting option.

Accounting, Master of Accountancy (RPC 265, MC M002)

Requesting a Level IV option name change for the Online Accounting option to Online Accounting Advanced Standing option. Total hours for the degree will be changing from 33 hours to 33-51 hours due to the addition of the new Online Accounting option.

Reason for Request:

Option name change to add Advanced Standing to the option name which will differentiate this 33 hour option from the new 51 hour Online Accounting option.

Substantive Program Changes
Reviewed by the Academic Programs Council or Graduate Council
January/February 2024

New Programs

POLYTECHNIC INSTITUTE

Artificial Intelligence, Bachelor of Science (RPC TBD, MC BTBD)

Requesting the addition of a Bachelor of Science with a Level III program title of Artificial Intelligence. The program requires 120 hours with 57 hours in the major and 18 hours in major support.

Reason for request:

The Bachelor of Science degree in Artificial Intelligence (AI) will provide students with a deep and comprehensive understanding of AI's principles, tools, and applications. This program is structured to build a strong foundation in mathematics, computer science, and data analysis, essential for designing and implementing effective AI systems. Students will engage in learning advanced topics such as machine learning, deep learning, natural language processing, and computer vision, equipping them with the skills necessary to develop intelligent software solutions for complex, real-world problems. The program's approach combines theoretical knowledge with practical application, ensuring that graduates are well-versed in the latest AI technologies and methodologies.

In addition to technical skills, the AI program emphasizes the importance of understanding the ethical and societal impacts of AI. This aspect prepares students to approach AI development and deployment responsibly, considering the broader implications of their work. By the end of the program, graduates will not only have the technical expertise required for AI development but also the critical thinking skills to assess and address the ethical challenges in the field. This comprehensive education positions them for diverse and impactful careers in various industries, contributing to the innovative and responsible use of AI in solving some of the world's most pressing challenges.

Software Development & Integration, Bachelor of Science (RPC TBD, MC BTBD)

Requesting the addition of a Bachelor of Science with a Level III program title of Software Development & Integration. The program requires 120 hours with 57 hours in the major and 18 hours in major support.

Reason for request:

The purpose of the Software Development program is to provide comprehensive education in software development, combining theoretical knowledge and practical skills. Its aim is to prepare graduates for successful, dynamic careers in the rapidly evolving technology industry, meeting the increasing demand for skilled software developers.

The Software Development and Integration program is designed to cater to the evolving needs of the technology sector, focusing on equipping students with a broad range of skills essential for software development. The curriculum emphasizes a blend of theoretical knowledge and practical application, covering key areas such as programming, system design, and software integration. This comprehensive approach ensures that graduates are well-prepared to tackle the diverse challenges in the field of software development, from designing user-friendly applications to developing complex systems.

Additionally, the program recognizes the importance of staying current with emerging technologies and methodologies in software development. It aims to produce graduates who are not only proficient in current best practices but also adaptable to future technological advancements. This foresight is crucial in an industry characterized by rapid change and innovation. By fostering a deep understanding of both foundational principles and cutting-edge techniques, the program seeks to fulfill the industry's demand for highly skilled and versatile software developers, ready to contribute effectively in various roles within the tech industry.

Program Deletion

DODGE FAMILY COLLEGE OF ARTS AND SCIENCES

Microbiology, Bachelor of Microbiology (RPC 325, MC B691)

Requesting the deletion of the Bachelor of Microbiology program effective Summer 2024. There are 16 students currently enrolled with the last student expected to graduate in 2027. No courses will be deleted, and students will be allowed to complete the program.

Reason for request:

The School of Biological Sciences (SBS) is combining, reorganizing, and modernizing the existing undergraduate programs in Biology, Microbiology, and Plant Biology to offer a cohesive undergraduate training program in the Biological Sciences. There are two reasons that we are requesting an Inactivation for the Microbiology B.S., Professional program. First, the current program requires 129 credits for completion, and this program is not part of the SBS curriculum that will be proposed. Second, the number of current students in this program is low (16 students); thus we do not anticipate great demand from incoming students for this program.

New Certificates

MEWBOURNE COLLEGE OF EARTH AND ENERGY

Sustainable Energy Systems, Undergraduate Certificate (RPC TBD, MC TTBD)

Requesting the addition of a Certificate with a Level III program title of Sustainable Energy Systems. The certificate requires 15 hours with 6 hours of required courses and 9 hours of electives.

Reason for request:

As OU – and the world – pursues critically important advances in sustainable energy for the future, a multidisciplinary approach is essential. The sustainable energy domain is complex and dynamic; addressing it requires collaboration among many disciplines including science, technology, engineering, mathematics, architecture, business, economics, law, public policy, social sciences, humanities, history of science and energy, and others.

Our external industry partners in the energy sector have confirmed the importance of a multidisciplinary approach in developing practical, sustainable energy solutions. To illustrate industry support and advocacy for this program, over the past 9 months, seed funding of \$1.575M has been received for this program through generous donations from corporate partners and private individuals. This significant financial support received over a relatively short period of time is consistent with strong market viability for the Sustainable Energy Systems (SES) certificate program. These seed funds will be used to launch the SES program. In fact, this funding in hand guarantees support necessary to launch and operate the undergraduate SES certificate program for five years.

The multidisciplinary SES program contributes to three major objectives: 1) Providing leadership and support necessary to accelerate and expand the advances already being made in sustainable energy research and education across campus. 2) Promote a new university-level brand and portal for attracting outstanding students, faculty, and staff to the OU SES enterprise. 3) Develop multidisciplinary SES academic credentials that will attract and retain outstanding students.

GALLOGLY COLLEGE OF ENGINEERINGBioprocessing, Undergraduate Certificate (RPC TBD, MC TTBD)

Requesting the addition of a Certificate with a Level III program title of Bioprocessing. The certificate requires 15 hours with 9 hours of required courses and 6 hours of electives.

Reason for request:

This certificate was designed as an initiative under the Build Back Better Regions Challenge Grant awarded from the Federal Economic Development Administration. Ensuring that students will be trained in the area of Bioprocessing and receive hands-on training exposing students to industry grade equipment in an academic setting while providing a foundation of fundamental, knowledge and skill set.

Bioprocessing, Graduate Certificate (RPC TBD, MC GTBD)

Requesting the addition of an embedded Graduate Certificate with a Level III program title of Bioprocessing. This certificate is embedded in the M.S. in Chemical Engineering. The certificate requires 12 hours with 9 hours of required courses and 3 hours of electives.

Reason for request:

This certificate was designed as an initiative under the Build Back Better Regions Challenge Grant awarded from the Federal Economic Development Administration. Ensuring that students will be trained in the area of Bioprocessing and receive hands-on training exposing students to industry grade equipment in an academic setting while providing a foundation of fundamental, knowledge and skill set.

WEITZENHOFFER FAMILY COLLEGE OF FINE ARTS

Museum Studies, Undergraduate Certificate (RPC TBD, MC TTBD)

Requesting the addition of a new embedded Certificate with a Level III program title of Museum Studies. The certificate is embedded in the B.A. in Art History. The certificate requires 15 hours with 9 hours of required courses and 6 hours of electives. Students must also earn a minimum grade of C in each course and achieve a 2.50 GPA in the certificate coursework.

Reason for request:

The OU School of Visual Arts seeks to embed a new undergraduate certificate program in Museum Studies within its existing curriculum in Art History. This certificate would be open to any student on campus who has an interest in museums. Students who receive the certificate will be prepared for entry level positions in museums or graduate study in Museum Studies or Art History. They will gain skills, knowledge, and experience essential for professional life in the museum field.

Currently, both in Oklahoma and nationwide, the museum profession is a growth area. According to the US Bureau of Labor Statistics, it is projected to grow 10% between 2022-2032, considerably faster than job growth in general. At the same time, Oklahoma has opened several new museums, including Oklahoma Contemporary Art Center, First Americans Museum, the Woody Guthrie Center, the Bob Dylan Center. Other museums, such as the Gilcrease Museum, are expanding and redefining their missions. OU stands to be at the forefront of training people for these institutions and for meeting a national need for trained museum professionals.

Program Requirement Changes

CHRISTOPHER C. GIBBS COLLEGE OF ARCHITECTURE

Interior Design, Bachelor of Interior Design (RPC 126, MC B585)

Course requirement changes. Business and Communications elective courses removed. A HI 1113 (Core IV) will replace the Art History Elective course (meets Artistic Forms gen ed). ARCH 2343 will replace ARCH 2243 (meets Western Culture gen ed). ARCH 4563 will be added, and 3 credit hours of Professional Elective course credit removed. ID 4773 will be increased by 1 credit hour and changed to ID 4784. ID 4764 changing title to Furniture Design Build Studio. World Culture Gen. Ed. now required to also be upper division. Total credit hours for the degree will change from 125 to 120.

Reason for request:

These program modifications are in response to the University of Oklahoma Provost Office's request that all programs be 120 credit hours. Additionally, program modifications reflect the program's 2023 Council for Interior Design Accreditation results and faculty-determined plans for program improvement.

Urban Design, Master of Urban Design (RPC 338, MC M865)

Course requirement changes. The number of elective hours will increase from 8 credit hours to 9 credit hours. RCPL 5733 will be removed from Professional Electives since the course was deleted. Total credit hours for the degree will change from 32 to 33.

Reason for request:

This change is proposed to bring the program in congruence with the courses offered and the experience of our students. Currently, all courses offered for the degree, except for directed readings and special studies, are three credit hour courses. For practical purposes, nearly all our students already take 33 credit hours to complete their degree.

DODGE FAMILY COLLEGE OF ARTS AND SCIENCES

Anthropology, Doctor of Philosophy (RPC 010, MC D025-R618)

Course requirement changes to the Sociocultural & Linguistics concentrations. The major changes proposed are reducing required subfield core classes from 4 to 3. Students are now required to take either our archaeology or biological anthropology cores, but not both. We continue to require both our sociocultural and linguistic cores for students in this concentration. The revision also adds required classes in ethnographic writing (ANTH 5433), community engaged anthropology (ANTH 6223), and research design (ANTH 5543), as well as a subset of electives in a defined convergence area outside Anthropology, as approved by the committee. Students will also choose between six hours of courses in Sociocultural Anthropology or Linguistic Anthropology. Total credit hours for the degree will not change.

Reason for request:

The modifications to the required cores align the PhD with the requirements of either our general MA or our MAs in sociocultural and linguistic anthropology. None of our MAs now require courses in all four subfields.

The additional requirements for ethnographic writing and community engaged anthropology are designed to support skill development relevant to the ethnographic methodology that is central to the program, and the requirement for a convergence area outside of anthropology in elective coursework is designed to broaden career options in interdisciplinary settings.

Cellular & Behavioral Neurobiology, Doctor of Philosophy (RPC 363, MC D148)

Course requirement changes to the Exercise Physiology option. Interdisciplinary Research Core: Remove HES 6990 Independent Study. Reduce credit hours for area from 12 to 9. Exercise Physiology Core: Remove CHEM 3653 Introduction to Biochemistry and 6 graduate-level hours in PHYO or 2 BIOL courses from an approved list or two 3-hour graduate-level physiology courses as approved by doctoral advisory committee. Reduce credit hours for area from 21 to 12. Retain HES 6823 Cardiorespiratory Exercise Physiology, HES 6833 Human Body Composition, HES 6843 Neuromuscular Physiology, and HES 6883 Endocrinology and Metabolism of Exercise. Dissertation Research: Increase Research for Doctoral Dissertation from 12 to 24. Total credit hours for the degree will not change.

Reason for request:

The exercise physiology faculty wishes to increase the number of research hours required for the doctoral degree to align with other STEM areas at OU and other institutions across the country. Increasing the research hours will enhance the educational experience for doctoral students in this program and make them better prepared to pursue vocations in industry and academia. The exercise physiology faculty wishes to increase the number of research hours required for the doctoral degree to align with other STEM areas at OU and other institutions across the country. Increasing the research hours will enhance the educational experience for doctoral students in this program and make them better prepared to pursue vocations in industry and academia.

Criminal Justice, Master of Science (RPC 391, MC M260)

Program requirement change. The core courses will change from 18 credit hours to 12 credit hours to allow for more flexibility for electives. Remove CAS 5003, CRJU 5113, CRJU 5133, and CRJU 5153. Add CRJU 5073 Quantitative Research and Analysis and CRJU 5953 Demonstration Project. Change the title for CRJU 5013 from Interdisciplinary Foundations for Criminal Justice to Introduction to Criminal Justice. Remove CAS 5940 Research Project (6 hours). Change the completion option to CRJU 5953 Demonstration Project (3 hours). Electives will change from 9 hours to 18 hours. Total credit hours for the degree will change from 33 to 30.

Reason for request:

Modify degree design and update program to 30 hours. The design updates the completion option to CRJU 5953 (3 hours) instead of the current research project (6 hours).

Health and Exercise Science, Doctor of Philosophy (RPC 345, MC D500)

Course requirement changes to the Health and Exercise Science: Exercise Physiology option. Interdisciplinary Research Core: Remove HES 6990 Independent Study in Health and Exercise Science requirement. Credit hours required for this area reduced from 12 to 9. Dissertation Research: Increase "Dissertation Research" hours from 12 to 24. Extended Core for Exercise Physiology: Remove 6 hours of PHYO (OUHSC), two courses from an approved list of biology courses, two 3-hour graduate physiology courses as approved by doctoral advisory committee. Remove CHEM 3653 Introduction to Biochemistry. Courses remaining: HES 6823 Cardiorespiratory Exercise Physiology, HES 6833 Human Body Composition, HES 6843 Neuromuscular Physiology, HES 6883 Endocrinology and Metabolism of Exercise. Credit hours for this are reduced from 21 to 12. Total credit hours for the degree will not change.

Reason for request:

The exercise physiology faculty wishes to increase the number of research hours required for the doctoral degree to align with other STEM areas at OU and other institutions across the country. Increasing the research hours will enhance the educational experience for doctoral students in this program and make them better prepared to pursue vocations in industry and academia.

History, Master of Arts (RPC 118, MC M505)

Course requirement changes. Add HIST 6880 Readings and Research in Public History to the list of accepted seminars for this degree. Total credit hours for the degree will not change.

Reason for request:

HIST 6880 will be taught in Spring 2024, and the Department recognizes this course should count toward degree requirements.

History, Doctor of Philosophy (RPC 119, MC D505)

Course requirement changes. Add HIST 6880 Readings and Research in Public History to the list of accepted seminars for this degree. Total credit hours for the degree will not change.

Reason for request:

HIST 6880 will be taught in Spring 2024. The Department recognizes this as a seminar that fulfills degree requirements and should count toward the PhD.

COLLEGE OF ATMOSPHERIC AND GEOGRAPHIC SCIENCES

Environmental Sustainability, Bachelor of Arts (RPC 381, MC B408-P161, B408-P516, B408-P591)

Course requirement changes to all concentrations. In the college requirements, change the choose one gen ed science to GEOG 1114 as the requirement. Under Major Requirements: add GEOG 2021; remove GEOG 3773; change GEOG 3923 from 4 hours to 3 hours making it GEOG 3923; change the name of GEOG 4893 to Research and Professional Development; add Major Electives that require two courses (6 hours) to be chosen from list of elective courses; and change the concentration requirement from 12 hours to 9 hours, with at least 6 hours of GEOG courses. Under Major Support Requirements: change the requirement from 24 hours to 20 hours, including 6 hours of upper-division. The three concentrations are currently on separate checksheets and will be combined into one checksheet following this modification. Total credit hours for the degree will not change.

Reason for request:

The department has added new courses to help update our program for students and wants to implement these into our program.

Environmental Sustainability, Bachelor of Science (RPC 382, MC B410-P161, B410-P516, B410-P591)

Course requirement changes to all concentrations. In the college requirements, change the requirement from PHYS 2424 or 2524 gen ed science to GEOG 1114 as the requirement. Under Major Requirements: add GEOG 2021; remove GEOG 3773; change GEOG 3923 from 4 hours to 3 hours making it GEOG 3923; change the name of GEOG 4893 to Research and Professional Development; remove all the course options for the computer-related elective and add GIS 1313 as the requirement; add Major Electives that require two courses (6 hours) to be chosen from list of elective courses; and change the concentration requirement from 12 hours to 9 hours, with at least 6 hours of GEOG courses. Under Major Support Requirements: change the requirement to courses to be chosen from a list of approved courses maintained by the department. The three concentrations are currently on separate checksheets and will be combined into one checksheet following this modification. Total credit hours for the degree will not change.

Reason for request:

The department has added new courses to help update our program for students and wants to implement these into our program.

Professional Studies, Bachelor of Science (RPC 237, MC B090-P045, B090-P046, B090-P047, B090-P536).

Concentration name change for the Professional Pilot track to Professional Pilot – Airplane. Course requirement changes for all concentrations of the Aviation option. Under Major Support Requirements, add COMM 2513, SOC 3123, or MATH 4753 as statistics options for ECON 2843 or PSY 2003. Add MATH 1914 as a course substitution for MATH 1743 or MATH 1823 under Core I general education Math. Under Additional Requirements, remove requirement for 40 hours of OU coursework must be completed to receive a baccalaureate degree and a maximum of 32 hours of correspondence courses will be accepted. Under Free Electives, remove a combined maximum of five hours of physical education activity courses may be used to meet degree requirements. Elective hours will be reduced by five credit hours. Total credit hours for the degree will change from 125 to 120.

Reason for request:

Changing Professional Pilot concentration name (adding “Airplane”) to differentiate this concentration from a new Professional Pilot - Helicopter track that is being proposed. Provost directed credit hour reduction of degree requirements to a total of 120 credit hours.

JEANNINE RAINBOLT COLLEGE OF EDUCATION

Education Administration, Doctor of Education (RPC 278, MC D318-R200, D318-R333)

Program requirement changes to the Curriculum/Supervision option, Educational Leadership Online (R200) concentration and Higher Education Leadership Online (R333) concentration only. In both concentrations, change EDUC 6222 Dissertation Development & Advisory to EDUC 6223 Dissertation Development & Advisory. This increases the two online concentrations by one hour, to 22 hours for R200 and 21 hours for R333. In the Higher Education Leadership concentration R333, remove EACS 6663 and add EDAH 5173 Leadership and Administration in Student Affairs. The additional hours have changed from 3-43 to 3-42 hours due to the change in concentration hours. Total credit hours for the degree will change from 90 to 84-90.

Reason for request:

We are starting a new online EdD with two concentrations. In the higher ed. concentration, we have an inappropriate course (EACS 6663) that was approved. We need to remove this inappropriate course and add an appropriate one that will be relevant to higher education leadership (EDAH 5173).

We are changing EDUC 6222 to EDUC 6223 so it can be offered for 3 credit hours, which is necessary for the amount of work that the students will complete. This change also coheres with the 3-credit hour sequence of the program.

For D318 online concentrations ONLY, the total number of hours required will change from 90 credits to a range of 84-90. However, the in-person concentration (D317) will not change. We are making this change to the online EdD program because recruits to the online EdD program will hold master's degrees ranging from 30-36 credit hours. Lowering the minimum required credits is also a common practice among other online EdD programs at AAU universities.

WEITZENHOFFER FAMILY COLLEGE OF FINE ARTS

Art, Bachelor of Arts (RPC 398, MC B050)

Program requirement change. The Free Elective will change from 5-21 hours to 3-18 hours (secondary emphasis and electives total 33-34 hours). Total credit hours for the degree will change from 122-132 to 120.

Reason for request:

Changes requested to reduce the Minimum Total Credit Hours to 120.

Art, Bachelor of Fine Arts (RPC 268, MC B060, B063)

Program requirement changes to both the Studio Arts and Art, Technology & Culture options. Rewording the language requirement to reduce total hours. Total credit hours for the degree will change from 120-130 to 120.

Reason for request:

Changes requested to reduce the Minimum Total Credit Hours to 120.

Visual Communication, Bachelor of Fine Arts (RPC 399, MC B067)

Program requirement change. Rewording the language requirement to reduce total hours. Total credit hours for the degree will change from 120-130 to 120.

Reason for request:

Changes requested to reduce the Minimum Total Credit Hours to 120.

BOREN COLLEGE OF INTERNATIONAL STUDIES

International and Area Studies, Bachelor of Arts (RPC 018, MC B075, B420, B495, B597, B604, B605, B630, B694)

Course requirement changes for all options: An international experience will no longer be required in order for students to graduate, although it will still be strongly encouraged.

Department maintained course lists have been updated.

Changes for the Asian Studies Option: Removing Category II Asian Studies Gateway, IAS 2101. Free electives have been adjusted so total hours will stay the same. Major hours will be adjusted from 31 to 30 hours. Of the required 30 hours, 12 (instead of 13) hours must be taken in the Department of International and Area Studies.

Changes for the European Studies Option: IAS 3243 (listed as an option under Category II. Foundations in European Studies) is no longer a current course and has been deleted from the course inventory. For the Russian & East European Studies concentration, IAS 3273 European Union will replace IAS 3243.

Changes for the Global Energy, Environment, and Resources Option, International Development Option, International Studies Option: Students will no longer be required to have four semesters of a foreign language. Foreign language hours will be reduced to three semesters and therefore match the language requirement for College of Arts & Sciences majors.

Changes for the International Security Studies Option: Students will no longer be required to have four semesters of a foreign language. Foreign language hours will be reduced to three semesters and therefore match the language requirement for College of Arts & Sciences majors. International Security Studies majors may study any approved foreign language as part of their major support requirements and are not limited to only strategic languages as previously stated on the degree check sheets.

Total credit hours for the degree will not change.

Reason for request:

Removing the international experience requirement will make our programs more accessible to students and less burdensome financially.

Updating the check sheet and program of study to reflect the international experience requirement change and the removal of IAS 2101 and IAS 3243 from the course inventory. IAS 3273 was added to the major for European Studies: Russian & East European Studies concentration.

Removing a semester of language study (from four to three) will match the language requirement for College of Arts & Sciences majors and will benefit many of the double majors who do not want to continue past the third semester.

GAYLORD COLLEGE OF JOURNALISM AND MASS COMMUNICATION

Journalism, Bachelor of Arts (RPC 137, MC B610, B795, B815)

Program requirement changes for all options: Remove current admission requirements since students will be admitted directly to the college in 2024. The current admission requirements have been revised to become the College retention requirements. Lower the Retention GPA for

all Freshmen or Transfer students from 2.75 to 2.50 GPA. Transfer students must have a 2.50 combined retention GPA for admission. Remove the College requirement of "at least 65 of these hours must be in liberal arts and sciences courses". Free electives were removed to reduce total hours.

Course requirement changes for the Journalism option: In Major Requirements, remove "Choose two of the following" and its list of choices, JMC Skill Streams and associated course lists, and JMC 3003. Reduce electives down to 6 hours, from a list maintained by the department. Add the following requirement: Choose 5 of these 6 courses (5 hours): JMC 1031, JMC 1041, JMC 1051, JMC 1061, JMC 1071, or JMC 1081. Intermediate Courses (15 hours): JMC 3013 (changing name to Intermediate Cross-Platform Reporting), JMC 3663 Visual Reporting (name change), JMC 3683 Digital Reporting (name change), JMC 4013 Essential Reporting (name change), JMC 4833 (retained from previous requirements). Advanced Courses (12 hours): JMC 4033, JMC 4183 Adv. Cross-Platform Reporting (name change), JMC 4803 and JMC 4863 retained from previous requirements. Add Practicum (1 credit), chosen from JMC 3011 rotating offerings.

Total credit hours for the degree will change from 124 to 120.

Reason for request:

Lower total degree hours to 120 and update admission/transfer GPA to allow students to enter and graduate within the 4-year goal. Changes to the Journalism option curriculum addressed four core needs the college heard during discussing with news leaders: 1) Provide a set of foundational courses hyper-targeted on specific news gathering and conceptual skills. 2) Remodel courses previously designed to fit one stream (broadcast, print or online) to be cross-platform reporting courses. 3) Replace the skill streams with levels that progress from foundational level to intermediate level to advanced level courses. 4) Allows students the freedom to choose elective courses that fit their professional aspirations rather than a legacy media stream.

Journalism Advertising, Bachelor of Arts (RPC 134, MC B006)

Program requirement changes. Remove current admission requirements since students will be admitted directly to the college in 2024. The current admission requirements have been revised to become the College retention requirements. Lower the Retention GPA for all Freshmen or Transfer students from 2.75 to 2.50 GPA. Transfer students must have a 2.50 combined retention GPA for admission. Remove the College requirement of "at least 65 of these hours must be in liberal arts and sciences courses". Free electives were removed to reduce total hours. Total credit hours for the degree will change from 124 to 120.

Reason for request:

Lower total degree hours to 120 and update admission/transfer GPA to allow students to enter and graduate within the 4-year goal.

Creative Media Production, Bachelor of Arts (RPC 135, MC B256)

Program requirement changes. Remove current admission requirements since students will be admitted directly to the college in 2024. The current admission requirements have been revised to become the College retention requirements. Lower the Retention GPA for all Freshmen or Transfer students from 2.75 to 2.50 GPA. Transfer students must have a 2.50 combined retention GPA for admission. Remove the College requirement of "at least 65 of these hours must be in liberal arts and sciences courses". Free electives were removed to reduce total hours. Total credit hours for the degree will change from 124 to 120.

Reason for request:

Lower total degree hours to 120 and update admission/transfer GPA to allow students to enter and graduate within the 4-year goal.

Concentration Addition

COLLEGE OF ATMOSPHERIC AND GEOGRAPHIC SCIENCES

Professional Studies, Bachelor of Science (RPC 237, MC B090-PTBD).

Addition of a Level V concentration to the Aviation option: Professional Pilot – Helicopter track. The program is 120 total hours with 40 hours in the major and 30 hours of major support.

Reason for request:

Outside of providing a well-rounded education, the program aims to provide students with comprehensive flight training to develop the necessary skills and knowledge to become proficient helicopter pilots and feed the industry need for pilots. Ensuring safety is a top priority. The objective is to instill a strong safety mindset and teach students the necessary safety procedures and protocols. The program will also focus on teaching students the theoretical aspects of aviation, including aerodynamics, aviation regulations, meteorology, navigation, and aircraft systems. Developing students' skills in various flight maneuvers, including takeoffs, landings, hover, autorotation, and emergency procedures is also a priority. We aim to enhance students' decision-making abilities and situational awareness, enabling them to make sound judgments in various flight scenarios. The new helicopter major will emphasize professionalism and effective communication skills, preparing students to work in a professional aviation environment. The goal is degree completion while preparing students for the necessary licensing and certification required to become commercial helicopter pilots, such as obtaining a private pilot license (PPL) and commercial pilot license (CPL).

Concentration Deletion

DODGE FAMILY COLLEGE OF ARTS AND SCIENCES

Plant Biology, Bachelor of Science (RPC 021, MC B787-P061)

Delete the Biotechnology concentration of the B.S. in Plant Biology effective Summer 2024. There are 2 students currently enrolled with the last student expected to graduate in 2025. No courses will be deleted and students will be allowed to complete the program.

Reason for request:

Delete the Biotechnology concentration in the B.S. in Plant Biology program. The School of Biological Sciences (SBS) is combining, reorganizing, and modernizing the existing undergraduate programs in Biology, Microbiology, and Plant Biology to offer a cohesive undergraduate training program in the Biological Sciences. There are two reasons that we are requesting an Inactivation for the Biotechnology concentration in Plant Biology B.S. First, the current concentration requires 122 credits for completion, and this will not be part of the SBS curriculum that will be proposed. Second, the number of current students in this concentration is low (2 students), thus we do not anticipate great demand from incoming students for this concentration.

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

Regent Stevenson moved approval of the recommendation. The following voted yes on the motion: Regents Stevenson, Keating, Nagel, Ross, and Braught. The Chair declared the motion unanimously approved.

RESTRUCTURE UNIVERSITY COLLEGE AS THE ACADEMIC SUCCESS CENTER – NC

Since its founding in 1942, University College has served as the initial academic home for freshmen and transfer students.

Starting in Fall 2024, incoming students will no longer enter University College, but instead, the College of their chosen major. Allowing students who are ready to immediately pursue their intended major has several distinct advantages for a more fulfilling college experience. Early declaration provides opportunities for mentorship, networking, and engagement, as students can more quickly form connections with faculty and peers who share similar interests. Peer universities that place their first-year students in colleges observe improved retention and graduation rates, which is a key goal of our “Lead On” Strategic Plan.

Under this new model, all current operations in University College, such as the Center for Major and Career Exploration, the Center for Student Advancement, and the Student Learning Center will continue under the Provost’s Office as the Academic Success Center. Supporting our students as they make the transition into college and build a foundation for their educational pursuits remains the highest priority of this new model.

President Harroz recommended the Board of Regents approve the recommendation to restructure University College as the Academic Success Center, effective July 1, 2024.

Regent Keating moved approval of the recommendation. The following voted yes on the motion: Regents Stevenson, Keating, Nagel, Ross, and Braught. The Chair declared the motion unanimously approved.

LANDSCAPE ARCHITECTURE CONTINUANCE – NC

The Master of Landscape Architecture program is a small program within the Christopher C. Gibbs College of Architecture. In accordance with Norman Campus Faculty Handbook Program Discontinuance policy 5.37.4, Provost Wright formed the Landscape Architecture Discontinuance Taskforce (LADT) to evaluate whether to invest the resources needed to grow the program or to discontinue it and invest in other areas in the College.

After completing the steps prescribed in the policy, the LADT sent forward the recommendation that the Master of Landscape Architecture program remain active at the University. Provost Wright accepted the committee’s recommendation on the condition that to remain active the program must achieve an enrollment target of 40 students by September 8, 2025.

The final step in the procedures of the Program Discontinuance policy is to send the recommendation forward to the OU Board of Regents for final action.

President Harroz recommended the Board of Regents approve the continuation of the Master of Landscape Architecture program, provided it achieves the target of 40 enrollments by September 8, 2025.

Regent Nagel moved approval of the recommendation. The following voted yes on the motion: Regents Stevenson, Keating, Nagel, Ross, and Braught. The Chair declared the motion unanimously approved.

NEW MICROCREDENTIAL IN INTERDISCIPLINARY TRAINING AND EDUCATION, GRADUATE COLLEGE – HSC

The Oklahoma State Regents for Higher Education require that instructional programs obtain approval for the awarding of microcredentials. This proposal ensures compliance with established Oklahoma State Regents for Higher Education Policy. The proposed action is herein submitted for Regents approval to create a new Microcredential in Interdisciplinary Training and Education for eligible students, trainees and postdoctoral fellows to accomplish the following:

- The Microcredential in Interdisciplinary Training and Education (MITE) will equate to 4 Interprofessional Education (IPE) hours. These 4 IPE hours can be met by any combination of attendance and portfolio submission as outlined below for the Career and Professional Development Workshops and Seminar Series and participation as a presenter at the annual Graduate Research Education and Technology (GREAT) Symposium.
- OUHSC students, trainees, and postdoctoral fellows can earn a minimum of 2 IPE hours and a maximum of 4 IPE hours for attendance and participation in the Career and Professional Development Workshops and Seminar Series. This equates to 2 seminars or workshops per academic year for 2 IPE hours or 4 seminars or workshops for 4 IPE hours. Participation will be assessed on the portfolio submission which will include the stated portfolio components.
- The monthly Career and Professional Development Workshops and Seminar Series are offered throughout the academic year. Workshops often feature outside speakers and the Seminar Series features numerous focus areas to facilitate the development of a comprehensive skill set. These seminars and workshops are open to all health sciences students and postdoctoral research fellows from all disciplines and colleges at OUHSC. To earn the microcredential, students or postdoctoral trainees must, in addition to attendance, submit to the Graduate College a portfolio that includes at least three of the following:
 - Curriculum Vitae or NIH-style Biosketch or resume
 - A presentation abstract prepared for a local, regional or national conference on an area of their specialization or career focus
 - A pitch deck of slides prepared for a funding or sponsor presentation
 - A draft research-based manuscript or draft grant application
 - Evidence of a leadership role in a peer professional area
- The annual GREAT Symposium which provides students and trainees the opportunity to present their research and gain experience communicating its importance to both specialized and general audiences. Students, trainees, and postdocs can earn a minimum of 2 IPE hours and a maximum of 4 IPE hours as a presenter in GREAT competitive sessions or the GREAT debate. Presenting in a single GREAT competition equates to 2 IPE hours, participation in 2 competitive events equates to 4 IPE hours. Options to compete include the following:
 - Oral presentation competition (2 IPE hours),
 - Poster presentation competition (2 IPE Hours)
 - the 3-minute Flash Talk Competition, (2 IPE hours)
 - GREAT Debate (2 IPE Hours)

- Students and trainees must meet the requirements for participation in competitive GREAT symposium events including registration, abstract submission and mentor approval for presentations, participation in Flash talk preliminary rounds and Final competition if selected and attendance at all preparatory sessions for the GREAT debate as well as the mock and final GREAT debate to qualify.

President Harroz recommended the Board of Regents approve the creation of a new Microcredential in Interdisciplinary Training and Education (MITE) sponsored by the Graduate College for eligible students, postdoctoral fellows, and trainees.

Regent Ross moved approval of the recommendation. The following voted yes on the motion: Regents Stevenson, Keating, Nagel, Ross, and Braught. The Chair declared the motion unanimously approved.

NEW PROGRAM - MASTER OF PUBLIC HEALTH, EXECUTIVE MASTERS DEGREE, HUDSON COLLEGE OF PUBLIC HEALTH – HSC

The Oklahoma State Regents for Higher Education (OSRHE) require new instructional programs obtain review and approval through a Letter of Intent step as the first assessment to ensure compliance with established OSRHE Policy. The proposed action is herein submitted for Regents' approval. The recommendation to create a new degree program in Public Health at the Hudson College of Public Health is made to accomplish the following:

- Creating a new Executive Master's degree in Healthcare Administration within the Hudson College of Public Health (HCPH) will provide an online program offering designed specifically to meet the evolving needs of the healthcare industry.
 - The program will be administered by the Department of Health Administration and Policy in the HCPH. The Executive MHA (eMHA) is unique; it will be the only online MHA program in Oklahoma offered by a Council on Education for Public Health (CEPH) accredited public health college, and it will be associated with the only Commission on Accreditation of Healthcare Management (CAHME) accredited MHA program in Oklahoma.
 - The only similar offering in the state is the Oklahoma State University Master of Health Administration, which does not offer enough credit hours to be eligible for CAHME accreditation.
 - The OSU MHA program is not accredited; the HCPH has not offered to collaborate with OSU to jointly offer a program because HCPH accreditation could be affected.
 - Admission criteria for the eMHA will require applicants to demonstrate at least three years of work experience. The program will focus on executive-level skills and will incorporate oral presentations into the competency-based curriculum.
 - As a program focused on attracting learners with experience in the workforce, or currently positioned for career advancement through earning an additional credential of high competence through an accredited program, the eMHA will require fewer credit hours of coursework, which further differentiates it from the HCPH in-person MHA degree option.

President Harroz recommended the Board of Regents approves the following new program for a Master of Public Health, Executive Master of Healthcare Administration at the Hudson College of Public Health and initiates the Letter of Intent process which is required by the Oklahoma State Regents for Higher Education to create a new degree program.

Regent Nagel moved approval of the recommendation. The following voted yes on the motion: Regents Stevenson, Keating, Nagel, Ross, and Braught. The Chair declared the motion unanimously approved.

PROGRAM MODIFICATION - MASTER OF HEALTH SCIENCES, PHYSICIAN ASSISTANT STUDIES, SCHOOL OF COMMUNITY MEDICINE -TULSA

The Oklahoma State Regents for Higher Education require that instructional programs obtain approval for modification to existing programs. The modification ensures compliance with established Oklahoma State Regents for Higher Education Policy 3.4.3. The proposed action is herein submitted for Regents approval. These recommendations for changes to the MHS-PA program at SCM-Tulsa are made to accomplish the following:

- The SCM-Tulsa Physician Assistant Program is the only PA program in the State of Oklahoma requiring the Graduate Record Examination (GRE). This requirement potentially places the program at a recruiting disadvantage for applicants. Additional considerations include:
 - There are no data showing that GRE performance correlates with academic program success in the SCM-Tulsa MHS-PA program.
 - The cost of the GRE can potentially create a financial hardship for applicants to the MHS-PA program.
- The MHS-PA program will update course titles and make needed revisions to allow an earlier start to the clinical phase of student education and to align more closely with opportunities for longitudinal electives and other clinical experiences. The courses being updated/revised or retitled are:
 - PAT 7880 Internal Medicine/Geriatrics Rotation to Internal Medicine Clerkship
 - PAT 7940 Pediatrics Rotation to Pediatric Clerkship
 - PAT 7930 Obstetrics and Gynecology Rotation to Obstetrics and Gynecology Clerkship
 - PAT 7970 Mental Health Rotation to Psychiatry Clerkship
 - PAT 7960 Primary Care Rotation I to Family Medicine Clerkship
 - PAT 7917 Surgery Rotation to Surgery Clerkship
 - PAT 7990 Primary Care Rotation II to Primary Care Rotation
 - PAT 7603 Advanced Clinical I to Health Systems Science in Practice I
 - PAT 7613 Advanced Clinical II to Health Systems Science in Practice II
 - Revise PAT 7620 Advanced Clinical III to Advanced Clinical Seminar
 - Drop PAT 7632 Advanced Clinical IV: content will be incorporated into Advanced Clinical Seminar course noted above with the course extending across two semesters (July to program completion in November)

These updates will not change the total credit hours required for completion of the program.

President Harroz recommended the Board of Regents approves the following modifications to the Master of Health Sciences, Physician Assistant Studies program at the School of Community Medicine-Tulsa (SCM-Tulsa):

- I. Remove the requirement for submission of a Graduate Record Examination (GRE) score as part of the application to the Master of Health Sciences Physician Assistant Studies (MHS-PA) program – SCM-Tulsa, effective with the application cycle opening June 1, 2024, to admit the class of 2027; and
- II. Approve course title changes and updates as needed for the MHS-PA program to align more clearly with the curriculum and clinical education schedules of the SCM-Tulsa.

Regent Nagel moved approval of the recommendation. The following voted yes on the motion: Regents Stevenson, Keating, Nagel, Ross, and Braught. The Chair declared the motion unanimously approved.

PROGRAM MODIFICATION - MASTER OF PUBLIC HEALTH, COMMUNITY AND POPULATION HEALTH, HUDSON COLLEGE OF PUBLIC HEALTH – HSC

The Oklahoma State Regents for Higher Education require that instructional programs obtain approval for modification to existing programs. The modification ensures compliance with established Oklahoma State Regents for Higher Education Policy. The proposed action is herein submitted for Regents approval to reduce the total credit hours required for the Master of Public Health program option in Community and Population Health at the Hudson College of Public Health to accomplish the following:

As a Council on Education in Public Health (CEPH) accredited school, the Hudson College of Public Health is seeking a reduction in credit hours for the Community and Population Health option after conferring with CEPH. The College confirmed that 42 credit hours meets the CEPH accreditation requirements for credit hours for the degree.

Reducing the total number of credit hours required for the Master of Public Health, Community and Population Health (MPH-CPH), will allow the program to remain a top-choice for applicants by enabling students to complete the degree with 42 credit hours. This matches the number of total credit hours required to obtain the MPH degree offered at other Oklahoma institutions, including those that are not currently CEPH accredited.

The total credit hours for the MPH-CPH will be reduced by only three elective credit hours; no required courses will be affected.

President Harroz recommended the Board of Regents approves the following modification to the Master of Public Health program options at the Hudson College of Public Health: to reduce the total number of credit hours required for the Master of Public Health, Community and Population Health option from 45 credit hours to 42 credit hours

Regent Nagel moved approval of the recommendation. The following voted yes on the motion: Regents Stevenson, Keating, Nagel, Ross, and Braught. The Chair declared the motion unanimously approved.

PROGRAM MODIFICATION - MASTER OF PUBLIC HEALTH, HEALTH ADMINISTRATION AND POLICY ONLINE OPTION, HUDSON COLLEGE OF PUBLIC HEALTH – HSC

The Oklahoma State Regents for Higher Education require that instructional programs obtain approval for modification to existing programs. There is no change to the total credit hours required for degree completion. The modification ensures compliance with established Oklahoma State Regents for Higher Education Policy. The proposal to offer the Master of Public Health, Health Administration and Policy option through online delivery or a computer mediated format will provide additional flexibility for non-traditional learners and learners who do not have the capacity or flexibility to attend in-person classes.

President Harroz recommended the Board of Regents approve the following modification to the Master of Public Health program options at the Hudson College of Public Health: to offer the Master of Public Health, Health Administration and Policy option through online delivery or a computer mediated format.

Regent Nagel moved approval of the recommendation. The following voted yes on the motion: Regents Stevenson, Keating, Nagel, Ross, and Braught. The Chair declared the motion unanimously approved.

PROGRAM MODIFICATION FOR THE MASTER OF SCIENCE, GENETIC COUNSELING, GRADUATE COLLEGE – HSC

The Oklahoma State Regents for Higher Education require that instructional programs obtain approval for modification to existing programs. The modification ensures compliance with established Oklahoma State Regents for Higher Education Policy. The action is herein submitted for Regents approval to reinstate the Master of Science in Genetic Counseling at the Graduate College to address the following:

- The Genetic Counseling program was formally suspended from accepting new students due to financial difficulties and the unanticipated loss of the previous program director.
- A new program director was selected and is leading the program. Current students are advancing toward completing the program. Reinstatement will permit new applicants interested in applying to enter the program during 2024.
- The Master of Science in Genetic Counseling is the only such program in Oklahoma.
- The financial difficulties the program was experiencing that contributed to the request to suspend the program have been rectified. This enables the program to provide the necessary support for students who are continuing in the program and for new qualified applicants to enter the program.

No other changes to the Genetic Counseling program were proposed at the time the program was formally suspended, and nothing further is required for reinstatement following OU Regents' approval.

President Harroz recommended the Board of Regents approve a program modification to the Master of Science, Genetic Counseling, to end the program suspension and reinstate the Master of Science in Genetic Counseling at the Graduate College during the current academic year.

Regent Nagel moved approval of the recommendation. The following voted yes on the motion: Regents Stevenson, Keating, Nagel, Ross, and Braught. The Chair declared the motion unanimously approved.

BOARD OF REGENTS POLICY — 5.1.2.1– FACULTY APPOINTMENTS – NC

The proposed change to Regents' Policy 5.1.2.1 Section VI(A), attached hereto as Exhibit G, clarifies the term ranked (assistant, associate, and professor) renewable term faculty on the Norman campus and split appointments. In addition, the Norman Faculty Welfare Committee suggested removing the prohibition on voice and vote for non-regular faculty as it conflicts with department level policies on campus.

President Harroz recommended the Board of Regents approve revisions to Regents' Policy 5.1.2.1 Section VI (A) to clarify the limitation on ranked renewable faculty and split appointments and to remove the prohibition on voice and vote for non-regular appointees.

Regent Keating moved approval of the recommendation. The following voted yes on the motion: Regents Stevenson, Keating, Nagel, Ross, and Braught. The Chair declared the motion unanimously approved.

FACULTY GRIEVANCE AND DISCIPLINE POLICIES – ALL CAMPUSES

All tenured faculty (and some term faculty) have legally enforceable rights in their continued employment. Those rights are protected by the due process procedures afforded by the current policies of each institution. The policies are intended to provide a faculty member with sufficient notice and opportunity to be heard by a panel of peer faculty prior to disciplinary action. In recent years, however, faculty and University administration have complained that the existing processes on the Norman Campus are inefficient, overly legalistic, and incentivize abuse of the process.

The Faculty Rights Assurance Committee ("FRAC") on the Norman Campus is responsible for making recommendations for policy improvements on the Norman Campus. The Office of Legal Counsel ("OLC") has worked with the FRAC to streamline the faculty grievance and faculty discipline policies. The Norman Campus policies were overwhelmingly approved by the Norman Campus Faculty Senate at its February 12, 2024, meeting.

The proposed policies will replace policy 2.3.5 in the Regents' Policy Manual, now numbered as Policy 5.1.4.2 on PolicyTech. The proposed policies will replace the following policies in the Norman Campus Faculty Handbook: 3.8, 3.8.1, 3.8.2, 3.8.3, 3.9, 3.9.1, and Appendix E, currently numbered as 5.1.4.1, 5.1.4.2, 5.1.4.3, and 5.1.4.4 in PolicyTech. The proposed policies are attached hereto as Exhibit H for review and approval.

Significant changes to the policies are summarized below:

- Delegation of Authority: Currently, all severe sanctions require Board of Regents approval, often leading to delays. Under the proposed policies, abrogation of tenure and termination of employment will continue to require Board approval. However, authority to impose other severe sanctions will be delegated to senior University administrators.

- Non-Disciplinary Terminations: The proposed policies update the grounds for severe sanctions and create a new category called “non-disciplinary termination(s).” In particular, the proposed policies remove “violations of the law to which a faculty member has pleaded guilty or nolo contendere...that prevents the faculty member from satisfactorily fulfilling professional duties or responsibilities” and “loss of professional licensure or credentials customary to the faculty member’s discipline or profession” from the list of sanctions. Instead, faculty members who lose required credentials or who have relevant criminal convictions will receive immediate, non-disciplinary terminations. Non-disciplinary terminations of faculty members who are no longer qualified to perform the functions of their job are subject to appeal on limited grounds. Other grounds for non-disciplinary termination include long-term changes in worksite outside of a mutually agreed upon remote work arrangement and an inability to perform the essential functions of the position with or without accommodations.
- Minor Sanctions: The proposed policies create a new category of minor sanctions. Minor sanctions include, but are not limited to, suspension of public-facing assignments, suspension of travel privileges for not more than thirty (30) days, and/or restitution to the University. Minor sanctions can be imposed by the chair of the academic unit with approval from the applicable college dean and can be appealed to the Senior Vice President and Provost.
- Leave Without Pay: The current policies allow faculty members to receive full pay even when they may be suspended from their jobs. Under the proposed revisions, a faculty member may be placed on leave without pay once the University has demonstrated to a faculty pre-hearing committee that a matter merits a full hearing.
- Faculty Appeals Board: The proposed policies change the composition of the Faculty Appeals Board from fifty (50) faculty members to forty (40) faculty members with ten (10) alternates. The policy specifies that vacancies should not delay Faculty Appeals Board proceedings as long as the Faculty Appeals Board has at least thirty (30) active members. The policy further clarifies that members of the Faculty Appeals Board who have already been assigned to a Hearing Committee must continue to serve on that committee even if their term expires.
- Inefficiency: To reduce clerical and scheduling inefficiencies, timelines will be pared down throughout the revised policy to ensure a timely hearing process while maintaining the rights of the affected parties. The hearing panel will be drawn by chance from a pool of eligible faculty, rather than selected by the parties. Selected panelists will be expected to prioritize service on the panel, and alternates will be available in the event of scheduling difficulties or conflicts. In addition, a flowchart outlining the process will be added as a visual aid to the parties and the applicable board or committee. Finally, the Provost will be granted authority to set a hearing date if the applicable board or committee fails to do so.
- Interaction between Institutional Equity Policies: The current policies contain inconsistencies with other policies regarding jurisdiction over violations of the Non-Discrimination Policy, the Sexual Misconduct, Discrimination, and Harassment Policy, and/or the Consensual Sexual Relationships Policy. The proposed policies clarify that the policies and procedures of the Institutional Equity Office govern those investigations and adjudications.

President Harroz recommended the Board of Regents:

- I. Approve a Board Policy for Minor and Severe Sanctions, incorporating by reference the Norman and HSC campus's respective faculty discipline policies;
- II. Approve the Faculty Appeals Board Policy for the Norman Campus; and
- III. Approve the Minor and Severe Sanctions Policy and their associated procedures for the Norman Campus.

Regent Keating moved approval of the recommendation. The following voted yes on the motion: Regents Stevenson, Keating, Nagel, Ross, and Braught. The Chair declared the motion unanimously approved.

RESCINDING REGENTS' POLICY 9.2.1.2, OVERSIGHT, NOTIFICATION AND REVIEW OF ALLEGED HEALTHCARE PROFESSIONAL MISCONDUCT – HSC

On October 23, 2019, the Board of Regents adopted Policy 3.11, now known as Policy 9.2.1.2, Oversight, Notification, and Review of Alleged Healthcare Provider Misconduct, attached hereto as Exhibit I for reference. The policy was intended to add an additional layer of protection to students, employees, patients, and their guests by ensuring that University leadership was timely notified of potential healthcare provider misconduct. Subsequently, the University transferred operations of its largest clinical practice, OU Physicians, to OU Health. Based upon a review of the University's remaining clinical practices and current policies, including the Sexual Misconduct, Discrimination, and Harassment policy and the OU Physicians Tulsa Disruptive or Impaired Healthcare Professional or Staff policy, Policy 9.2.1.2 is no longer necessary.

President Harroz recommended the Board of Regents rescind Policy 9.2.1.2, Oversight, Notification, and Review of Alleged Healthcare Provider Misconduct.

Regent Keating moved approval of the recommendation. The following voted yes on the motion: Regents Stevenson, Keating, Nagel, Ross, and Braught. The Chair declared the motion unanimously approved.

REVISIONS TO THE FACULTY HANDBOOK – HSC

Historically, the Office of the Senior Vice President and Provost has conducted a complete review and update of its Faculty Handbook ("Handbook") every four to five years. The most recent update was delayed due to the pandemic and related priorities. For this revision, each policy was sent to the responsible office(s) or subject matter expert(s) for review and revision to reflect current practices. The Handbook review committee, chaired by the Vice Provost for Health Sciences Administration and including representatives from Human Resources, Academic Affairs, the Faculty Senate, and the Office of Legal Counsel, then reviewed each of the suggested revisions. The committee met over the course of several months to review, incorporate, and disseminate the revisions to other stakeholders, including the Faculty Senate Executive Committee, the Faculty Senate membership, and the Senior Vice President and Provost. The recommended revisions in most cases were made to clarify procedures or to bring policy in line with current practices.

Additions are noted by underline and deletions by strike-through. Green text indicates texts that is moved to or from another section of the Handbook. Brief descriptions of the most significant changes to sections are noted below, with the complete Faculty Handbook, as revised, attached hereto as Exhibit J for review and approval.

The Board of Regents Policy 5.1.2.1 Section VI (B) Faculty Appointments has been revised to reflect the changes made to the Handbook and is attached hereto as Exhibit J for review and approval.

SECTION 3 FACULTY PERSONNEL POLICIES AND GENERAL INFORMATION

- *Sections 3.1.1-3.1.8:* Clarify definitions of the regular faculty and faculty appointment types.
- *Sections 3.1.2, 3.1.3:* Provide that limited term appointments may be terminated immediately if the limited term faculty member is recommended for termination due to poor clinical performance, unprofessional behavior or conduct that jeopardizes patient safety; for dual employees who no longer hold OUH/approved external entity appointments; or for faculty who have admitted to or been found responsible by the Deciding Official for violations of the Ethics in Research policy.
- *Section 3.5.1:* Adds online instruction, laboratory, and simulation-based instruction to the teaching modalities.
- *Section 3.5.2:* Addresses the use of Artificial Intelligence in scholarly activity.
- *Section 3.16(e):* Adds that the Provost may impose discipline for failure to adhere to OUH Policies for dual-employed/appointed OU employees.
- *Section 3.16.1:* Revises the grounds for tenure abrogation, termination, or severe sanctions to remove "substantial, manifest, or repeated failure to, and/or refusal to fulfill professional duties and responsibilities," adding admission of responsibility for violations of Ethics in Research Policy or determination by the DO of responsibility for violations. Expands the bases upon which a faculty member may be immediately terminated.

SECTION 4 STUDENT POLICIES AND SERVICES

- *Section 4.13:* Revises Resident Status section to reflect Oklahoma State Regents' policy.
- *Section 4.15:* Clarifies tuition waiver rules for graduate assistants.
- *Section 4.19(c):* Adds use of AI resources as grounds for academic misconduct for students.
- *Section 4.23:* Adds compliance with Intellectual Property policy as a condition of employment.

SECTION 5 GENERAL POLICIES AND SERVICES

- *Section 5.27:* Adds anonymous reporting and fraud risk assessments to Fraud Prevention policy.
- *Sections 5.27, 5.28:* Adds IT Policy and International Travel Registration and Review policy.

SECTION 6 BENEFITS

- *Sections 6.2, 6.3, 6.4:* Revise references to retirement, PTO, and ESL to reflect current information.
- *Section 6.4.10:* Expands Breastfeeding Support policy.

SECTION 8 RESEARCH

- *Section 8.5:* Clarifies department chair authority to use department share as incentive payment to research faculty.

- *Section 8.8.2:* Adds Base Salary Calculations for Dually Employed OUHSC and OUH Clinical Faculty.
- *Section 8.9:* Revises Facilities and Administrative Costs Policy for Externally Funded Projects.
- *Section 8.10:* Revises Policy Regarding Facilities and Administrative Costs on Clinical Trials.
- *Section 8.13:* Adds back SBIR/STTR Programs policy.

APPENDIX A CHARTER OF THE REGULAR FACULTY AND THE FACULTY SENATE – HEALTH SCIENCES CENTER

- *Section 10.3.1:* Redefines regular faculty as general faculty, subject to the Faculty Handbook definition.
- *Section 10.12:* Changes the approval needed to amend the charter from BOR approval to 2/3 vote of the Faculty Senate, consistent with the Norman Campus Faculty Senate charter.

APPENDIX B CHARTER OF THE GRADUATE FACULTY AND THE GRADUATE COUNCIL

- *Section 11.11:* Moves the approval needed to amend the charter from the President to the Provost, following a 2/3rds vote of the Graduate Faculty in support of the amendment.

APPENDIX C STUDENT ACADEMIC POLICIES

1. *C-1:* Academic Appeals Policy and Procedures
 - *Section 12,* Replaces "prejudiced" with "biased," defining bias as unreasoned or unfair judgment against a person.
2. *C-2,* Academic Misconduct Policy
 - *Section 12.1(C)* Adds that the use of unpermitted and/or unattributed use of AI tools is academic misconduct.
 - *Section 12.7:* Adds online courses to the scope of this policy.
3. *C-3,* Student Professional Behavior
 - *Sections B(1) and (B)(2):* Add simulations and community sites to the scope of the policy.
 - *Section C(6):* Adds failure to demonstrate professional behavior with patients and families as an example of unacceptable ethical and professional behavior.
 - *Section C(12):* Replaces "lack of respect for cultural diversity" to "inappropriate interpersonal interactions with respect to the protected classes as recognized by the University."

APPENDIX F: FINANCIAL EMERGENCY POLICY

- *Section 15.2.3 (a)(3)(b):* Clarifies the notice period for terminating tenured faculty members and that abrogation proceedings do not apply in a financial emergency.

APPENDIX O: OVERSIGHT, NOTIFICATION, AND REVIEW OF THE ALLEGED HEALTH CARE PROFESSIONAL MISCONDUCT POLICY AND PROTOCOL- to be rescinded per an item included on this agenda, subject to Board of Regents' approval.

APPENDIX P: ETHICS IN RESEARCH

- *Sections 25(b), 25(c), 25(d)*: Add to general definitions, the definition of scholarly misconduct, and evidentiary standards.
- *Section 25(e)(1)*: Clarifies that the RIO will assess whether allegations are specific and credible so that evidence of scholarly misconduct can be identified and determined whether those allegations meet the definition of scholarly misconduct, consistent with the governing federal regulations.
- *Section 25(e)(2)*: Clarifies that sequestration shall occur prior to notifying the respondent or beginning an inquiry, whichever is earlier, consistent with the governing federal regulations.
- *Section 25(e)(5)(m)*: Clarifies that the Provost is the Deciding Official (DO) for HSC.

President Harroz recommended the Board of Regents adopt the revisions to the Health Sciences Center Faculty Handbook and Board of Regents Policy 5.1.2.1 Section VI(B) Faculty Appointments as proposed.

Regent Ross moved approval of the recommendation. The following voted yes on the motion: Regents Stevenson, Keating, Nagel, Ross, and Braught. The Chair declared the motion unanimously approved.

HOUSING AND FOOD SERVICE RATES FOR 2024/2025 – ALL

Housing and Food Services provides safe, high quality, and affordable housing and food services for students while consistently holding a competitive ranking within the SEC in terms of cost and student satisfaction.

Proposed rates are listed below by facility, room type, and meal plan. A thorough review was conducted of all our room types, amenities, and inflationary costs. The result of that review is listed in the requested rates below. An additional study was done on the current apartment style living market in Norman. Based on that study, contract terms are being extended to a 10-month contract rather than a 9-month contract. Contracts will start August 1st and end May 31st.

Housing Complex	Current Rates FY24	Proposed Increase	New Rates FY25	Avail Beds
Rate per Semester				
Standard Meal Plan	\$2,845	\$230	\$3,075	
Towers (Walker, Couch)				2,810
Double Room	\$3,630	\$110	\$3,740	
Single Room	\$5,710	\$170	\$5,880	
Super Suite Quad	\$3,630	\$110	\$3,740	
Super Suite Triple	\$4,775	\$145	\$4,920	
Super Suite Double	\$5,770	\$175	\$5,945	
Quads (DLB Hall)				168
Double	\$2,945	\$90	\$3,035	
Single	\$4,345	\$130	\$4,475	

Housing Complex	Current Rates FY24	Proposed Increase	New Rates FY25	Avail Beds
Rate per Semester				
Headington Hall (Athletics)				382
2 Bed/2 Bath Single	\$7,033	\$467	\$7,500	
2 Bed/2 Bath Double	\$4,870	\$330	\$5,200	
2 Bed/1 Bath Single	\$5,951	\$399	\$6,350	
4 Bed/2 Bath Single	\$5,230	\$320	\$5,550	
Residential Colleges				612
Double Pod	\$3,690	\$110	\$3,800	
Single Pod	\$6,070	\$365	\$6,435	
2 Bed w/ Living	\$6,320	\$380	\$6,700	
Single Suite	\$7,365	\$440	\$7,805	
Triple Suite	\$6,550	\$395	\$6,945	
Cross Village				1,189
4 Bed/2 Bath	\$5,595	\$335	\$5,930	
2 Bed/1 Bath	\$6,180	\$370	\$6,550	
Single Suite	\$7,980	\$480	\$8,460	
Traditions Square E/W				1,136
2 Bed/2 Bath Single	\$3,540	\$630	\$4,170*	
2 Bed/1 Bath Single	\$3,065	\$545	\$3,610*	
4 Bed/2 Bath Single	\$2,860	\$510	\$3,370*	
Rate per Month				
University Village (HSC)				151
Studio	\$681	\$34	\$715	
Townhouse	\$1,056	\$54	\$1,110	
Townhouse (1/2)	\$528	\$27	\$555	
Kraettli Apartments				189
2 Bed Furnished	\$905	\$30	\$935	
2 Bed Unfurnished	\$800	\$25	\$825	

*Rates are based on 6% increases and extending the contract terms to 10-month rather than previous 9-month.

Comparison of Room and Board Rates of SEC Institutions and OSU

Below are the current rates for the 2023/2024 academic year for all institutions using a double occupancy room with shared bath, comparable to a standard tower suite on the Norman campus, along with standard meal plan.

SEC/OSU Comparison and Ranking		
Rank	Institution	FY'23/FY'24
1	Vanderbilt	\$21,054
2	South Carolina	\$15,808
3	Texas A&M	\$14,972
4	Arkansas	\$14,250
5	Texas	\$13,967
6	Missouri	\$13,915
7	Louisiana State	\$13,864

SEC/OSU Comparison and Ranking		
Rank	Institution	FY'23/FY'24
8	Kentucky	\$13,612
9	Alabama	\$13,316
10	Oklahoma	\$12,950
11	Florida	\$12,312
12	Tennessee	\$11,998
13	Mississippi State	\$11,966
14	Georgia	\$11,466
15	Oklahoma State	\$11,464
16	Mississippi	\$11,436
17	Auburn	\$10,860

Below are the proposed room and board rates for the 2024/2025 academic year for all institutions using a double occupancy room with shared bath, comparable to a standard tower suite on the Norman campus, along with standard meal plan*. 2024/2025 comparison is based on recent inquiries into housing rate adjustments for the listed institutions. All proposed rate increases were within a range of 3-6%. If we were unable to obtain a particular institution's proposed housing rate increase, a standard 3% increase was used.

SEC/OSU Comparison and Ranking		
Rank	Institution	FY'24/FY'25
1	Vanderbilt	\$21,458
2	South Carolina	\$16,392
3	Texas A&M	\$15,272
4	Arkansas	\$14,996
5	Texas	\$14,366
6	Missouri	\$14,366
7	Louisiana State	\$14,366
8	Kentucky	\$13,612
9	Alabama	\$13,576
10	Oklahoma	\$13,170
11	Florida	\$12,720
12	Tennessee	\$12,216
13	Mississippi State	\$12,198
14	Georgia	\$11,734
15	Oklahoma State	\$11,694
16	Mississippi	\$11,642
17	Auburn	\$11,098

*We were unable to obtain proposed standard meal plan increases for the 2024/2025 academic year from the listed SEC institutions and OSU. To provide a fair comparison, the cost of each institution's current 2023/2024 academic year standard meal plan, including OU, was used in the above comparison. Dollar amounts shown reflect each institution's proposed housing rate increase for the 2024/2025 academic year and their current rate for a standard meal plan. The listed institutions actual total room and board rates for the 2024/2025 academic year, once released, will likely be higher than shown here. If approved, OU's standard room and board rate for the 2024/2025 academic year would be \$13,630.

President Harroz recommended the Board of Regents approve 2024/2025 room and board rates for Norman and HSC Campus residential colleges, residence halls, apartments, and meal plans.

Regent Ross moved approval of the recommendation. The following voted yes on the motion: Regents Stevenson, Keating, Nagel, Ross, and Braught. The Chair declared the motion unanimously approved.

CAMPUS MASTER PLAN OF CAPITAL IMPROVEMENT PROJECTS – ALL

The Oklahoma State Regents for Higher Education have requested that each institution in the State system submit in June of each year an update of the Campus Master Plan of Capital Improvement Projects. Following approval by the State Regents at their June meeting, the Campus Master Plan of Capital Improvement Projects will be submitted to the State Long Range Capital Planning Commission as required by statute. The Commission is charged with the responsibility of preparing a State Capital Plan which is submitted in December of each year to the Governor, Speaker of the House of Representatives and President Pro-Tempore of the Senate.

The development of the Campus Master Plan of Capital Improvement Projects for the Norman, Oklahoma City and Tulsa campuses has been completed following a review of current capital needs by executive officers. Attached hereto as Exhibit K for consideration and approval by the Board are prioritized project lists for each campus along with project descriptions providing additional information about each of the projects included in the plan. The projects for each campus are prioritized in groups as follows:

- I. Highest priority projects for which State funding is requested;
- II. Higher priority projects which are currently in planning, design or are under construction and for which funding has been identified in full or in part; and
- III. Priority projects, funding not currently available.

New projects which have not previously been approved by the Board or projects with significant revisions are shown in the listings and descriptions in **boldface** type.

President Harroz recommended the Board of Regents approve the revised Campus Master Plan of Capital Improvement Projects for the Norman, Oklahoma City and Tulsa campuses of the University.

Regent Braught moved approval of the recommendation. The following voted yes on the motion: Regents Stevenson, Keating, Nagel, Ross, and Braught. The Chair declared the motion unanimously approved.

DONATION OF PUBLIC SCULPTURE RECOGNIZING AND HONORING PATTY GASSO – NC

The Athletics Department has received gifts from donors for a sculpture of Patty Gasso to be displayed on campus, recognizing the achievements of the head coach for OU Softball. Under Coach Gasso's leadership, the OU Softball team has reached the Women's College World Series 16 times, won seven national championships, and advanced to the postseason in each one of her 29 seasons at the University.

Regents' Policy 9.1.1.8 provides that donations of public sculptures to the University will be reviewed by a committee including appropriate University and Campus personnel, prior to the review and approval of the President and the Board of Regents. In accordance with this policy the committee has reviewed, approved, and recommends acceptance of the proposed sculpture and placement in an area outside of Gate 1 on the southeast side of Love's Field.

The selected artist is master sculptor Brian Hanlon, a world-renowned artist from Toms River, New Jersey. Hanlon's works primarily encompass the civic, historic, and athletic sectors. Hanlon's works also include the Kyler Murray and Baker Mayfield statues in OU's Heisman Park, and the bust of John Blake on display in the Switzer Center.

The project is funded by private gifts and donations.

President Harroz recommended the Board of Regents approve accepting a donation and display of a public sculpture recognizing and honoring Patty Gasso.

Regent Nagel moved approval of the recommendation. The following voted yes on the motion: Regents Stevenson, Keating, Nagel, Ross, and Braught. The Chair declared the motion unanimously approved.

GALLOGLY COLLEGE OF ENGINEERING MASTER PLAN– NC

The Gallogly College of Engineering encompasses seven schools of engineering and the Engineering Physics program. The seven schools include Aerospace and Mechanical Engineering; the Stephenson School of Biomedical Engineering; Sustainable Chemical, Biological and Materials Engineering; Civil Engineering and Environmental Science; Computer Science; Electrical and Computer Engineering; and Industrial and Systems Engineering. The College currently occupies space in eight main buildings as well as satellite operations dispersed across the Norman campus. At this time, an architectural consultant is needed to assist the University in providing master planning and professional services for the Gallogly College of Engineering Master Plan project. The goal of the project is to optimize space usage, consolidate programs, and to enhance the educational experience for all students. Upon successful completion of the study and at the University's discretion, the consultant may be asked to provide full architectural and engineering services for projects identified by the study as they are implemented.

A request for qualifications was sent to the architectural firms that are currently registered with the Construction and Properties Department/Division of Capital Assets Management of the State Office of Management and Enterprise Service, and a committee was formed to evaluate the responses received from ten firms. The committee was composed of the following:

Voting:

Brent Everett, Assistant Director, Architectural & Engineering Services, Chair
Jeffrey Schmitt, Associate Vice President, Architectural & Engineering Services
Kyle McGehee, Director of Planning & Engineering, Facilities Management
Zahed Siddique, Associate Dean, Gallogly College of Engineering
PK Imbrie, Special Assistant to the Provost, Provost Office Administration

Non-Voting:

John Klier, Dean, Gallogly College of Engineering

Proposals to provide the needed professional services for the projects were received from ten architectural firms. Five firms were selected by the interview committee for further evaluation. A detailed review and interview were conducted with five of the firms, and the firms were rated from highest to lowest as follows.

1. MA+ Architecture, Norman, OK
2. Miles Architecture, Oklahoma City, OK
3. ADG/Blatt, Oklahoma City, OK
4. FSB Architects + Engineers, Oklahoma City, OK
5. Parkhill, Oklahoma City, OK

**GALLOGLY COLLEGE OF ENGINEERING MASTER PLAN
ARCHITECTURAL FIRM EVALUATION SUMMARY**

	ADG/Blatt	FSB Architects + Engineers	MA+ Architecture	Miles Architecture	Parkhill
Acceptability of Design Services	115	95	118	110	77
Quality of Engineering (Services)	103	92	112	95	82
Adherence to Cost Limits	60	44	60	63	50
Adherence to Time Limits	61	41	66	66	53
Volume of Changes	34	28	38	42	32
Resources of the Firm	38	34	42	42	36
Total	411	334	436	418	330

Funding for the project has been identified and is available and budgeted from departmental funds.

President Harroz recommended the Board of Regents:

- I. Approve the Gallogly College of Engineering Master Plan project and the addition of the project to the Campus Master Plan of Capital Improvement Projects for the Norman Campus;
- II. Rank in the order presented below architectural firms under consideration to provide professional services required for the Gallogly College of Engineering Master Plan project;
- III. Authorize the University administration to negotiate the terms of an agreement and a fee, starting with the highest-ranked firm; and
- IV. Authorize the President or his designee to execute the consultant contract.

Regent Nagel moved approval of the recommendation. The following voted yes on the motion: Regents Stevenson, Keating, Nagel, Ross, and Braught. The Chair declared the motion unanimously approved.

BIOMEDICAL SCIENCES BUILDING LABORATORY MODERNIZATION PROJECT - 7TH FLOOR; STEPHENSON CANCER CENTER –HSC

At the March 2023 meeting, the Board of Regents approved the Biomedical Science Building Laboratory Modernization - 7th Floor; Stephenson Cancer Center Lab renovations as a part of the Campus Master Plan of Capital Improvements Projects. The project scope includes 20,000 +/- square feet lab renovations for cancer research.

On February 27, 2024, bids for construction were received from four firms. The bids have been evaluated by the project architects and the following representatives of the University administration:

Earl Chain, Assistant Director, Architectural and Engineering Services
 Tom Deal, Sr. Construction Project Manager, Architectural and Engineering Services

It is recommended that a contract in the bid amount of \$6,076,427 be awarded to Redmond Construction Corp., the low bidder. A complete tabulation of the bids is shown below.

State statutes allow change orders to be issued for work not included in bid alternates or unit prices in a cumulative amount up to ten percent of the construction cost. 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 within statutory and project budget limitations.

**TABULATION OF BIDS
 BMSB CANCER CENTER 7TH FLOOR RESEARCH LAB RENOVATION**

Contractor	Base Bid
W.L. McNatt & Company	\$6,700,000
Redmond Construction Corp	\$6,076,427
Caddell & Co., LLC	\$7,309,096
Lippert Bros., Inc.	\$6,150,000

Funds to cover the costs associated with the project have been identified and are available and budgeted from the grant, private and/or department funds.

President Harroz recommended the Board of Regents:

- I. Approve an estimated total project budget of \$9,375,000 for the Biomedical Science Building (BMSB) Laboratory Modernization Project-7th Floor; Stephenson Cancer Center; and
- II. Award a contract in the amount of \$6,076,427 to Redmond Construction Corp. of Chicago, IL, low bidder, for construction of the BMSB Laboratory Modernization Project-7th Floor; Stephenson Cancer Center; and
- III. 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.

Regent Nagel moved approval of the recommendation. The following voted yes on the motion: Regents Stevenson, Keating, Nagel, Ross, and Braught. The Chair declared the motion unanimously approved.

COLLEGE OF NURSING BUILDING IMPROVEMENTS PHASE 2 - STUDENT SUCCESS CENTER AND LOBBY— HSC

At the May 2022 meeting, the College of Nursing Building Improvements projects were approved by the Board of Regents as a part of the comprehensive Campus Master Plan of Capital Improvement Projects for the HSC Campus. At the June 2022 meeting, the McKinney Partnership was selected as the project architect. Lippert Bros. Inc. was approved as the construction management firm at the September 2023 meeting.

The College of Nursing Building is a four-story building with a partial basement and has approximately 91,000 square feet of existing space. The College of Nursing Building Improvements Phase 2 - Student Success Center & Lobby project will include renovating and modernizing the first-floor restrooms and lobby finishes, including the existing Student Affairs area on the first floor, to better serve the student population. The project will also update those spaces to meet current building code and increase the accessibility of the building as a whole.

The estimated total cost for Phase 2 of the project is \$5,500,000. It is proposed that the Board of Regents authorize the University administration to contract and make payments with a maximum cost not to exceed \$4,500,000 for construction of the College of Nursing Building Improvements Phase 2 - Student Success Center & Lobby project.

Funding for the project has been identified and is available from donor & University sources.

President Harroz recommended the Board of Regents:

- I. Approve an estimated total project budget of \$5,500,000 for the College of Nursing Building Improvements Phase 2 – Student Success Center and Lobby; and
- II. Authorize the University administration to contract and make payments not to exceed the cumulative amount of \$4,500,000 for the construction of the College of Nursing Building Improvements Phase 2 – Student Success Center and Lobby.

Regent Nagel moved approval of the recommendation. The following voted yes on the motion: Regents Stevenson, Keating, Nagel, Ross, and Braught. The Chair declared the motion unanimously approved.

NATIONAL WEATHER CENTER RENOVATION – NC

This project is an interior renovation and modification of multiple departments, programs, and divisions to allow for growth and redistribution of various University and government programs throughout the building. The estimated total cost is \$10,000,000 with funding from University, NIST funding, and lease agreements.

At this time, an architectural consultant is needed to assist the University in providing professional services for the University of Oklahoma National Weather Center Renovation. A request for qualifications was sent to the architectural firms that are currently registered with the Construction and Properties Department/Division of Capital Assets Management of the State Office of Management and Enterprise Service, and a committee was formed to evaluate the responses received from eleven firms. The committee was composed of the following:

Voting

Brent Everett, Assistant Director, Architectural & Engineering Services, Chair
Matthew Rom, Associate Vice President for Facilities Management
Berrian Moore, Dean, College of Atmospheric and Geographical Sciences
Melany Dickens Ray, Associate Vice President for Research

Non-Voting

Beau Jennings, Director, Real Estate Operations

Proposals to provide the needed professional services for the projects were received from eleven architectural firms. Four firms were selected by the interview committee for further evaluation. A detailed review and interview was conducted with the four firms, and the firms were rated from highest to lowest as follows.

1. Beck Design, Oklahoma City, OK
2. FSB Architects + Engineers, Oklahoma City, OK
3. ADG Blatt Architects, Oklahoma City, OK
4. GSB, Inc., Oklahoma City, OK

**NATIONAL WEATHER CENTER RENOVATION PROJECT
ARCHITECTURAL FIRM EVALUATION SUMMARY**

	ADG Blatt	FSB Architects + Engineers	Beck Design	GSB Architects
Acceptability of Design Services	75	90	95	70
Quality of Engineering (Services)	75	80	85	55
Adherence to Cost Limits	51	48	48	45
Adherence to Time Limits	48	48	51	48
Volume of Changes	30	34	34	30
Resources of the Firm	26	34	32	28
Total	305	334	345	276

Funding for the project has been identified and is available and budgeted from grant and University funds.

President Harroz recommended the Board of Regents:

- I. Rank in the order presented below, architectural firms under consideration to provide professional services required for the National Weather Center Renovation project;
- 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 Nagel moved approval of the recommendation. The following voted yes on the motion: Regents Stevenson, Keating, Nagel, Ross, and Braught. The Chair declared the motion unanimously approved.

WEATHER RESEARCH/RADAR ADVANCED MANUFACTURING FACILITY – NC

This University facility will provide state-of-the-art weather office and research space, radar research space, and secure space to house a rapidly growing portfolio of defense-related sponsored research projects. The multi-purpose Weather/Radar building will help facilitate open collaboration among University, government, and industry personnel in both weather and radar disciplines. Specific departments from the National Weather Center will be relocated into this new building to allow for growth and provide modified research space. Technical areas supported by the facility will include innovations in radar technology and advanced manufacturing. The building will also comprise secure areas to support projects that are governed by ITAR/EAR (International Traffic in Arms Regulations/Export Administration Regulations) as well as areas with additional enhanced security requirements. The estimated total cost is \$40,000,000.

At this time, an architectural consultant is needed to assist the University in providing professional services for the University of Oklahoma Weather Research/Radar Advanced Manufacturing project. A request for qualifications was sent to the architectural firms that are currently registered with the Construction and Properties Department/Division of Capital Assets Management of the State Office of Management and Enterprise Service, and a committee was formed to evaluate the responses received from five firms. The committee was composed of the following:

Voting

- Brent Everett, Assistant Director, Architectural & Engineering Services, Chair
- Melany Dickens-Ray, Associate Vice President for Research & Partnerships
- Jeffrey Schmitt, Associate Vice President, Architectural & Engineering Services
- Bob Palmer, Associate Vice President for Research & Partnerships
- Matthew McCord, Radar Engineer, Advanced Radar Research Center
- Tom Deal, Sr. Capital Project Manager, Architectural & Engineering Services
- David Ketch, Architect, Facilities Management
- Chris Fiebrich, Ph.D., Associate Director, Oklahoma Climatological Survey

Non-Voting

- Meghan Bomgaars, Director, Planning & Research Facilities

Proposals to provide the needed professional services for the projects were received from five architectural firms. Three firms were selected by the interview committee for further evaluation. A detailed review and interview was conducted with the three firms, and the firms were rated from highest to lowest as follows.

1. Miles Architecture, Oklahoma City, OK
2. GSB Architects, Oklahoma City, OK
3. Guernsey, Oklahoma City, OK

WEATHER RESEARCH/RADAR ADVANCED MANUFACTURING FACILITY PROJECT ARCHITECTURAL FIRM EVALUATION SUMMARY

	Miles Architecture	Guernsey	GSB Architects
Acceptability of Design Services	190	155	160
Quality of Engineering (Services)	180	155	165
Adherence to Cost Limits	108	99	102

	Miles Architecture	Guernsey	GSB Architects
Adherence to Time Limits	105	96	99
Volume of Changes	72	64	68
Resources of the Firm	76	72	58
Total	731	641	652

Funds to cover the costs associated with the project have been identified and are available and budgeted from State and University funds.

President Harroz recommended the Board of Regents:

- I. Rank in the order presented below architectural firms under consideration to provide professional services required for the Weather Research/Radar Advanced Manufacturing Facility project;
- 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 Nagel moved approval of the recommendation. The following voted yes on the motion: Regents Stevenson, Keating, Nagel, Ross, and Braught. The Chair declared the motion unanimously approved.

ELM PARKING GARAGE REHABILITATION – NC

The Elm Avenue Parking Garage Rehabilitation project will address necessary remediation and maintenance in order to extend the life of the 27-year-old facility.

On February 22, 2024, bids for construction were received from two firms. The bids have been evaluated by the project architects and the following representatives of the University administration:

Earl Chain, Assistant Director, Architectural and Engineering Services
 Chris Hancock, Capital Project Manager, Architectural and Engineering Services

It is recommended that a contract in the bid amount of \$1,488,000 be awarded to Wynn construction Co., Inc., the low bidder. A complete tabulation of the bids is shown below.

State statutes allow change orders to be issued for work not included in bid alternates or unit prices in a cumulative amount up to ten percent of the construction cost. 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 within statutory and project budget limitations.

**TABULATION OF BIDS
ELM PARKING GARAGE REHABILITATION**

Contractor	Base Bid	Alternate 1	Alternate 2	Alternate 3
Wynn Construction	\$1,488,000	\$42,000.00	\$104,000.00	\$13,000.00
Construction Unlimited	\$1,558,358	\$51,257.81	\$110,315.93	\$9,471.94

The University has elected not to take any alternates.

Funds to cover the costs associated with the project have been identified and are available and budgeted from Departmental Funds.

President Harroz recommended the Board of Regents:

- I. Approve an estimated total project budget of \$1,800,000 for the Elm Parking Garage Rehabilitation project;
- II. Award a contract in the amount of \$1,488,000 to Wynn Construction Co., Inc. of Oklahoma City, low bidder, for construction of the Elm Parking Garage Rehabilitation project; and
- III. 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.

Regent Ross moved approval of the recommendation. The following voted yes on the motion: Regents Stevenson, Keating, Nagel, Ross, and Braught. The Chair declared the motion unanimously approved.

STEPHENSON CANCER CENTER PHARMACOKINETICS LAB RENOVATIONS – HSC

This project involves the renovation of approximately 3,369 square feet of patient blood draw, office, and laboratory space on the 3rd floor of the Stephenson Cancer Center. The purpose of the project is to convert the existing waiting room and PK Lab into a blood draw area and to expand the PK Lab to meet the growing demand for infusion services in both standard of care and clinical trials. The project will be focused within existing clinical space on the 3rd floor of the Stephenson Cancer Center that involves painting, new casework, benches, walls, flooring and ceiling tiles and infrastructure updating as needed to emphasize best practice workflow, maximum efficiencies, and increased patient safety, and create adequate space to accommodate additional volume growth. The estimated total project cost is \$4,700,000.

On February 22, 2024, bids for construction were received from five firms. The bids have been evaluated by the project architects and the following representatives of the University administration:

Earl Chain, Assistant Director, Architectural and Engineering Services
Tom Deal, Sr. Construction Project Manager, Architectural and Engineering Services

It is recommended that a contract in the bid amount of \$990,923.56 be awarded to Caddell & Co., LLC, the low bidder. A complete tabulation of the bids is shown below.

State statutes allow change orders to be issued for work not included in bid alternates or unit prices in a cumulative amount up to ten percent of the construction cost. 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 within statutory and project budget limitations.

**TABULATION OF BIDS
STEPHENSON CANCER CENTER PK LAB RENOVATIONS**

Contractor	Base Bid
W.L. McNatt & Company	\$1,550,000.00
Hoey Construction	\$1,106,000.00
Trinity Builds, LLC	\$1,244,265.00
Caddell & Co., LLC	\$990,923.56
Downey Contracting LLC	\$1,800,000.00

Funds to cover the costs associated with the project have been identified and are available and budgeted from the grant and department funds.

President Harroz recommended the Board of Regents:

- I. Approve an estimated total project budget of \$4,700,000 for the Stephenson Cancer Center Pharmacokinetics Lab Renovation project;
- II. Award a contract in the amount of \$990,923.56 to Caddell & Co., LLC of Norman, Oklahoma, low bidder, for construction of the Stephenson Cancer Center Pharmacokinetics Lab Renovation project; and
- III. 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.

Regent Nagel moved approval of the recommendation. The following voted yes on the motion: Regents Stevenson, Keating, Nagel, Ross, and Braught. The Chair declared the motion unanimously approved.

UNIVERSITY RESEARCH PARK BUILDING 865 BASEMENT RENOVATION – HSC

At the June 2023 meeting, Miles Architecture was selected to provide professional architectural services for the 865 University Research Park Basement Renovation. The project involves renovating approximately 2,200 square feet of existing space within the University Research Park complex that will be converted into space to increase the capacity for preclinical relational research activity. This will involve a full renovation of the space that will involve painting, flooring, ceilings and all the infrastructure additions needed to make the space usable for the intended research activity.

At this time, a firm is needed to provide construction management services for the project. A request for qualifications was sent to the construction management firms that are currently registered with the Construction and Properties Department/Division of Capital Assets Management of the State Office of Management and Enterprise Service, and a committee was formed to evaluate the responses received from six firms. The committee was composed of the following:

Voting

- Earl Chain, Assistant Director, Architectural & Engineering Services
- Tom Deal, Sr. Capital Project Manager, Architectural & Engineering Services
- Dustin Bozarth, Assistant Vice President, Facilities Management
- Paul Manzelli, Sr. Associate Vice President for Administration & Finance
- James Papin, PhD, Associate Vice President for Health Sciences Research

Non-Voting

- Edwin Amaya, Sr. Capital Project Manager, Architectural & Engineering Services

Proposals to provide the needed construction management services for the project were received from six construction management firms. Three firms were selected by the interview committee for further evaluation. A detailed review and interview were conducted with the three firms, and the firms were rated from highest to lowest as follows.

1. T. Scott Construction, Oklahoma City, OK
2. Quad Construction, Oklahoma City, OK
3. Lippert Bros., Inc., Oklahoma City, OK

**UNIVERSITY RESEARCH PARK BUILDING 865 BASEMENT RENOVATION
CONSTRUCTION MANAGEMENT FIRM EVALUATION SUMMARY**

	T. Scott Construction	Lippert Bros., Inc.	Quad Construction
Experience with Similar Projects	60	48	60
Quality of Preconstruction Services	62	60	60
Quality of Construction Phase Services	30	30	30
Resources of the Firm	128	124	124
Total	34	28	27

Funding for this portion of the project has been identified and is available and budgeted from General Revenue Bonds and University sources.

President Harroz recommended the Board of Regents:

- I. Rank, in the order presented below, construction management firms under consideration to provide professional services required for the 865 University Research Park Basement Renovation;
- 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 construction contract.

Regent Braught moved approval of the recommendation. The following voted yes on the motion: Regents Stevenson, Keating, Nagel, Ross, and Braught. The Chair declared the motion unanimously approved.

UTILITY PLANT EXPANSION – HSC

First approved at the May 2021 meeting as an addition to the Campus Master Plan of Capital Improvement Projects, the Utility Plant Expansion includes replacement of existing capital equipment and a new chilled water plant located south of existing Chilled Water Plant 2. At the December 2021 meeting, the Board ranked Frankfurt Short Bruza & Associates (FSB) first among engineering firms considered to provide professional design services for the project. At the September 2022 meeting, the Board ranked Flintco highest among construction managers considered to provide professional services for the project.

The project is currently anticipated to be split into three separate phases of work to ensure continuous availability of critical utility resources on the HSC campus. Phase 1 consists of the removal of two existing steam boilers that have reached the end of serviceable life and updates to existing plant infrastructure to support the new equipment. Phase 2 will construct a new chilled water plant on the southeast corner of NE 8th Street and N Laird Avenue to house two new 4,000-ton electric chillers to supplement the existing chilled water system. Phase 3 will replace the remaining three boilers in the existing Plant 1 along with updates to existing plant infrastructure to support the new equipment.

At the June 2022 meeting, the University administration was authorized to contract and make payments not to exceed the cumulative amount of \$2,400,000 for the purchase of two new boilers for the Utility Plant Expansion project. At the March 2023 meeting, the University administration was authorized to purchase two chillers to be installed as a part of the Utility Plant Expansion project in the amount of \$4,971,960.

At the June 2023 meeting, as Phase 1 construction work was preparing to commence and design documents for Phase 2 were in development, the Board authorized the University administration to contract and make payments not to exceed the cumulative amount of \$37,000,000 for construction and approved an estimated total project budget of \$50,000,000.

Since that time, exact scopes of work have been fully identified. It now is proposed that the Board authorize total expenditures for construction not to exceed \$58,000,000 and approved a revised estimated total project budget of \$67,000,000.

Funds to cover the costs associated with the project have been identified as General Revenue Bonds & University Funds.

President Harroz recommended the Board of Regents:

- I. Authorize the University administration to contract and make payments not to exceed the revised cumulative amount of \$58,000,000 for the construction of the Utility Plant Expansion project; and
- II. Approve a revised estimated total project budget of \$67,000,000 for the Utility Plant Expansion project.

Regent Braught moved approval of the recommendation. The following voted yes on the motion: Regents Stevenson, Keating, Nagel, Ross, and Braught. The Chair declared the motion unanimously approved.

JACOBSON HALL – NC

At the May 2022 meeting, the Jacobson Hall project was approved by the Board of Regents as a part of the comprehensive Campus Master Plan of Capital Improvement Projects for the Norman Campus. At the June 2022 meeting, the Board of Regents approved and authorized the administration to negotiate the terms of an agreement for full architectural services with TAP Architecture. At the September 2022 meeting, the Board of Regents ranked Lingo Construction Services first among firms to provide at-risk construction management services for the project.

At the January 2024 meeting, the Board of Regents authorized \$15,000,000 for the total project budget and \$11,900,000 in expenditures for construction of the project. Now that all the scope of work is identified and bids have been opened, it is proposed that the Board of Regents authorize an increase of \$350,000 in total expenditures for construction costs not to exceed \$12,250,000 utilizing funds heretofore budgeted as construction contingency.

Funds to cover the costs associated with the project have been identified, are available and budgeted from private donations.

President Harroz recommended the Board of Regents authorize the University administration to contract and make payments not to exceed \$12,250,000 for construction and early procurement of long lead time items on the Jacobson Hall project.

Regent Keating moved approval of the recommendation. The following voted yes on the motion: Regents Stevenson, Keating, Nagel, Ross, and Braught. The Chair declared the motion unanimously approved.

SARKEYS ENERGY CENTER ELEVATOR REPLACEMENTS – NC

The three tower elevators in Sarkeys Energy Center require replacement due to the age of the mechanical equipment that has made it increasingly challenging to source replacement parts. The elevators have become unreliable, and the project will replace the outdated elevator motors, cables, controls, and other associated equipment. The current motors and cables are original to the building and installed in 1988. At this time, an elevator service provider is needed to assist the University in the replacement and modernization of the elevators.

On February 14, 2024, bids for service were received from two firms. The bids have been evaluated by the following University representatives:

Kyle McGehee, Director of Planning & Engineering, Facilities Management
Glen Riddle, Electric Shop Supervisor, Facilities Management
Larry Carter, Project Manager, Facilities Management

It is recommended that a contract in the bid amount of \$1,195,000 be awarded to American Elevator Company, Inc. of Oklahoma City, the lowest and responsible bidder.

State statutes allow change orders to be issued for work not included in bid alternates or unit prices in a cumulative amount up to ten percent of the construction cost. Board approval of this phase of the project will authorize the President or his designee to sign the Agreement for and will allow issuance of necessary change orders within statutory and project budget limitations.

Funds to cover the costs associated with the project have been identified, are available, and budgeted from deferred maintenance funds.

President Harroz recommended the Board of Regents:

- I. Approve a project budget of \$1,300,000 for Sarkeys Energy Center Elevator Replacements;
- II. Award a contract of \$1,195,000 to American Elevator Company, Inc. of Oklahoma City for Sarkeys Energy Center Elevator Replacements; and
- III. Authorize the President or his designee to sign the agreement for Sarkeys Energy Center elevator replacements and the necessary change orders within the statutory and project budget limitations.

Regent Braught moved approval of the recommendation. The following voted yes on the motion: Regents Stevenson, Keating, Nagel, Ross, and Braught. The Chair declared the motion unanimously approved.

PURCHASE OF AN ELECTRON MICROSCOPE SYSTEM - NC

It is proposed to acquire an analytical Aberration-Corrected Scanning Transmission Electron Microscope (AC-STEM) at the University for atomic-scale imaging and analysis of materials. The AC-STEM system will allow researchers to interrogate materials with sub-angstrom accuracy to collect simultaneous image, diffraction, and spectral data; none of these capabilities are currently available in Oklahoma. The AC-STEM will be managed by the Samuel Roberts Noble Microscopy Laboratory (SRNML) core user facility, ensuring the instrument will be widely accessible.

A key tool for advanced materials research and education, the AC-STEM will enable transformative research in quantum technology and microelectronics, data-driven materials discovery, and nanomaterials for sustainability, among other topics. Research activities facilitated by the instrumentation include synthesis and atomic-level characterization of single-spin qubits and core-shell nanoparticles for nanophotonic devices, radiation-hardening of microelectronics, incorporation of defects and compositional complexity into engineering of new alloys, high entropy phases, and bulk metallic glasses, reactivity analysis of supported metal catalysts in hydrogen energy systems, and catalytic system studies for plastic waste reduction. The proposed instrument will empower a diverse community of researchers to explore fundamental material properties that underlie frontier technologies and address critical societal challenges while training the next generation of interdisciplinary science and engineering scholars. Additionally, the instrument will advance research capabilities for atomic-scale chemical and structural analyses, generating new collaborations between institutions and researchers that will grow into interdisciplinary and multi-institutional research clusters and funded projects.

This is a sole-source purchase, as the AC-STEM is the only such system that has a long history of successful field-tested cold field-emission sources and offers integrated imaging, diffraction, and spectroscopy data with the vendor-provided software. The price includes a very significant discount (>50%) over the list price.

Funding for this equipment is being provided through the National Science Foundation and Norman campus Office of the Vice President for Research and Partnerships.

President Harroz recommended the Board of Regents authorize the President or his designee to award a contract in an amount not to exceed \$3,100,000 to JEOL USA, Inc., of Peabody, MA, to purchase an aberration corrected analytical scanning transmission electron microscope system.

Regent Nagel moved approval of the recommendation. The following voted yes on the motion: Regents Stevenson, Keating, Nagel, Ross, and Braught. The Chair declared the motion unanimously approved.

CONTRACT TO LEASE EDUCATIONAL HELICOPTERS, EQUIPMENT, AND HELICOPTER TRAINERS – NC

The School of Aviation in the College of Atmospheric and Geographic Sciences is developing a curriculum that would expand its existing fixed-wing aviation program to include an additional academic degree track with a focus on helicopter flight.

To ensure the helicopter instruction is supported in the safest, most cost-effective manner for University students and prospective students, the University issued a request for proposals from interested providers who meet stringent FAA requirements and can provide specialized helicopters designed for instruction. The following firms responded:

<u>COMPANY/ENTITY</u>	<u>HEADQUARTERS</u>
Helicopter Institute, Inc.	Fort Worth, Texas
Purpose Direction Motivation, DBA Santee Aviation	Santee, California
Semper Fly Helicopters	Broken Bow, Oklahoma

An evaluation committee for the University comprising the following individuals rated the responses:

- Eric Wydra, Director of School of Aviation
- George Hicks, Chief Flight Instructor, School of Aviation
- Kimberely Helton, Procurement (non-voting, advisory capacity)

As a result of the evaluation scores below, the RFP Review Committee determined that award to Semper Fly is in the best interests of the University. Semper Fly’s proposed fee varies based on expected number of flight hours of instruction for each course but the total fee is not expected to exceed \$2.5 million in the first year. The University administration requests Board authority to contract with Semper Fly, or if unable to reach agreement as to terms, to contract with the next-highest ranked supplier, to provide equipment and services consistent with this agenda item and program needs.

Bidder	Total Score on a 100 Point Scale
Helicopter Institute, Inc.	63.52
Purpose Direction Motivation, LLC	56.27
Semper Fly Helicopters	75.79

President Harroz recommended the Board of Regents authorize the University administration to enter into negotiations and execute a contract, with the advice of legal counsel, with a provider of educational rotary-wing aircraft, simulation equipment, and qualified trainers.

Regent Nagel moved approval of the recommendation. The following voted yes on the motion: Regents Stevenson, Keating, Nagel, Ross, and Braught. The Chair declared the motion unanimously approved.

2024-2025 STUDENT ACTIVITY FEE BUDGET – NC

The Executive Budget Committee, composed of the President of the University of Oklahoma Student Government Association (SGA), Chair of the Undergraduate Student Congress, Chair of the Graduate Student Senate, Chair of the Campus Activities Council, and the Vice President for Student Affairs and Dean of Students, prepared the budget attached hereto as Exhibit L.

Funding proposals were received and considered from those student service areas originally identified by student leadership and traditionally funded from Student Activity Fee resources as provided by Regents' Policy. Those areas include service units providing student services that impact orientation, retention, and development of students as well as monies to be allocated through SGA to fund student government and individual registered student organizations.

Total budget projections provided by the Associate Vice President for Budget and Finance. Attached is a budget summary including allocations over the last three years.

President Harroz recommended the Board of Regents approve the 2024-2025 Student Activity Fee budget and distribution of funds as proposed by the Student Activity Fee Executive Budget Committee.

Regent Braught moved approval of the recommendation. The following voted yes on the motion: Regents Stevenson, Keating, Nagel, Ross, and Braught. The Chair declared the motion unanimously approved.

EASEMENT FOR OKLAHOMA GAS & ELECTRIC— NC

It is being requested that the Board of Regents approve the grant of a utility easement to the Oklahoma Gas & Electric Company (OG&E) for the installation of fiber transfer trips at the University's substation at the northeast corner of Brandt Park on Brooks Street in Norman. The easement would provide the University with improved utility infrastructure at no cost by replacing outdated transfer trips with fiber trips that update the communication path between OG&E substations and the University's power plants.

The requested easement is located at the following described real estate and premises situated in the City of Norman, Cleveland County, Oklahoma, to wit:

A part of the SW/4, SECTION 32, T9N, R2W, I.M., being a part of a tract described in a deed recorded in Book 259, Page 370 at the County Clerk, as described in Exhibit "A" and shown on Exhibit "B", attached hereto.

The exhibits attached hereto as Exhibit M indicate the area of the utility easement.

The Board is requested to authorize the President or his designee to execute the Easement documents.

President Harroz recommended the Board of Regents:

- I. Approve the grant of a utility easement to Oklahoma Gas & Electric Company;
and
- II. Authorize the President or his designee to execute the Easement documents in coordination with OU Legal.

Regent Ross moved approval of the recommendation. The following voted yes on the motion: Regents Stevenson, Keating, Nagel, Ross, and Braught. The Chair declared the motion unanimously approved.

EASEMENT FOR OKLAHOMA NATURAL GAS – NC

Oklahoma Natural Gas (ONG) has requested Temporary Construction and Right-of-Way easements to construct reducing stations to diversify its supply and pressure loads within its distribution system. The work performed by ONG will also ensure the University has proper natural gas pressure in the future.

The Board is requested to approve the mentioned easements and authorize the President or his designee to execute the easement documents. The drawings attached hereto as Exhibit N show the locations of the easements, which are described as follows:

LEGAL DESCRIPTION

PARCEL 1

RIGHT OF WAY EASEMENT DESCRIPTION

A 50'X50' site being a part of the Northeast Quarter (NE/4) of Section Eight (8), Township Eight (8) North, Range Two (2) West of the Indian Meridian, Cleveland County, Oklahoma, being a part of Block Ten (10) of FORMER NAVAL AIR TECHNICAL TRAINING CENTER, recorded in Book of plats 4 Page 47, being more particularly described as follows:

Beginning at the Southwest (SW) Corner of said Block Ten (10);
THENCE North 00°14'19" West, along and with the West line of said Block Ten (10), a distance of 50.00 feet;
THENCE North 89°43'58" East, departing said West line, a distance of 50.00 feet;
THENCE South 00°14'19" East, a distance of 50.00 feet to a point on the South line of said Block Ten (10);
THENCE South 89°43'58" West, along and with the South line of said Block Ten (10), a distance of 50.00 feet to the POINT OF BEGINNING.

Containing 2,500 square feet or 0.0574 acres, more or less.

Basis of Bearing: Grid North as established by state plane datum (Oklahoma State Plane South Zone NAD83). All Distances are grid distances in U.S. Survey Feet.

PARCEL 2

RIGHT OF WAY EASEMENT DESCRIPTION

A 15' Permanent Easement being a part of the Southeast Quarter (SE/4) of Section Five (5) and Northeast Quarter (NE/4) of Section Eight (8), Township Eight (8) North, Range Two (2) West of the Indian Meridian, Cleveland County, Oklahoma, being a part of Block Ten (10) of FORMER NAVAL AIR TECHNICAL TRAINING CENTER, recorded in Book of plats 4 Page 47, being more particularly described as follows:

Commencing at the Southwest (SW) Corner of said Block Ten (10);
THENCE North 00°14'19" West, along and with the West line of said Block Ten (10), a distance of 50.00 feet to the Northwest (NW) Corner of a proposed 50'X50' ONG Site, said point being the POINT OF BEGINNING;
THENCE continuing North 00°14'19" West, along and with the West line of said Block Ten (10), a distance of 620.63 feet to a point on the South line of a 15' ONG Right-of-Way, recorded in Book 4484 Page 1216;
THENCE North 89°43'58" East, along and with the South line of said 15' ONG Right-of way, a distance of 15.00 feet;
THENCE South 00°14'19" East, departing said South line, a distance of 620.63 feet to a point on the North line of said 50'X50' ONG Site;
THENCE South 89°43'58" West, along and with said North line, a distance of 15.00 feet to the POINT OF BEGINNING.

Containing 9,309 square feet or 0.2137 acres, more or less.

Basis of Bearing: Grid North as established by state plane datum (Oklahoma State Plane South Zone NAD83). All Distances are grid distances in U.S. Survey Feet.

PARCEL 3 RIGHT OF WAY EASEMENT DESCRIPTION

A 10' Permanent Easement being a part of the Northeast and Northwest Quarter (NE/4 and NW/4) of Section Eight (8), Township Eight (8) North, Range Two (2) West of the Indian Meridian, Cleveland County, Oklahoma, being a part of Block Nine (9) of FORMER NAVAL AIR TECHNICAL TRAINING CENTER, recorded in Book of plats 4 Page 47, being more particularly described as follows:

Beginning at the Southeast (SE) Corner of said Block Nine (9);
THENCE South 89°43'58" West, along and with the South line of said Block Nine (9), a distance of 628.24 feet;
THENCE North 00°14'19" West, departing said South line, a distance of 10.00 feet;
THENCE North 89°43'58" East, a distance of 628.24 feet to a point on the East line of said Block Nine (9);
THENCE South 00°14'19" East, along and with the East line of said Block Nine (9), a distance of 10.00 feet to the POINT OF BEGINNING.

Containing 6,282 square feet or 0.1442 acres, more or less.

Basis of Bearing: Grid North as established by state plane datum (Oklahoma State Plane South Zone NAD83). All Distances are grid distances in U.S. Survey Feet.

PARCEL 4 TEMPORARY CONSTRUCTION EASEMENT DESCRIPTION

A temporary workspace being a part of the Southeast Quarter (SE/4) of Section Five (5) and Northeast Quarter (NE/4) of Section Eight (8), Township Eight (8) North, Range Two (2) West of the Indian Meridian, Cleveland County, Oklahoma, being a part of Block Ten (10) of FORMER NAVAL AIR TECHNICAL TRAINING CENTER, recorded in Book of plats 4 Page 47, being more particularly described as follows:

Commencing at the Southwest (SW) Corner of said Block Ten (10);
THENCE North 00°14'19" West, along and with the West line of said Block Ten (10), a distance of 50.00 feet to the Northwest (NW) Corner of a proposed ONG 50'X50' Site and Southwest (SW) Corner of a proposed 15' ONG Easement;
THENCE North 89°43'58" East, along and with the North line of said proposed ONG 50'X50' Site and South line of said proposed 15' ONG Easement, a distance of 15.00 feet to the Southeast (SE) Corner of said proposed 15' ONG Easement, said point being the POINT OF BEGINNING;
THENCE North 00°14'19" West, along and with the East line of said proposed 15' ONG

Easement, a distance of 50.00 feet;
THENCE North 89°43'58" East, departing said East line, a distance of 85.00 feet;
THENCE South 00°14'19" East, a distance of 100.00 feet to a point on the South line of said Block Ten (10);
THENCE South 89°43'58" West, along and with the South line of said Block Ten (10), a distance of 50.00 feet to the Southeast (SE) Corner of said proposed ONG 50'X50' Site;
THENCE North 00°14'19" West, along and with the East line of said proposed ONG 50'X50' Site a distance of 50.00 feet to the Northeast (NE) Corner of said proposed ONG 50'X50' Site;
THENCE South 89°43'58" West, along and with the North line of said proposed ONG 50'X50' Site, distance of 35.00 feet to the POINT OF BEGINNING.

Containing 6,750 square feet or 0.1550 acres, more or less.

Basis of Bearing: Grid North as established by state plane datum (Oklahoma State Plane South Zone NAD83). All Distances are grid distances in U.S. Survey Feet.

PARCEL 5
RIGHT OF WAY EASEMENT DESCRIPTION

A site being a part of a tract of land in the Northwest Quarter (NW/4) of Section Ten (10) Township Eight (8) North Range Two (2) West of the Indian Meridian, Norman, Cleveland County, Oklahoma, being a part of a deed recorded in Book 176 Page 323 being more particularly described as follows:

Commencing at the Northwest (NW/C) of said Northwest Quarter (NW/4);
THENCE South 89°44'14" East, along and with the North line of said Northwest Quarter (NW/4), a distance of 458.18 feet;
THENCE South 00°06'24" East, departing said North line, a distance of 48.00 feet to a point on the South line of an ONG easement recorded in Book 4844 Page 1224, said point being the POINT OF BEGINNING;
THENCE South 89°44'14" East, along and with the North line of said ONG easement, a distance of 50.00 feet to a point on the West line of an easement recorded in Book 4844 Page 1220;
THENCE South 00°06'24" East, along and with said West line, a distance of 65.66 feet;
THENCE North 89°44'14" West, departing said West line, a distance of 50.00 feet;
THENCE North 00°06'24" West, a distance of 65.66 feet to the POINT OF BEGINNING.

Containing 3,283 square feet or 0.0754 acres, more or less.

Basis of Bearing: Grid North as established by state plane datum (Oklahoma State Plane South Zone NAD83). All Distances are grid distances in U.S. Survey Feet

PARCEL 6
TEMPORARY CONSTRUCTION EASEMENT DESCRIPTION

A Temp Workspace Easement being a part of a tract of land in the Northwest Quarter (NW/4) of Section Ten (10) Township Eight (8) North Range Two (2) West of the Indian Meridian, Norman, Cleveland County, Oklahoma, being a part of a deed recorded in Book 176 Page 323 being more particularly described as follows:

Commencing at the Northwest (NW/C) of said Northwest Quarter (NW/4);
THENCE South 89°44'14" East, along and with the North line of said Northwest Quarter (NW/4), a distance of 408.18 feet;
THENCE South 00°06'24" East, departing said North line, a distance of 33.00 feet, to a point on the South 33' Statutory right of way of Imhoff Road, point being the POINT OF BEGINNING;
THENCE South 89°44'14" East, along and with said South line, a distance of 100.00 feet to a point on the West line of an easement recorded in Book 4844 Page 1220;
THENCE South 00°06'24" East, along and with said West line, a distance of 15.00 feet;

THENCE North 89°44'14" West, departing said West line, a distance of 50.00 feet;
THENCE South 00°06'24" East, a distance of 65.66 feet;
THENCE South 89°44'14" East, a distance of 50.00 feet to a point on the West line of said easement recorded in Book 4844 Page 1220;
THENCE South 00°06'24" East, along and with said West line and West line extended, a distance of 50.00 feet,;

THENCE North 89°44'14" West, departing said extended West line, a distance of 100.00 feet;
THENCE North 00°06'24" West, a distance of 130.66 feet to the POINT OF BEGINNING.

Containing 9,783 square feet or 0.2246 acres, more or less.

Basis of Bearing: Grid North as established by state plane datum (Oklahoma State Plane North Zone NAD83). All Distances are grid distances in U.S. Survey Feet.

President Harroz recommended the Board of Regents:

- I. Approve the grant of a utility easement to Oklahoma Natural Gas Company; and
- II. Authorize the President or his designee to execute the easement documents in consultation with Legal Counsel.

Regent Ross moved approval of the recommendation. The following voted yes on the motion: Regents Stevenson, Keating, Nagel, Ross, and Braught. The Chair declared the motion unanimously approved.

ACQUISITION OF REAL PROPERTY, LINCOLN AVENUE – NC

It is in the strategic interest of the University to consider acquisitions of real property that abut campus borders when such properties are listed for sale. The properties are located just southwest of Headington Hall and face the adjoining student parking lot. As these properties border campus, it is in the best interest of the University to purchase the homes for strategic purposes.

President Harroz recommended the Board of Regents:

- I. Authorize the University Administration, upon consultation with the General Counsel, to negotiate the acquisition of four single-family homes, on Lincoln Avenue in Norman, Oklahoma, near the intersection of Lincoln Avenue and Farmer Street; and
- II. Enter into any agreements and execute and acquire such deeds or other instruments that may be necessary to effectuate the transfer(s) of title for the transaction(s) on behalf of the Board of Regents of the University of Oklahoma.

Regent Braught moved approval of the recommendation. The following voted yes on the motion: Regents Stevenson, Keating, Nagel, Ross, and Braught. The Chair declared the motion unanimously approved.

REGENTS' AWARD FOR OUTSTANDING JUNIORS – ALL

To honor and encourage excellence in leadership and service, the Board of Regents presents the Regents' Award for Outstanding Juniors to 18 OU juniors. This year, 15 recipients will represent Norman Campus and three recipients will represent OUHSC. These awards are given to students on each campus based on leadership, service to the University, involvement in

campus activities, and academic progress. Additionally, recipients must have completed 72 credit hours and submit short essays in response to identified questions. The recipients receive a certificate and a small gift item. In addition, the names of each year's honorees are engraved on a permanent plaque located in the Oklahoma Memorial Union on the Norman Campus and in the Health Sciences Center Library in Oklahoma City. The winners are selected by a committee comprised of students, faculty, and staff members. The juniors from each campus will be honored at their respective Campus Awards Program.

2024 RECIPIENTS
REGENTS' AWARD FOR OUTSTANDING JUNIORS

NORMAN CAMPUS

Diekololaoluwa Adebakin
Brooke Bauman
Jillienne Connell
Maria de Asis
Temalangeneni Mbali Dlamini
Kyle Eskew
Azucena Guerrero
Grace Lam
Layla Molina
McKenna Nhem
Betsy Rasplicka
Ariana Sayeed
Emelie Schultz
Goldie Snow
Maya Williams

HEALTH SCIENCES CENTER

Aaron Hui
Akeaba Singh
Liz Caralampio

President Harroz recommended the Board of Regents approve the students selected to receive the 2024 Regents' Award for Outstanding Juniors.

Regent Ross moved approval of the recommendation. The following voted yes on the motion: Regents Stevenson, Keating, Nagel, Ross, and Braught. The Chair declared the motion unanimously approved.

STAFF WEEK RESOLUTIONS – ALL

NORMAN CAMPUS

WHEREAS, the staff of The University of Oklahoma Norman Campus are essential to the accomplishment of the institution's mission in teaching, research and public service; and

WHEREAS, their dedicated efforts and skills contribute to the quality and achievements of the entire University; and

WHEREAS, the many and varied contributions of the staff enhance the quality of life for those within the University community as well as those in the larger community;

NOW THEREFORE BE IT RESOLVED that the Board of Regents expresses its appreciation to all members of the staff and hereby proclaims April 22-26, 2024, to be “OU Staff Week” on the Norman Campus in recognition of the jobs well done.

HEALTH SCIENCES CENTER CAMPUS

WHEREAS, the staff of The University of Oklahoma Health Sciences Center in Oklahoma City are essential to the fulfillment of the institution’s mission in teaching, research, and patient care; and

WHEREAS, their dedication, skills and talents strengthen and enhance the worth and productivity of the entire University; and

WHEREAS, the diverse contributions and achievements of the staff elevate the quality of life for those within the University family and ensure an unstinting effort toward fulfillment of the University mission

NOW THEREFORE BE IT RESOLVED that the Board of Regents expresses its appreciation to all members of the staff and hereby proclaims April 22-26, 2024, to be “OUHSC Staff Week” on the Oklahoma City Campus in recognition of the jobs well done.

TULSA CAMPUS

WHEREAS, the staff of The University of Oklahoma Tulsa Campus are essential to the accomplishment of the institution’s mission in teaching, research and public service; and

WHEREAS, their dedicated efforts and skills contribute to the quality and achievements of the entire University; and

WHEREAS, the many and varied contributions of the staff enhance the quality of life for those within the University community as well as those in the larger community;

NOW THEREFORE BE IT RESOLVED that the Board of Regents expresses its appreciation to all members of the staff and hereby proclaims April 8-12, 2024, to be “OU Staff Week” on the Tulsa Campus in recognition of the jobs well done.

President Harroz recommended the Board of Regents approve the included resolutions in recognition of The University of Oklahoma Staff Week.

Regent Ross moved approval of the recommendation. The following voted yes on the motion: Regents Stevenson, Keating, Nagel, Ross, and Braught. The Chair declared the motion unanimously approved.

REGENTS AWARD FOR SUPERIOR STAFF – ALL

The Regents’ Award for Superior Staff was developed to recognize the outstanding contributions made by OU staff members whose job performance, service activities and dedication have enhanced the mission of The University of Oklahoma. Three \$5,000 awards are given annually during Spring staff recognition activities: one to a Norman Campus staff member, one to a Health Sciences Center staff member and one to a Tulsa Campus staff member.

To qualify for a Regents’ Award for Superior Staff, a staff member must have consistently demonstrated a superior job performance and/or outstanding service to the University or to outside community or professional activities on behalf of the University.

The outstanding job performance and/or superior service should reflect perspective, initiative and efforts that transcend the boundaries of a staff member’s designated work

responsibilities. The recipients are selected by a committee appointed by the President for each campus.

The University administration desired that the names of the superior staff recipients remain confidential until announced at the award ceremonies in April. The cooperation of the press was requested in maintaining this confidentiality.

The names of those selected for the 2024 Regents' Award for Superior Staff were:

Norman Campus:

Kelsey Martin-Farewell, Director of Finance and Administration, Gaylord College of Journalism and Mass Communication

OUHSC:

Nathaniel (Nate) Tarver, Chief of Police

OU Tulsa:

Meredith Talley, Director of Student Services and Admissions, OU-TU School of Community Medicine

President Harroz recommended the Board of Regents:

- I. Approve the 2024 Regents' Awards for Superior Staff for the individuals included in his letter to the Regents;
- II. Authorize presentation of the Regents' Awards at the spring staff awards ceremonies for Norman and the Health Sciences Center campuses; and
- III. Authorize the use of funds for the awards to each staff member.

Regent Ross moved approval of the recommendation. The following voted yes on the motion: Regents Stevenson, Keating, Nagel, Ross, and Braught. The Chair declared the motion unanimously approved.

REGENTS' FACULTY AWARDS – ALL

In a letter to members of the Board of Regents, President Harroz reported his recommendations for the 2024 Regents' Awards. The letter is available in the Board office.

The regulations for these awards provide that each individual will receive an award of \$10,000.

The University administration desired that the names of the Regents' award recipients remain confidential until they are announced at award ceremonies in April. The cooperation of the press was requested in maintaining this confidentiality.

President Harroz recommended the Board of Regents:

- I. Approve the 2024 Regents' Awards for the individuals included in his letter to the Regents;

- II. Authorize presentation of the Regents' Awards at the spring faculty awards ceremonies for Norman and the Health Sciences Center campuses; and
- III. Authorize the use of funds for the awards to each faculty member.

Regent Ross moved approval of the recommendation. The following voted yes on the motion: Regents Stevenson, Keating, Nagel, Ross, and Braught. The Chair declared the motion unanimously approved.

DISTINGUISHED PROFESSORSHIPS – DAVID L. BOREN, GEORGE LYNN CROSS, DAVID ROSS BOYD, REGENTS', AND PRESIDENTIAL PROFESSORSHIPS – ALL

In a letter to members of the Board of Regents, President Harroz reported his expectations of presenting at the March meeting the recommendations for the distinguished professorships. The letter is available in the Board office.

The policy for the David L. Boren Professorship provides that in the year of designation each individual will receive a one-time award of \$10,000 and a permanent salary increase of 10% or \$10,000 minimum starting in the subsequent fiscal year.

The policy for the George Lynn Cross, David Ross Boyd, and Regents' Professorships provides that in the year of designation each individual will receive a one-time award of \$7,000 and a permanent salary increase of 7% or \$7,000 minimum starting in the subsequent fiscal year.

The policy for the Presidential Professorships provides each individual is awarded the professorship for a four-year term. Assistant and Associate Professors receive \$5,000 per year and Professors receive \$10,000 per year starting in the subsequent fiscal year. The University of Oklahoma Foundation provides funds for the Presidential Professorships.

The University administration desired that the names of the new distinguished professorship recipients remain confidential until announced at the award ceremonies in April. The cooperation of the press was requested in maintaining this confidentiality.

President Harroz recommended the Board of Regents:

- I. Approve the appointment of the distinguished professorships as indicated in his letter to the Board of Regents, effective with the 2024-2025 academic year; and
- II. Authorize the use funds for the awards to each faculty member.

Regent Ross moved approval of the recommendation. The following voted yes on the motion: Regents Stevenson, Keating, Nagel, Ross, and Braught. The Chair declared the motion unanimously approved.

ACADEMIC TENURE AND PROMOTION – ALL

In accordance with the Board of Regents' policies on academic tenure, departmental faculty and chairs, the Deans and their advisory committees, the Campus Tenure Committees, the Provosts, and the President have reviewed the qualifications of all the members of the faculty who are eligible for tenure consideration this year and the result is the recommendations shown.

Health Sciences CenterTenure Granted

Martin-Paul Agbaga, Assistant Professor of Cell Biology and Ophthalmology
Julia Busik, Professor and Chair of Biochemistry & Physiology
Lee Jennings, Associate Professor of Medicine
Sydney Martinez, Assistant Professor of Biostatistics and Epidemiology
Motolani Ogunsanya, Assistant Professor of Clinical and Administrative Sciences
Amanda Sharpe, Assistant Professor of Pharmaceutical Sciences
Jeanie Tryggstad, Associate Professor of Pediatrics

Norman CampusTenure Granted

Jamie M. Bates Slone, Assistant Professor of Visual Arts
Melissa M. Baughman, Assistant Professor of Music
Heather Bedle, Assistant Professor of Geosciences
Jessica Cerezo-Roman, Assistant Professor of Anthropology
Ray A. Claxton, Assistant Professor of Journalism
Boyko G. Dossev, Assistant Professor of Dance
Erin Duncan-O'Neill, Assistant Professor of Visual Arts
Lauren E. Ethridge, Assistant Professor of Psychology
Song Fang, Assistant Professor of Computer Science
Julie Gerlinger, Assistant Professor of Sociology
Andres D. Gonzalez Huertas, Assistant Professor of Industrial and Systems
Engineering
Ronnie A. Grinberg, Assistant Professor of History
Claudette L. Grinnell-Davis, Assistant Professor of Social Work
Talisha M. Haltiwanger Morrison, Assistant Professor of Writing Center
Sarah Hines, Assistant Professor of History
Hayley Lanier, Assistant Professor of Biological Sciences and Assistant Curator of
the Sam Noble Oklahoma Museum of Natural History
Katja W. Liebermann, Assistant Professor of Architecture
Ricardo Mendes, Assistant Professor of Mathematics
Justin G. Metcalf, Assistant Professor of Electrical and Computer Engineering
Angela D. Pharris, Assistant Professor of Social Work
Kate M. Raymond, Assistant Professor of Instructional Leadership and Academic
Curriculum
Sepideh Razavi, Assistant Professor of Sustainable Chemical, Biological and
Materials Engineering
Jeremy D. Ross, Assistant Professor of Oklahoma Biological Survey
Ashlee A. Rowe, Assistant Professor of Biological Sciences
Arif Mohaimin Sadri, Assistant Professor of Civil Engineering and Environmental
Science
Justin Sider, Assistant Professor of English
Elyse Singer, Assistant Professor of Anthropology
Leslie K. Steffensen, Assistant Professor of Dance
Qinggong Tang, Assistant Professor of Biomedical Engineering
Binbin Weng, Assistant Professor of Electrical and Computer Engineering
Yilun Wu, Assistant Professor of Mathematics
Tiantian Yang, Assistant Professor Civil Engineering and Environmental Science
Hua Ye, Associate Professor of Management Information Systems
Tamar Zinguer, Assistant Professor of Architecture

ACADEMIC PROMOTIONS
HEALTH SCIENCES CENTER

COLLEGE OF ALLIED HEALTH

Rehabilitation Sciences, Tulsa
Louis Lepak, PT to Professor

COLLEGE OF DENTISTRY

Developmental Sciences - Orthodontics
Onur Kadioglu, DDS, MS to Clinical Professor

Diagnostic and Preventive Sciences - Dental Hygiene Division
Sarah Justus, RDH to Clinical Associate Professor
Donna Wood, RDH, MS, PhD to Professor

Diagnostic and Preventive Sciences - Oral Diagnosis & Radiology Division
Douglas Rockwood, D.D.S. to Clinical Professor

Diagnostic and Preventive Sciences - Periodontics Division
Tracey Whitley, DMD, MS to Associate Professor

COLLEGE OF MEDICINE

Anesthesiology
Aimee Pak, MD to Associate Professor
Christine Tuong Van Vo, MD to Associate Professor

Biochemistry
Karla Rodgers, PhD to Adjunct Professor

Cell Biology
Martin-Paul Agbaga, PhD to Associate Professor

Family Medicine
Thanh C Bui, MD, DrPH to Associate Professor
Darlla D Duniphin, DHSc, PA-C to Associate Professor
Jason A Oliver, PhD to Associate Professor
Roberto C Salinas, MD to Professor

Medicine
Tony Abdo, MD to Associate Professor
Nelson Ivan Agudelo Higuaita, MD to Professor
Zain Ul Abideen Asad, MD to Associate Professor
Usman Baber, MD to Professor
Aleem Chaudry, MD to Associate Professor
Salim Daouk, MD to Associate Professor
Tarun Watson Dasari, MD to Professor
Sagila George, MD to Associate Professor
Sami Ibrahim, MD to Associate Professor
Saleem M. Qureshi, MD to Associate Professor
Stavros Stavrakis, MD, PhD to Professor
Huimin Wu, MD to Associate Professor

Microbiology & Immunology

Kevin K. Fuller, PhD to Associate Professor
Karla Rodgers, PhD to Professor
Lauren Zenewicz, PhD to Associate Professor

Neurology

Ahmad Al-Awwad, MD to Associate Professor
Nidhiben A. Anadani, MD to Associate Professor

Neurosurgery

Andriy Yabluchanskiy, MD, PhD to Associate Professor

OBGYN

Stephanie Lynn Pierce, MD to Associate Professor
Debra L. Richardson, MD to Professor

Ophthalmology

Martin-Paul Agbaga, PhD to Associate Professor
Kevin K. Fuller, PhD to Associate Professor
Kamran M. Riaz, MD to Clinical Professor

Orthopedic Surgery

Santaram Vallurupalli, MD to Associate Professor

Pathology

Laura J. Adhikari, MD to Associate Professor
Asish Ghosh, PhD to Professor
Micheal L. Magguilli, MD to Associate Professor
Cody Allen Thomas, MD to Associate Professor
Christopher Lee Williams, MD to Associate Professor

Pediatrics

Manzilat Akande, MD, MPH, MS to Associate Professor
Adnan Altaf, MD to Professor
William Beasley, PhD to Professor of Research
Erynn Bergner, MD to Associate Professor
J. Carrick Carter, PsyD to Associate Professor
Amanda Cherry, PhD to Professor
Amy Cohn, PhD to Professor
Stephanie DeLeon, MD to Professor
Danielle Demarzo-Burdsall, MD to Clinical Associate Professor
Yazmin Enchautegui Colon, MD to Clinical Associate Professor
Debbie Gomez, PhD to Associate Professor
Devon Hahn, MD to Clinical Associate Professor
Christina Harris, MD to Clinical Associate Professor
J. Alexandra McClain, MD to Clinical Associate Professor
Nighat Mehdi, MD to Professor
Amanda Page, MD to Clinical Associate Professor
Laura Rooms, MD to Associate Professor
Kaustubh Sagedo, MD to Clinical Associate Professor
Monica Sagdeo, MD to Clinical Associate Professor
Anjan Shah, MD to Associate Professor
Yutian Thompson, PhD to Associate Professor of Research
Aswathy Vaikom House, MD to Associate Professor
Ikuyo Yamaguchi, MD, PhD to Professor

Physiology

Jiyang Cai, PhD to Professor

Psychiatry

Irina Baranskaya, MD, PhD to Associate Professor
J. Carrick Carter, PsyD to Adjunct Associate Professor
Amanda Cherry, PhD to Adjunct Professor

Radiological Sciences

Murali Nagarajan, MD to Associate Professor
William Vanlandingham, MD to Associate Professor

Surgery

Narendra Battula to Associate Professor

Urology

Bhalaajee Meenakshi-Sundaram, MD to Associate Professor
Daniel Parker, MD to Associate Professor
Adam Rensing, MD to Associate Professor

COLLEGE OF MEDICINE, TULSA

Emergency Medicine, Tulsa

Joshua Gentges, DO to Professor

Family and Community Medicine, Tulsa

Thomas Kern, MD to Associate Professor
Vivane De Souza Santos Sachs to Associate Professor

Pediatrics, Tulsa

Lauren Conway, DO to Associate Professor
Laura Stuemky, MD to Associate Professor

Psychiatry, Tulsa

Andrew Liew, MD to Associate Professor
Tessa Manning, MD to Associate Professor
Ashley Walker, MD to Professor

Surgery, Tulsa

Zhamak Khorgami, MD to Associate Professor

COLLEGE OF NURSING

Biobehavioral Health Science

Melissa Craft, APRN-CNS, AOCN, FCNS, FAAN to Professor
Susan Dresser, PhD, MSN, RN, APRN-CNS, FCNS to Associate Professor

Child and Family Health Sciences

Jennifer Heck, PhD, RNC-NIC, CNE, PMH-C to Associate Professor

COLLEGE OF PHARMACY

Pharmacy Clinical and Administrative Sciences

Paul M. Boylan, PharmD, BCPS to Associate Professor
Vincent C. Dennis, Pharm.D, BCACP to Professor
Motolani Ogunsanya, PhD, DPh to Associate Professor

Pharmaceutical Sciences

Amanda Sharpe, PhD to Associate Professor

COLLEGE OF PUBLIC HEALTH

Biostatistics and Epidemiology

Sydney Martinez, PhD to Associate Professor

Health Promotion Sciences

Motolani Ogunsanya, PhD, DPh to Adjunct Associate Professor

GRADUATE COLLEGE

Health Sciences Library and Information Management (Tulsa)

Emrys Moreau to Associate Professor

ACADEMIC PROMOTIONS
NORMAN CAMPUS

COLLEGE OF ARCHITECTURE

Architecture

Katja W. Lieberman to Associate Professor
Tamar Zinguer to Associate Professor

Construction Science

Ben F. Bigelow to Professor

COLLEGE OF ARTS AND SCIENCES

African and African-American Studies

Kalenda Eaton to Professor

Anthropology

Jessica Cerezo-Roman to Associate Professor
Elyse Singer to Associate Professor

Biological Sciences

Elizabeth A. Karr to Professor
Hayley Lanier to Associate Professor
Chongle Pan to Professor
Ashlee A. Rowe to Associate Professor

Chemistry and Biochemistry

Laura J. Clifford to RT Associate Professor

Communication

John A. Banas to Professor
Patrick C. Meirick to Professor

English

Melissa Antonucci to RT Senior Lecturer
Jennifer Chancellor to RT Senior Lecturer
Karen A. Feiner to RT Senior Lecturer
Jason D. Lubinski to RT Senior Instructor
Justin Sider to Associate Professor

History

Jennifer J. Davis Cline to Professor
Ronnie A. Grinberg to Associate Professor
Sarah Hines to Associate Professor

History of Science, Technology, and Medicine

Suzanne M. Moon to Professor

Mathematics

Ricardo Mendes to Associate Professor
Yilun Wu to Associate Professor

Oklahoma Biological Survey

Jeremy D. Ross to Associate Professor

Political Science

Tyler Johnson to Professor
Meeyoung Lamothe to Professor

Psychology

Lauren E. Ethridge to Associate Professor
Adam Feltz to Professor
Jennifer L. Kisamore to Professor
Lara Mayeux to Professor

Social Work

Claudette L. Grinnell-Davis to Associate Professor
Carol M. Jankowski to RT Clinical Associate Professor
Jonathan R. Kratz to RT Clinical Associate Professor
Anthony P. Natale to Professor
Angela D. Pharris to Associate Professor

Sociology

Julie Gerlinger to Associate Professor
Erin Maher to Professor
B. Mitchell Peck to Professor

COLLEGE OF ATMOSPHERIC AND GEOGRAPHIC SCIENCES

Geography and Environmental Sustainability

Renee A. Mc Pherson to Professor

Meteorology

Pierre Emmanuel Kirstetter to Professor

COLLEGE OF BUSINESS

Management Information Systems

Alexandra Durcikova to Professor

Marketing and Supply Chain Management

Theunis F. Steyn to RT Senior Lecturer

COLLEGE OF EARTH AND ENERGY

Geosciences

Heather Bedle to Associate Professor

COLLEGE OF EDUCATION

Educational Psychology

Gary W. Davis to RT Senior Instructor
Brittany L. Hott to Professor

Instructional Leadership and Academic Curriculum

Kyong Ah Kwon to Professor
Kate M. Raymond to Associate Professor

COLLEGE OF ENGINEERING

Aerospace and Mechanical Engineering

Wilson E. Merchan Merchan to Professor

Biomedical Engineering

Qinggong Tang to Associate Professor

Civil Engineering and Environmental Science

Pierre Emmanuel Kirstetter to Professor
Arif Mohaimin Sadri to Associate Professor
Tiantian Yang to Associate Professor

Computer Science

Song Fang to Associate Professor
Chongle Pan to Professor

Electrical and Computer Engineering

Justin G. Metcalf to Associate Professor
Hjalti Sigmarsson to Professor
Binbin Weng to Associate Professor

Industrial and Systems Engineering

Owen (Doyle) T. Dodd to RT Associate Professor
Andres D. Gonzalez Huertas to Associate Professor

Sustainable Chemical, Biological and Materials Engineering

Jie Gao to RT Associate Professor
Sepideh Razavi to Associate Professor

EXPOSITORY WRITING PROGRAM

Expository Writing Program

Timothy G. Bradford to RT Senior Lecturer
Vincent N. LoLordo to RT Senior Lecturer

Writing Center

Talisha M. Haltiwanger Morrison to Associate Professor

COLLEGE OF FINE ARTS

Dance

Boyko G. Dossev to Associate Professor
Leslie K. Steffensen to Associate Professor

Music

Melissa M. Baughman to Associate Professor

Visual Arts

Jamie M. Bates Slone to Associate Professor
Erin Duncan-O'Neill to Associate Professor
Alison Fields to Professor

HONORS COLLEGE

Amanda G. Minks to Professor

COLLEGE OF JOURNALISM AND MASS COMMUNICATION

Ray A. Claxton to Associate Professor
Chang Sup Park to Professor
Ekaterina Y. Tsetsura to Professor

OKLAHOMA MUSEUM OF NATURAL HISTORY

Hayley Lanier to Associate Curator

COLLEGE OF PROFESSIONAL AND CONTINUING STUDIES

Roksana Alavi-Robb to RT Professor
John L. Duncan to Associate RT Professor
Paul R. Ketchum to Associate RT Professor

UNIVERSITY LIBRARIES

Sarah E. Robbins to Librarian/Professor

President Harroz recommended the Board of Regents approve the academic tenure actions presented to be effective July 1, 2024.

Regent Ross moved approval of the recommendation. The following voted yes on the motion: Regents Stevenson, Keating, Nagel, Ross, and Braught. The Chair declared the motion unanimously approved.

ACADEMIC PERSONNEL ACTIONS – ALL

Health Sciences Center:

LEAVE(S) OF ABSENCE:

Naqash, Abdulrafteh, Assistant Professor of Medicine (Hematology/Oncology), leave of absence with pay, January 2, 2024, through January 19, 2024.

Naqash, Abdulrafteh, Assistant Professor of Medicine (Hematology/Oncology), return from leave of absence with pay, January 22, 2024.

NEW APPOINTMENT(S):

Rhudy, Jamie, PhD, Professor of Health Promotion Sciences – Public Health, George Kaiser Family Foundation Endowed Chair, and Site Director of TSET Health Promotion Research Center, annualized rate of \$200,000 for 12 months, January 2, 2024 through June 30, 2024. New consecutive term appointment. Includes administrative supplement of \$10,000 while serving as site director.

CHANGE(S):

Balogun, Seki, Professor of Medicine (General Internal Medicine); FTE increase and salary changed from annualized rate of \$183,000 for 12 months, .60 time, to annualized rate of \$166,312 for 12 months, .65 time, December 31, 2023 through June 30, 2024. Decrease of \$16,688 for adjustment due to moving to OU Health physicians comp plan.

Deck, Jason, Associate Professor of Family and Community Medicine – Tulsa, Family Medicine Clerkship Director, Sports Medicine Fellowship Program Director, and George Kaiser Family Foundation Professorship of Community Medicine #23a; given additional title of Longitudinal Integrated Clerkship (LIC) Director, salary changed from annualized rate of \$148,261 for 12 months, to annualized rate of \$190,261 for 12 months, December 17, 2023 through June 30, 2024. Increase for administrative supplement of \$42,000 while serving as LIC Director.

McNally, Lacey, Professor of Surgery; salary changed from annualized rate of \$216,399 for 12 months, to \$250,000 for 12 months, December 17, 202 through June 30, 2024. Market adjustment of \$33,601 to address equity issue.

Sutherland, Edwin, Clinical Assistant Professor in Periodontics (Graduate Periodontics); FTE increase and salary changed from annualized rate of \$10,300 for 12 months, .20 time, to annualized rate of \$155,000 for 12 months, 1.00 time, December 31, 2023 through June 30, 2024. Increase of \$144,700 for increased FTE and additional clinical and didactic faculty duties.

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

Gaske, Elizabeth Jett, Clinical Associate Professor and Elizabeth Merrick Coe Chair in Breast Health, December 31, 2023.

O'Meilia, Jacob R, Assistant Professor of Psychiatry – Tulsa. Oxley Foundation Chair in the Program for Assertive Community Treatment, IMPACT Medical Director, and Behavioral Health Medical Director of the Sooner Health Access Network, March 1, 2024.

Paine, Gage, Clinical Associate Professor in Nursing Academic Programs, Associate Dean for Academic Affairs, March 31, 2024.

Radant, Matthew, Clinical Assistant Professor in Oral and Maxillofacial Surgery – Dentistry, January 1, 2024.

RETIREMENT(S):

Bender, Denise, David Ross Boyd Professor of Rehabilitation Sciences and Jill Pittman Jones Professorship of Physical Therapy, April 3, 2024.

Carr, Daniel, George Lynn Cross Research Professor of Ophthalmology and Stanton L. Young Endowed Chair in Ophthalmology, January 1, 2024. Named Professor Emeritus of Ophthalmology.

Gillies, Elizabeth M, Associate Professor of Pathology and Professorship of Excellence in Anatomical Pathology, January 1, 2024.

Rattan, Karen, Clinical Assistant Professor in Oral Diagnosis (Radiology) - Dentistry, January 23, 2024.

Norman Campus:

LEAVE(S) OF ABSENCE:

Aaenson-Fletcher, Jasmine R., Instructor and Field Liaison of the Anne and Henry Zarrow Social of Social Work at Tulsa, family medical leave of absence, September 28, 2023 through January 4, 2024.

Bass, Loretta E., Professor of Sociology, Adjunct Professor of Women's and Gender Studies, and Edith Kinney Gaylord Presidential Professor, cancel sabbatical leave with full pay, July 1, 2024 through December 31, 2024.

Pilat, Stephanie Z., Professor and Director of the Division of Architecture and H. Russell Pitman Professor of Architecture, leave of absence with pay, July 1, 2024 through June 30, 2025.
National Endowment for the Humanities Individual Fellowship

Sabbatical Leaves of Absence – Fall Semester 2024 (with full pay)

Bates Slone, Jamie, Assistant Professor of Visual Arts

Boggs, Bruce A., Associate Professor of Modern Languages, Literatures, and Linguistics

Butko, Daniel J., Associate Professor and Acting Director of the Division of Architecture, and Associate Director of Curriculum and Assessments

Callahan, Marjorie P., Professor and Associate Director of the Division of Architecture

Carl, John D., Associate Professor of Sociology

Cerezo-Roman, Jessica, Assistant Professor of Anthropology

Chang, Kuang-Hua, David Ross Boyd Professor of Aerospace and Mechanical Engineering and Williams Companies Foundation Presidential Professor

Cheng, Qi, Professor of Computer Science and Williams Companies Foundation Presidential Professor

Craig, David A., Interim Dean and Professor of the College of Journalism and Mass Communication, President's Associates Presidential Professor and Gaylord Family Chair #1

Gao, Jie, Assistant Professor of Sustainable Chemical, Biological and Materials Engineering

Gibson, J. Phil, Professor and Interim Chair of the School of Biological Sciences, and Associate Director of Education of the Kessler Atmospheric and Field Ecological Station

Henderson, Stephen E., Professor of Law and Judge Haskell A. Holloman Professor of Law

Hines, Sarah T., Assistant Professor of History

Kellawan, J. Mikhail, Associate Professor of Health and Exercise Science

Keresztesi, Rita, Professor of English

Lipinski, Igor, Associate Professor of Music

Maher, Erin, Associate Professor of Sociology and Senior Associate Director of the Data Institute for Societal Challenges

Mains, Daniel C., Professor of Honors and Wick Cary Professor in Honors #1

Malka, Adam C., Associate Professor of History

Marashi, Afshin, Professor of International and Area Studies and Farzaneh Family Chair
Professor of Iranian Studies

Olberding, Amy L., Professor of Philosophy, Adjunct Professor of Women's and Gender Studies, and President's Associates Presidential Professor

Przebinda, Tomasz, Professor of Mathematics

Randall, Asa, Associate Professor of Anthropology

Rice, Charles V., Associate Professor of Chemistry and Biochemistry

Shaner, Megan W., Professor of Law, President's Associates Presidential Professor and Kenneth E. McAfee Centennial Chair in Law

Sinha, Kuver, Associate Professor of Physics and Astronomy and Carl T. Bush Professor of Theoretical Physics

Song, Hairong, Associate Professor of Psychology

White, Kelvin L., Associate Professor of Library and Information Studies, Interim Dean of the Joe C. and Carole Kerr McClendon Honors College and Senior Associate Dean of Faculty Development and Community in the Dodge Family College of Arts and Sciences

Zhang, Yan, Professor of Electrical and Computer Engineering and President's Associates Presidential Professor

Sabbatical Leaves of Absence – Fall 2024 and Spring 2025 Semesters (with half pay)

Costa Morais de Sa e Silva, Fabio, Associate Professor of International and Area Studies and Wick Cary Professor of International and Area Studies #6

Grinberg, Ronnie, Assistant Professor of History

Heaton, Raina, Associate Professor of Native American Studies and Associate Curator of Sam Noble Oklahoma Museum of Natural History

Johnson, Eric E., Earl Sneed Centennial Professor of Law

McGovern, Amy, Professor of Computer Science and of Meteorology, and Lloyd G. and Joyce Austin Presidential Professor

Morais de Sa e Silva, Michelle, Associate Professor of International and Area Studies and Wick Cary Professor of International Studies #2

Remling, Christian, Professor of Mathematics

Ward, Janet A., Professor of History, L.R. Brammer Jr. Presidential Professor and Dodge Family College of Arts and Sciences Faculty Fellow for Strategic Initiatives

Wu, Yilun, Assistant Professor of Mathematics

Zhu, Meijun, Professor of Mathematics

NEW APPOINTMENT(S):

Dwyer, Sean M., Assistant Professor of Entrepreneurship and Economic Development, annualized rate of \$175,000 for 9 months, August 16, 2024 through May 15, 2025. If Ph.D. not completed by August 15, 2024, title and salary to be changed to Acting Assistant Professor, annualized rate of \$170,000 for 9 months, August 16, 2024 through May 15, 2025. New tenure-track faculty.

Lian, Jie, Assistant Professor of Marketing and Supply Chain Management, annualized rate of \$175,000 for 9 months, August 16, 2024 through May 15, 2025. If Ph.D. not completed by August 15, 2024, title and salary to be changed to Acting Assistant Professor, annualized rate of \$170,000 for 9 months, August 16, 2024 through May 15, 2025. New tenure track-faculty.

Matherly, Ted, Ph.D., Assistant Professor of Marketing and Supply Chain Management, annualized rate of \$175,000 for 9 months, August 16, 2024 through May 15, 2025. New tenure-track faculty.

Petrenko, Oleg V., Ph.D., Associate Professor of Management and International Business and Rath Chair in Strategic Management, annualized rate of \$240,000 for 9 months, August 16, 2024. New tenured faculty.

Schneider, Thomas, Ph.D., Assistant Professor of Finance, annualized rate of \$240,000 for 9 months, August 16, 2024 through May 15, 2025. New tenure-track faculty.

Smith, Troy, Ph.D., Associate Professor of Management and International Business and McDonald Family Chair in Conscious Capitalism, annualized rate of \$235,000 for 9 months, August 16, 2024. New tenured faculty.

CHANGE(S):

Froslic, Peter Z., Professor and Director of the School of Visual Arts, annualized rate of \$151,525 for 12 months, additional stipend of \$6,250 for serving as Interim Associate Dean of the Weitzenhoffer Family College of Fine Arts, February 1, 2024 through June 30, 2024.

Heinze, Eric A., Professor of International and Area Studies, annualized rate of \$128,724 for 9 months, given additional titles Interim Associate Dean of the College of International and Area Studies and Max and Heidi Berry Chair in International and Area Studies, January 8, 2024.

Kinsinger, David L., Lecturer of Entrepreneurship and Economic Development, additional stipend of \$31,748 for serving as Director of the Entrepreneurial Law Clinic, January 1, 2023 through June 30, 2023; salary changed from annualized rate of \$105,575 for 9 months to annualized rate of \$166,000 for 12 months, July 1, 2023. Changing from 9-month faculty to 12-month academic administrator. Correction to the January 2023 Agenda.

Miller-Cribbs, Julie E., Professor of Social Work at Tulsa and Oklahoma Medicaid Professor in Mental Health #1, delete title Director of the Anne and Henry Zarrow School of Social Work, salary changed from annualized rate of \$162,977 for 12 months to annualized rate of \$135,168 for 9 months, January 1, 2024. Changing from 12-month academic administrator to 9-month faculty.

Moghanloo, Rouzbeh G., Associate Professor of Petroleum and Geological Engineering, given additional titles Director of the Natural Gas Engineering and Management Program and ONEOK Chair in Natural Gas Engineering and Management, salary changed from annualized rate of \$106,908 for 9 months to annualized rate of \$136,908 for 9 months, April 1, 2024.

Razavi, Sepideh, Assistant Professor of Sustainable Chemical, Biological and Materials Engineering, given additional title Susan K. Mallinson Professorship of Sustainable Chemical, Biological and Materials Engineering, salary remains at \$107,095 for 9 months, January 1, 2024.

Tang, Qinggong, Assistant Professor of Biomedical Engineering, given additional title Stephenson Professorship #3 in Biomedical Engineering, salary changed from annualized rate of \$101,881 for 9 months to annualized rate of \$128,881 for 9 months, December 1, 2023. Retention increase.

Tischler, Joseph G., Associate Professor of Physics and Astronomy and Avenir Foundation Chair in Condensed Matter Physics #1, annualized rate of \$154,140 for 9 months, additional stipend of \$5,000 for serving as Director of the Center for Quantum Research and Technology, January 1, 2024 through May 15, 2024.

Wilhelm, Stefan, Associate Professor of Biomedical Engineering, delete title Stephenson Professor #1 in Biomedical Engineering, given additional title Stephenson Chair #5 in Biomedical Engineering, salary changed from annualized rate of \$132,840 for 9 months to annualized rate of \$147,840 for 9 months, August 16, 2023.

RESIGNATION(S)/TERMINATION(S):

Salehi, Saeed, Associate Professor of Petroleum and Geological Engineering and Curtis Mewbourne Professor of Petroleum and Geological Engineering, February 1, 2024.

RETIREMENT(S):

Bergey, Elizabeth A., Professor of Biological Sciences and Heritage Zoologist of the Oklahoma Biological Survey, January 21, 2024. Named Professor Emeritus of Biological Sciences and Heritage Zoologist Emeritus of the Oklahoma Biological Survey.

Buckley, Michael R., Professor of Management and International Business, Tom G. Clark Presidential Professor and J.C. Penney Company Chair in Business Leadership, January 1, 2024. Named Professor Emeritus of Management and International Business.

Ge, Xun, Professor of Educational Psychology, July 1, 2023. Named Professor Emeritus of Educational Psychology.

Nelson, Donna, Professor of Chemistry, January 1, 2025. To be named Professor Emeritus of Chemistry.

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

Regent Ross moved approval of the recommendation. The following voted yes on the motion: Regents Stevenson, Keating, Nagel, Ross, and Braught. The Chair declared the motion unanimously approved.

ADMINISTRATIVE AND PROFESSIONAL PERSONNEL ACTIONS – ALL

Health Sciences Center:

CHANGE(S):

Frost, Kathryn L., Senior Clinic Business Administrator, CMT Office of the Dean, salary changed from an annualized salary of \$158,992 for 12 months to an annualized salary of \$164,239 for 12 months, December 17, 2023. Administrative Staff. Merit.

McCombs, Rachel K., title changed from Assistant General Counsel to Associate General Counsel, Legal Counsel, salary changed from an annualized salary of \$137,113 for 12 months to an annualized salary of \$150,824 for 12 months, January 1, 2024. Administrative Officer. Reclassification.

Seefeldt, Andrea N., title changed from Senior Associate Dean for Administration & Finance – COM to Administration & Operations Executive Director, Center for Clinical & Translational Research, salary changed from an annualized salary of \$291,588 for 12 months to an annualized salary of \$150,000 for 12 months. March 24, 2024. Administrative Staff. Transfer.

Stacy, David D., Operations Executive Director, OU Physicians – Tulsa Administration, salary changed from an annualized salary of \$190,407 for 12 months to an annualized salary of \$196,690 for 12 months, December 17, 2023. Administrative Staff. Merit.

Williams, Paula, Deputy General Counsel for Health Sciences Center, Legal Counsel, salary at an annualized rate of \$195,000 for 12 months, January 15, 2024. Administrative Officer. Correction to start date from January 2024 agenda.

Norman:

NEW APPOINTMENT(S):

*Alley, Zachary, Coach/Sports Professional III, Athletics, consideration of appointment, compensation, and contract of employment and to take any necessary action. Professional Nonfaculty.

*Deakin, Douglas, Special Teams Analyst, Athletics, consideration of appointment, compensation, and contract of employment and to take any necessary action. Professional Nonfaculty.

Rand, Robin, Executive Director OADII, Defense/Global Security Institute, salary at an annualized salary of \$300,000 for 12 months, February 1, 2024. Administrative Officer.

Wilkins, Kristopher J., Fabrication Director, VPR- ARRC, salary at an annualized rate of \$160,000 for 12 months, March 1, 2024. Administrative Staff.

Wiseman, William T., University Risk Officer, Legal Counsel, salary at an annualized salary of \$160,000 for 12 months, February 12, 2024. Administrative Staff.

CHANGE(S):

Andrews, Wesley A., Physician, Goddard, salary changed from an annualized salary of \$190,000 for 12 months to an annualized salary of \$218,500 for 12 months, January 12, 2024. Professional Nonfaculty. Retention.

*Bates, Todd, Coach/Sports Professional, Athletics, consideration of appointment, compensation, and contract of employment and to take any necessary action. Professional Nonfaculty.

*Bedenbaugh, William, Coach/Sports Professional, Athletics, consideration of appointment, compensation, and contract of employment and to take any necessary action. Professional Nonfaculty.

Biscoe, Belinda P., University Outreach Public & Community Services Senior Associate Vice President, PCS Administration, salary changed from an annualized salary of \$245,745 for 12 months to an annualized salary of \$255,945 for 12 months. January 3, 2024, Administrative Officer. Additional Duties.

Boren Jr., Nathan A., Physician, Goddard, salary changed from an annualized salary of \$199,238 for 12 months to an annualized salary of \$229,124 for 12 months, January 12, 2024. Professional Nonfaculty. Retention.

Brammer, Morgan C., Assistant Vice President for Enrollment Management, Admissions, salary changed from an annualized salary of \$122,890 for 12 months to an annualized salary of \$150,000 for 12 months, February 1, 2024. Administrative Staff. Reclassification/Retention.

* See motion on page xxxxx.

Davila, Jessica, Associate Dean, Academic Affairs IV, Dean's Office, salary changed from an annualized salary of \$152,250 for 12 months to an annualized salary of \$160,245 for 12 months. January 2, 2024, Administrative Staff. Temporary Additional Duties.

Garn, Gregg A., Vice President for OU Online, OU Online, salary changed from an annualized salary of \$317,398 for 12 months to an annualized salary of \$347,938 for 12 months for additional duties as Interim Dean of the College of Professional and Continuing Studies, January 1, 2024 – May 15, 2024. Executive Officer. Interim Appointment.

Hyppolite, Belinda, title changed from Vice President for Diversity, Equity & Inclusion to Vice President for Access & Opportunity, no change in salary, March 12, 2024. Executive Officer.

Rice, Craig E., Goddard Health Center Chief of Staff, Goddard, salary changed from an annualized salary of \$202,743 for 12 months to an annualized salary of \$240,000 for 12 months, January 12, 2024. Professional Nonfaculty. Retention.

Schade, Michael A., Senior Counsel, Office of Technology Development, salary changed from an annualized salary of \$188,181 for 12 months to an annualized salary of \$213,181 for 12 months for additional duties as Interim Executive Director of the Office of Innovation and Corporate Partnerships, February 1, 2024. Administrative Staff. Interim Appointment.

RESIGNATION(S)/TERMINATION(S):

Boren Jr., Nathan A., Physician, Goddard, April 20, 2024. Professional Nonfaculty. Resignation.

Hanak, John M., Chief Innovation and Corporation Officer, Office of Technology Development, February 3, 2024. Administrative Officer. Resignation.

Nunez, Roy J., Special Teams Analyst, Athletics, February 8, 2024. Professional Nonfaculty. Resignation.

Roof Jr., Terrence E., Coach/Sports Professional III, Athletics, January 5, 2024. Professional Nonfaculty. Resignation.

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

Regent Braught moved approval of the item with the following amendments that were presented to members of the Board and were made available to the public. The following voted yes on the amended motion: Regents Stevenson, Keating, Nagel, Ross, and Braught. The Chair declared the motion unanimously approved.

NEW APPOINTMENTS:

Alley, Zachary, Assistant Coach, Football, Coach/Sports Prof III, Athletics Department, that the appointment be approved effective January 12, 2024, with material terms of the employment agreement to include:

1. An initial term through January 31, 2027.
2. Base Salary of \$285,000 annually paid pro rata through standard University payroll procedures, plus University benefits provided to University employees based on this Base Salary.
3. Additional and outside income from unrestricted private funds for personal services, fundraising, promotional, public relations, endorsements, speaking engagements, and all other athletics-related contracts and activities for the University in the amount of

\$565,000 annually paid pro rata through standard University payroll procedures. Beginning February 1, 2025, this annual amount shall increase by \$50,000 and by an additional amount of \$50,000 annually effective beginning February 1 in each remaining contract year.

4. Performance Bonuses including a bonus of \$90,000 for winning the CFP National Championship.

Additionally, authorize the President and Athletics Director, with the assistance of the General Counsel, to negotiate terms of transition and execute the final terms of the agreement to include additional or modified terms and conditions customary and reasonable for agreements of this type, and report back to the Board as may be required under Board policy.

Deakin, Douglas, Special Teams Analyst, Athletics, salary at an annualized rate of \$180,000 for 12 months, February 22, 2024. Professional Nonfaculty.

CHANGES:

Bates, Todd J., Assistant Coach, Football, Coach/Sports Prof III, Athletics Department, that the employment agreement be modified effective February 1, 2024, with material changes to the terms of the employment agreement to include as follows:

Increase outside income from unrestricted private funds for personal services, fundraising, promotional, public relations, endorsements, speaking engagements, and all other athletics-related contracts and activities from the annual total of \$430,000 to the annual total of \$565,000 paid pro rata through standard University payroll procedures. Beginning February 1, 2025, this annual amount shall increase by \$50,000 and by an additional amount of \$50,000 annually effective beginning February 1 in each remaining contract year.

Additionally, authorize the President and Athletics Director, with the assistance of the General Counsel, to negotiate and execute the final terms of the agreement to include terms and conditions customary and reasonable for agreements of this type.

Bedenbaugh, William E., Assistant Coach, Football, Coach/Sports Prof III, Athletics Department, that the employment agreement be modified effective February 1, 2024, with material changes to the terms of the employment agreement to include as follows:

1. Extend the term of the employment agreement to January 31, 2027.
2. Effective February 1, 2024 delete and remove Section IV.D, Annual Stay Benefit in the amount of \$50,000 annually.
3. Increase outside income from unrestricted private funds for personal services, fundraising, promotional, public relations, endorsements, speaking engagements, and all other athletics-related contracts and activities from the annual total of \$485,000 to the annual total of \$715,000 paid pro rata through standard University payroll procedures. Effective February 1, 2025, this amount shall increase to \$865,000 annually. Effective February 1, 2026 this amount shall increase to \$915,000 annually.

Additionally, authorize the President and Athletics Director, with the assistance of the General Counsel, to negotiate and execute the final terms of the agreement to include terms and conditions customary and reasonable for agreements of this type.

FOR INFORMATION ONLY ITEMS

Also included in the agenda were the following items that were identified, by the administration of the University, as "For Information Only." No action was required, but discussion, comments or consideration could have occurred if requested.

PRINCIPAL GIFTS

NONSUBSTANTIVE PROGRAM CHANGES

PRECLINICAL TRANSLATIONAL RESEARCH RENOVATION

QUARTERLY REPORT OF PURCHASES

**QUARTERLY REPORT OF ON-CALL ARCHITECTS, ENGINEERS,
CONSTRUCTION MANAGERS & CONSTRUCTION SERVICES
QUARTERLY FINANCIAL ANALYSIS**

PRINCIPAL GIFTS TO THE UNIVERSITY OF OKLAHOMA

The following gifts and commitments have been received by the OU Foundation:

- \$2,000,000 from an anonymous donor to Engineering Dean's Discretionary Fund.
- \$1,000,000 from an anonymous donor to Engineering Dean's Discretionary Fund.
- \$12,000,000 from an anonymous donor to benefit the University of Oklahoma.
- \$1,900,000 from an anonymous donor to benefit Football.
- \$6,000,000 support from the University Hospitals Trust to benefit the Research in Medicine, Cardiovascular, GI and Pancreatic Cancer as well as the Chair of the Department of Internal Medicine.
- \$1,500,000 from an anonymous donor to benefit the University of Oklahoma.
- \$3,600,000 from the Christine Margaret Avakoff Survivors Admin Trust to establish an endowed scholarship in the College of Medicine.
- \$11,839,412 from the Shelby Cullom Davis Charitable Fund to benefit the Davis Scholars.
- \$1,205,657 from an anonymous donor to benefit The Hard-Working Oklahomans Endowed Scholarship fund for Price College of Business B/MAcc students.
- \$1,293,500 from an anonymous donor to benefit financial aid scholarships.
- \$1,000,000 from Chris Johnson to establish an endowed scholarship for OU Softball.
- \$1,000,000 from an anonymous donor to benefit the Dodge Family College of Arts & Sciences, Price College of Business and Athletics.
- \$1,149,960 from Sherry Faust to benefit University Libraries and Gibbs College of Architecture.

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

NONSUBSTANTIVE PROGRAM CHANGES – NC

The Oklahoma State Regents for Higher Education confer upon each institution the authority to implement administrative changes to their programs. These changes may be approved by the chief academic officer of the institution. The following changes have been approved by the appropriate faculty, academic units and deans, the Academic Programs Council or Graduate Council, and Senior Vice President and Provost. They are being forwarded to the Board of Regents for information only.

Administrative/Internal Program Changes
Recommended for Approval by the Academic Programs Council and Graduate Council
January/February 2024

New Minor

WEITZENHOFER FAMILY COLLEGE OF FINE ARTS

Commercial Music, Minor (MC TBD)

Requesting addition of a new minor in Commercial Music. Minimum hours for the minor are 21, with at least 9 at the upper division level. This minor will not require audition for admission and is open to all majors except Music.

Reason for request:

The minor in Commercial Music is a need that is not being served by our current degree offerings and provides access to School of Music courses to a new demographic of OU student. In addition, these new courses that will be developed as part of this proposed minor have been explicitly requested by graduating students. This minor will not only help with recruitment, but also with student retention.

Program Requirement Changes

CHRISTOPHER C. GIBBS COLLEGE OF ARCHITECTURE

Interior Design for Non-Architecture/Visual Communication Majors, Minor (MC N584)

Requesting a name change for the minor to Interior Design for Non-Architecture/Non-Visual Communication Majors. Course requirement changes: Replace I D 2773 Interior Construction with I D 1234 Interior Design Communication Studio II. Replace I D 4970 with any I D professional elective from an approved list of courses with a course designator of I D. Total credit hours for the minor will not change.

Reason for request:

Clarify name of minor. Remove I D 2773 Interior Construction because coursework and prerequisite knowledge was too advanced for minor students. Remove I D 4970 and add any I D professional elective from an approved list of courses with a course designator of I D to allow some flexibility for students to select one I D course for the minor.

Interior Design for Architecture Majors, Minor (MC N586)

Course requirement changes: Replace I D 4970 with any I D professional elective from an approved list of courses with a course designator of I D. Change the title on I D 4573 to Interior Lighting and on I D 4764 to Furniture Design Build Studio. Total credit hours for the minor will not change.

Reason for request:

Remove I D 4970 and add any I D professional elective from an approved list of courses with a course designator of I D to allow some flexibility for students to select one I D course for the minor.

Interior Design for Visual Communication Majors, Minor (MC N588)

Course requirement changes: the minor is changing from 18 hours of specific required courses to choose 15 hours from a list of courses. Total credit hours for the minor will change from 18 to 15 hours.

Reason for request:

Total credit hours will change from 18 to 15 to align with the other two Interior Design minors (ID minor for architecture students and ID minor for non-architecture/non-visual communication students).

COLLEGE OF ATMOSPHERIC AND GEOGRAPHIC SCIENCES

Bachelor of Arts (in Environmental Sustainability: Planning & Management)/Master of Regional & City Planning (RPC 381/199, MC A408-P516/F817-Q228)

Course requirement changes to all concentrations. In the college requirements, change the choose one gen ed science to GEOG 1114 as the requirement. Under Major Requirements: add GEOG 2021; remove GEOG 3773; change GEOG 3923 from 4 hours to 3 hours making it GEOG 3923; change the name of GEOG 4893 to Research and Professional Development; add Major Electives that require two courses (6 hours) to be chosen from list of elective courses; and change the concentration requirement from 12 hours to 9 hours, with at least 6 hours of GEOG courses. Under Major Support Requirements: change the requirement from 24 hours to 20 hours, including 6 hours of upper-division courses. The three concentrations are currently on separate checksheets and will be combined into one checksheet following this modification. Total credit hours for the accelerated degree will not change.

Reason for request:

We have added some new courses within our department to help update our program for students and we want these to be implemented into our major.

Bachelor of Science (in Environmental Sustainability: Planning & Management)/Master of Regional & City Planning (RPC 382/199, MC A410-P516/F817-Q229)

Course requirement changes to all concentrations. In the college requirements, change the requirement from PHYS 2424 or 2524 gen ed science to GEOG 1114 as the requirement. Under Major Requirements: add GEOG 2021; remove GEOG 3773; change GEOG 3923 from 4 hours to 3 hours making it GEOG 3923; change the name of GEOG 4893 to Research and Professional Development; remove all the course options for the computer-related elective and add GIS 1313 as the requirement; add Major Electives that require two courses (6 hours) to be chosen from list of elective courses; and change the concentration requirement from 12 hours to 9 hours, with at least 6 hours of GEOG courses. Under Major Support Requirements: change the requirement to courses to be chosen from a list of approved courses maintained by the department. The three concentrations are currently on separate checksheets and will be combined into one checksheet following this modification. Total credit hours for the accelerated degree will not change.

Reason for request:

We have added some new courses within our department to help update our program for students and we want these to be implemented into our major.

Geographic Information Systems, Minor (MC N462)

Course requirement changes to the Elective list. Make the following changes to the Elective list for the minor: Remove GEOG 3924. Add GEOG 1113, GEOG 4023, GEOG 4183, GIS 1313, GIS 3003, GIS 4173, GIS 4243, GIS 4243, GIS 4553, and GIS 4833. Total credit hours for the minor will not change.

Reason for request:

We have added new GIS professors and have added new GIS courses. We need to update the minor to our most up to date GIS courses.

BOREN COLLEGE OF INTERNATIONAL STUDIES

Bachelor of Arts (in International Studies)/Master of Arts (in Global Studies) (RPC 018/337, MC A605/F497)

Course requirement changes. An international experience will no longer be required in order for students to graduate, but it will still be strongly encouraged. Students will no longer be required to have four semesters of a foreign language. Foreign language hours will be reduced to three semesters and therefore match the language requirement for College of Arts & Sciences majors. The wording on the check sheet and program of study will be updated accordingly. Department maintained undergraduate course list has been updated. Total credit hours for the accelerated degree will not change.

Reason for request:

Removing the international experience requirement will make our programs more accessible to students and less burdensome financially. Removing a semester of language study (from four to three) will match the language requirement for College of Arts & Sciences majors and will benefit many of the double majors who do not want to continue past the third semester. Updating check sheet and program of study to reflect these changes.

Iranian Studies, Minor (MC N609)

Course requirement changes. Update the course titles for IAS 3223 to Modern Iran: Islam & Revolution and IAS 3413 to Iran & Islam in Global History. Add the following courses to the list of approved minor electives: IAS 3233 Nationalism & the Middle East, IAS 3423 Middle East through Film, and IAS 3763 Women & Gender in the Middle East. Remove FMS 3843 from the list of approved minor electives. Total credit hours for the minor will not change.

Reason for request:

Updating the minor check sheet to reflect recent changes to the course titles for IAS 3223 and IAS 3413. Adding a recently approved course to the minor elective list (IAS 3423); adding two courses that were accidentally left off the last time a program modification was submitted (IAS 3233 and IAS 3763); removing FMS 3843 as an elective since approved topic has not been offered since the course was added to the check sheet several years ago.

GAYLORD COLLEGE OF JOURNALISM AND MASS COMMUNICATION

Bachelor of Arts (in Journalism)/Master of Arts (in Journalism and Mass Communication) (RPC 137/138, MC A610/F610-Q394)

Program requirement changes: Remove current admission requirements since students will be admitted directly to the college in 2024. The current admission requirements have been revised to become the College retention requirements. Lower the Retention GPA for all Freshmen or

Transfer students from 2.75 to 2.50 GPA. Transfer students must have a 2.50 combined retention GPA for admission. Remove the College requirement of "at least 65 of these hours must be in liberal arts and sciences courses". Free electives were removed to reduce total hours.

Course requirement changes for the Journalism option: In Major Requirements, remove "Choose two of the following" and its list of choices, JMC Skill Streams and associated course lists, and JMC 3003. Reduce electives down to 6 hours, from a list maintained by the department. Add the following requirement: Choose 5 of these 6 courses (5 hours): JMC 1031, JMC 1041, JMC 1051, JMC 1061, JMC 1071, or JMC 1081. Intermediate Courses (15 hours): JMC 3013 (changing name to Intermediate Cross-Platform Reporting), JMC 3663 Visual Reporting (name change), JMC 3683 Digital Reporting (name change), JMC 4013 Essential Reporting (name change), JMC 4833 (retained from previous requirements). Advanced Courses (12 hours): JMC 4033, JMC 4183 Adv. Cross-Platform Reporting (name change), JMC 4803 and JMC 4863 retained from previous requirements. Add Practicum (1 credit), chosen from JMC 3011 rotating offerings. Total credit hours for the accelerated degree will change from 124 to 120.

Reason for request:

Changes to lower total degree hours to 120 and update admission/transfer GPA to allow students to enter and graduate within the 4-year retention goal.

Changes to the Journalism option curriculum addressed four core needs the college heard during discussing with news leaders: 1) Provide a set of foundational courses hyper-targeted on specific news gathering and conceptual skills. 2) Remodel courses previously designed to fit one stream (broadcast, print or online) to be cross- platform reporting courses. 3) Replace the skill streams with levels that progress from foundational level to intermediate level to advanced level courses. 4) Allows students the freedom to choose elective courses that fit their professional aspirations rather than a legacy media stream.

Bachelor of Arts (in Journalism Advertising)/Master of Arts (in Journalism and Mass Communication) (RPC 134/138, MC A006/F610-Q020)

Program requirement changes. Remove current admission requirements since students will be admitted directly to the college in 2024. The current admission requirements have been revised to become the College retention requirements. Lower the Retention GPA for all Freshmen or Transfer students from 2.75 to 2.50 GPA. Transfer students must have a 2.50 combined retention GPA for admission. Remove the College requirement of "at least 65 of these hours must be in liberal arts and sciences courses". Free electives were removed to reduce total hours. Total credit hours for the accelerated degree will change from 147-148 to 143-144.

Reason for request:

Changes to lower total undergraduate degree hours to 120 and update admission/transfer GPA to allow students to enter and graduate within the 4-year retention goal.

Bachelor of Arts (in Creative Media Production)/ Master of Arts (in Journalism and Mass Communication) (RPC 135/138, MC A256/F610-Q159)

Program requirement changes. Remove current admission requirements since students will be admitted directly to the college in 2024. The current admission requirements have been revised to become the College retention requirements. Lower the Retention GPA for all Freshmen or Transfer students from 2.75 to 2.50 GPA. Transfer students must have a 2.50 combined retention GPA for admission. Remove the College requirement of "at least 65 of these hours must be in liberal arts and sciences courses". Free electives were removed to reduce total hours. Total credit hours for the accelerated degree will change from 147-148 to 143-144.

Reason for request:

Per Regent request to lower total undergraduate degree hours to 120 and update admission/transfer GPA to allow students to enter and graduate within the 4yr retention goal.

Course Designator Requests

MEWBOURNE COLLEGE OF EARTH AND ENERGY

SES-Sustainable Energy Systems

Requesting a new course designator for a new undergraduate certificate. CEE 2113 and CEE 2123 will be moved to the SES course designator.

Reason for request:

A proposal for a new Sustainable Energy Systems Undergraduate Certificate has been submitted. Since the SES course designator did not exist at the time the new courses were created for the certificate, we instead use the CEE course designator as a placeholder for the two new courses.

COLLEGE OF PROFESSIONAL AND CONTINUING STUDIES

PSAD-PACS Aerospace & Defense. Requesting a new course designator for LSIS courses in aerospace and defense.

PSBA-PACS Business Administration. Requesting a new course designator for LSIS and LSAL courses in Business Administration.

PSCJ-PACS Criminal Justice. Requesting a new course designator for LSCJ courses in Criminal Justice.

PSCJ-PACS Criminal Justice. Requesting a new course designator for LSCJ courses in Criminal Justice.

PSCS-PACS Computer & Data Science. Requesting a new course designator for LSIS and LSTD courses in computer and data science.

PSGS-PACS Global Studies. Requesting a new course designator for planned new courses in global studies.

PSHA-PACS Health Administration. Requesting a new course designator for LSAL, LSLC, and LSIS courses in healthcare administration.

PSHU-PACS Humanities. Requesting a new course designator for LSTD courses in humanities.

PSIS-PACS Integrative Studies. Requesting a new course designator for LSTD, LSAL, and LSIS courses in Integrative Studies.

PSMS-PACS Math. Requesting a new course designator for LSTD courses in Math.

PSNS-PACS Natural Science. Requesting a new course designator for LSTD courses in natural science.

PSOL-PACS Organizational Leadership. Requesting a new course designator for LSAL courses in organizational leadership.

PSSC-PACS Social Sciences. Requesting a new course designator for LSTD and LSIS courses in social sciences.

Reason for request:

The College of Professional and Continuing Studies is moving from Liberal Studies campus to Norman Campus. Updates to the college code, course code, course attributes, and program code reflect the name College of Professional and Continuing Studies instead of College of Liberal Studies.

POLYTECHNIC INSTITUTE

AI-Artificial Intelligence

Requesting a new course designator for a new degree program.

Reason for request:

This is for a new program to be offered by the OU Polytechnic Institute with a target first class date of August 2025.

SDI-Software Development and Integration

Requesting a new course designator for a new degree program.

Reason for request:

This is for a new program to be offered by the OU Polytechnic Institute with a target first class date of August 2025.

Administrative/Internal Program Changes
Recommended for Approval by the Academic Programs Council and Graduate Council
December 2023

Program Requirement Change

WEITZENHOFFER FAMILY COLLEGE OF FINE ARTS

Dance History, Minor (MC N269)

Course requirement changes for the technique classes: Remove DANC 2314, DANC 3214, and DANC 3314; Add DANC 2313, DANC 3213, DANC 3313, and DANC 2512. DANC 2552 will be deleted. Total credit hours for the minor will not change.

Reason for request:

Updating the course numbers for several courses due to credit hour changes. The deletion of DANC 2552 as a technique option is due to a faculty member's retirement. DANC 2512 will replace DANC 2552.

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

PRECLINICAL TRANSLATIONAL RESEARCH RENOVATION – HSC

At the May 2018 meeting, the Board of Regents approved the Preclinical Translational Research Renovation project as a part of the comprehensive Campus Master Plan of Capital Improvement Projects for the Oklahoma City campus. At the December 2019 meeting, the Board of Regents approved and authorized the administration to negotiate the terms of an Agreement for full architectural services with GH2 Architects, LLC. Construction Documents are currently being prepared for bidding. At the September 2023 meeting the total project budget of \$18,000,000 was approved and the Board authorized the administration to bid and award a construction contract to the lowest responsible bidder in an amount not to exceed \$14,500,000.

On November 9, 2023, bids for construction were received from two firms. The bids have been evaluated by the project architects and the following representatives of the University administration:

Earl Chain, Assistant Director, Architectural and Engineering Services
Tom Deal, Sr. Construction Project Manager, Architectural and Engineering Services

A contract in the bid amount of \$13,880,000 has been awarded to Wynn Construction Co., Inc., the low bidder. A complete tabulation of the bids is shown below.

State statutes allow change orders to be issued for work not included in bid alternates or unit prices in a cumulative amount up to ten percent of the construction cost. 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 within statutory and project budget limitations.

**TABULATION OF BIDS
PRECLINICAL TRANSLATIONAL RESEARCH RENOVATION**

Contractor	Base Bid	Alternate 1
Wynn Construction Co., Inc.	\$13,880,000	\$775,000
Downey Contracting LLC	\$14,894,000	\$499,000

The University did not accept Alternate 1.

Funds to cover the costs associated with the project have been identified and are available and budgeted from grant funds.

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

QUARTERLY REPORT OF PURCHASES – ALL

Section 4.11.7 of the Board of Regents Manual requires that certain purchases “must be reported to the Board of Regents at least quarterly.” The quarterly report for October 1, 2023, to December 31, 2023, is attached hereto as Exhibit O. This report includes a synopsis of contracts entered to acquire goods and services by category and funding source. This data does not include purchasing card purchases or travel costs because such purchases do not fall within University Procurement. Additionally, these do not include certain small-dollar purchases made through the University purchasing platforms like office supplies, lab supplies, and standard IT equipment. Procurement will begin providing greater detail and spending analyses in future reports.

The report is sorted by funding source (Educational & General, Non-Sponsored, Sponsored, *etc.*), then by supplier name, campus, and department. As required by Section 4.11.7, the report identifies sole source purchases.

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

QUARTERLY REPORT OF ON-CALL ARCHITECTS, ENGINEERS, CONSTRUCTION MANAGERS & CONSTRUCTION SERVICES– ALL

In March 2023, the Board of Regents authorized a group of architectural and engineering firms to provide professional on-call services and authorized a group of construction management firms to provide on-call services for minor construction and renovation projects. The Board of Regents policy governing the buying and selling of goods and services states that purchase obligations between \$50,000 & \$1,000,000 must be reported quarterly to the board as an information item.

Work completed during the 2nd quarter of Fiscal Year 2024 by on-call architectural, engineering, and construction management firms are summarized below.

<i>Firm Name</i>	<i>Date Initiated</i>	<i>Work Performed</i>	<i>Fee</i>
<u>For the OU-Norman Campus</u>			
CEC Corporation	November 14, 2022	Cate Center Drive	\$850
Kirkpatrick Forest Curtis	May 17, 2023	Freshman Housing Tornado Shelter Review	\$6,419
Kirkpatrick Forest Curtis	June 27, 2023	Sarkeys Fitness Retaining Wall	\$6,450
Miles Architecture	September 25, 2023	Radar Test Facility-NOAA	\$77,469
Rand Elliott Architects	December 7, 2021	Jacobson House	\$3,695
Rees Architects	November 30, 2022	Gaylord Hall Entry Doors	\$5,763
Studio Architects	May 9, 2023	Phy Sci Student Success Center	\$7,418
Flintco	August 22, 2023	GFOMS South End Zone Flagpole Replacement	\$8,438
<u>For the Health Sciences Center Campus - Oklahoma City:</u>			
JHBR, Inc	June 1, 2022	Nuclear Pharmacy Closed Door	\$1,220
Professional Engineering Consultants, PEC	March 27, 2023	BRC 340 – MEP	\$3,000
The McKinney Partnership Architects	December 16, 2020	College of Nursing -2 nd Floor Simulation	\$4,251
<u>For the OU-Tulsa Campus:</u>			
Pinnacle Design Group	April 13, 2023	Tulsa Culinary Kitchen	\$10,750
A C Owens	September 30, 2022	SHSC Internal Medicine Clinic	\$16,249

Cumulative Total Professional Architectural, Engineering, and Construction Management Fees for work completed by On-calls through the second quarter of fiscal year 2024.

For the OU-Norman Campus:

Firm Name	Total Fees
CEC Corporation	\$7,225
C.H. Guernsey & Company	\$4,456
Crafton Tull	\$5,000
Gwin Engineering Consultants	\$9,315
Kimley Horn Engineering	\$35,000
Kirkpatrick Forest Curtis	\$25,124
Miles Architecture	\$95,362
Parkhill, Smith & Cooper – dba Lemke Surveying	\$6,800
Rand Elliott Architects	\$3,695
Rees Architects	\$5,763
Studio Architects	\$7,418
Flintco	\$79,127
Total Norman Campus	\$284,285

For the Health Sciences Center - Oklahoma City:

Firm Name	Total Fees
JHBR, Inc	\$1,220
Lingo Construction Services, Inc	\$9,311
Pinnacle Design Group	\$11,222
Professional Engineering Consultants, PEC	\$3,000
The McKinney Partnership Architects	\$4,251
ZFI Engineering Co.	\$5,426
Total Health Sciences Center, Oklahoma City	\$34,430

For OU-Tulsa:

Firm Name	Total Fees
Pinnacle Design Group	\$10,750
A C Owens	\$16,249
Total Tulsa Campus	\$26,999
Total for Architects, Engineers & CM's – ALL Campuses	\$345,714

Work completed during the second quarter of Fiscal Year 2024; construction services selected through the competitive bidding process. Nothing to report at this time.

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

QUARTERLY FINANCIAL ANALYSIS – ALL

By request of the Board of Regents, the Health Sciences Center and Norman Campus *Statements of Net Position* as of December 31, 2023, and *Statements of Changes in Net Position* for the six months then ended are attached hereto as Exhibit P. The statements are unaudited and are presented for management use only.

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

ELECTION OF OFFICERS

Regent Nagel moved that Regent Eric Stevenson be elected Chair of the Board of Regents and Regent Anita Holloway be elected as Vice Chair of the Board of Regents, each of whose terms shall commence on March 21st, 2024, and each shall serve until their respective successors shall be elected.

The following voted yes on the motion: Regents Stevenson, Keating, Nagel, Ross, and Braught. The Chair declared the motion unanimously approved.

There being no further business, the meeting adjourned at 4:01 pm.

Elizabeth B. Roberts
 Interim Executive Secretary of the
 Board of Regents

CU Code of Student Conduct

GENERAL PROVISIONS

1.01 APPLICABILITY

This Code of Student Conduct is adopted pursuant to authority granted by the University's Board of Regents. This Code applies to on-campus conduct of every student enrolled at the University and includes conduct using University computing or network resources. The Code also applies to all students off-campus when using University facilities, participating in University programs or activities, participating in programs or activities of registered student organizations, or engaging in any conduct which would constitute a criminal offense as defined by local, state, or federal law, regardless of the existence or outcome of any criminal proceeding. The Code may be applied to behavior conducted online, via e-mail, text, or another electronic medium.

1.02 DEFINITIONS

- a. "Academic work" means the preparation of an essay, thesis, report, problem assignment, computer program, or other project which is submitted for purposes of grade determination.
- b. "Code" means this Code of Student Conduct.
- c. "Director" means the Director of Student Development or Director of Student Housing and Residence Life or designee.
- d. "Disciplinary action" means proceedings under Section 3 of this code.
- e. "Hazing" means those activities defined in the Cameron University Hazing Code (See Appendix A).
- f. "Hearing Officer" means a person appointed by the Dean of Students, who in most cases will be the Director of Student Development, the Director of Student Housing and Residence Life, or the Chair of the Disciplinary Committee, to conduct hearings.
- g. "Notice" means correspondence via official University communication. Any of the following means constitutes "notice" for the purposes of this policy: (1) sent by mail, addressed to the addressee at the local address, as shown on University records in the Office of the Registrar; (2) personally delivered to the addressee; (3) an email to a University email address; or by (4) certified mail, return receipt requested, to the address on file.
- h. "Preponderance of the evidence" means a fact is more likely to be true than not.
- i. "Record" means all written documents, forms, copies, reports, statements, tape recordings, or tangible evidence in a disciplinary action.
- j. "DOS" means Dean of Students unless otherwise noted.

RIGHTS OF STUDENTS

2.01 STUDENT RIGHTS

Cameron University students are guaranteed certain rights by the constitution of the United States and the State of Oklahoma. In recognition of these rights and in keeping with the values underlying them, Cameron University recognizes the following student rights:

- a. To pursue an education as long as the University's applicable academic standards, policies, regulations, and applicable laws are followed;
- b. To certain procedural due process, including notice and an opportunity to be heard;
- c. To a prompt, fair, and impartial process during University investigations and proceedings, from an initial investigation to the final result;
- d. In cases involving sexual misconduct, the complainant/reporting party and the respondent have the right to have the investigation and proceedings conducted by officials with annual training on issues related to dating violence, domestic violence, sexual violence, and stalking, and on how to conduct an investigation and hearing process that protects the safety of victims and promotes accountability;
- e. To request appropriate action from the administration for any violation of a right guaranteed by this Code;
- f. To establish or disseminate publications free from any censorship or other official action controlling editorial policy or content, in accordance with applicable regulations and University policy;
- g. To invite and hear any speaker of choice on any subject, in accordance with applicable regulations and University policy;
- h. To use campus facilities, in accordance with applicable regulations and University policy;
- i. To peaceably assemble, to demonstrate, inform, or protest, in accordance with applicable regulations and University policy;
- j. To be secure in their possessions, against invasion of privacy, and unreasonable search and seizure;
- k. To form, join and participate in any student organization or group without regard to race, color, national origin, sex, sexual orientation, gender identity, gender expression, genetic information, age (40 or older), religion, disability, political beliefs or status as a veteran. Provided, in accordance with Oklahoma state law, a religious student association may choose to limit its membership or leadership based on the sincerely held religious beliefs, observances, or practices of the group; Provided further pursuant to Title IX, certain tax-exempt nonprofessional, social fraternities and sororities may be permitted to restrict membership based on sex; and
- l. Not to be charged more than once for one incident by the Office of Student Development.

RESPONSIBILITIES OF STUDENTS

2.02 CONDUCT REQUIRED

Each student shall conduct themselves in a manner consistent with the University's mission as an educational institution. Any student who fails to conduct themselves in such a manner violates this code and a disciplinary action and sanction may be imposed. Students are responsible for complying with all local, state, and federal laws. As members of the University community, students are also responsible for familiarizing themselves with and complying with all published University policies, copies of which are available online and in The Office of Student Development.

In addition, students involved in disciplinary actions under this Code, whether as parties, witnesses, or committee members, have a duty to cooperate and discuss the incident with appropriate University officials, adhere to stated deadlines, attend scheduled meetings, provide documentation as requested, and participate in all University proceedings. Failure to fulfill these responsibilities may result in a student being charged with failure to comply with the direction of a University official or could result in a decision being made without the benefit of the student's participation. Nothing herein shall be interpreted as abridging one's right to be free from self-incrimination.

2.03 CONDUCT PROHIBITED

Students are responsible for meeting the University's minimal standards of appropriate conduct and may be disciplined for engaging or attempting to engage in ~~the following types of~~ prohibited conduct. The following list of prohibited conduct is inclusive, but not exhaustive:

- ~~a. Violation of local, state, or federal law or a University regulation or policy.~~
- ~~b. Engaging in Disruptive Activity or engaging in conduct that interferes with or disrupts any University teaching, research, administrative, disciplinary, public service, or any other authorized activity or the peace and welfare of any person, whether on or off campus including (1) persistent or gross acts of willful disobedience or defiance towards college personnel; (2) verbal abuse of a student or college employee; (3) disorderly, lewd, indecent, or obscene conduct; or (4) breach of peace on University property or at any University sponsored or supervised function.~~
- ~~c. Violation of any published University policy to include Student Housing and Residence Life and University owned facilities.~~
- ~~d. Failure to comply with the directives of a University official acting in the performance of their duties. This includes but is not limited to, the failure to respond to an official summons to the office of a University official within the designated time or failure to present identification upon request of any authorized University official.~~
- ~~e. Furnishing any false information to the University. Furnishing false information includes, but is not limited to, manufacturing, possessing, providing, making, or using false information or omitting relevant information to University officials or on University documentation including applications; forging, altering, or missing a University record or document; initiating a false report; knowingly using or possessing forged, altered or false~~

- documents or records; and providing false testimony or other evidence at a University disciplinary or other administrative hearing.
- f. ~~Failure to keep records up to date. Failing to keep the Registrar's Office notified of current school and/or permanent directory information, including email information.~~
 - g. ~~Engaging in academic dishonesty as defined and described in Section 6.07 of the Code.~~
 - h. ~~Theft. Possessing property that is known or should have been known to be stolen, taking property without the consent of the owner, even with the intent to return the property, or obtaining property by false pretenses.~~
 - i. ~~Misuse or defacement of property. Damage to or misuse of equipment, property, furniture, facilities, and buildings belonging to the University or property belonging to another.~~
 - j. ~~Interfering with, obstructing, or disrupting police or fire responses. Tampering with, impairing, disabling, or misusing fire protection systems such as smoke detectors, fire extinguishers, sprinklers, or alarms; failing to evacuate during a fire alarm; resisting arrest; failing to abide by the directions of police or fire personnel.~~
 - k. ~~Possession of or making use of University keys, to include an official Cameron ID, for an unauthorized purpose.~~
 - l. ~~Unauthorized entry or exit into or use of University buildings, facilities, equipment, or resources.~~
 - m. ~~Any illegitimate or unauthorized use of computer systems, resources, facilities, hardware, or software or any violation of the Computer Use Policy or Residential Network Policy.~~
 - n. ~~Engaging in activities and behaviors considered hazing in nature which includes, but not limited to, an initiation by an organization utilizing any dangerous, harmful, or degrading act towards a student (See Appendix A).~~
 - o. ~~Violation of the published University policies on the possession and use of alcoholic beverages (See Appendix B).~~
 - p. ~~Gambling in any form on University property or sponsored activities.~~
 - q. ~~Illegal possession, use, sale, or distribution of any quantity, whether usable or not, of any drug, narcotic, or controlled substance, as well as any drug paraphernalia, especially on University property or at University activities.~~
 - r. ~~Actual or constructive possession or control of any weapon, including but not limited to air pistols, air rifles, lock blades, fixed blades, knives with a blade longer than three inches, blackjacks, metal knuckles, chemical substances, bombs, fireworks, or any other device found to be a violation of this Code. Instruments designed to look like any of the above are also included in this prohibition.~~
 - s. ~~Arson: The willful setting fire to or burning of a structure or its contents or the property of another.~~
 - t. ~~Malfeasance or misuse of elected or appointed office in a student organization.~~
 - u. ~~Abusive conduct: Unwelcome conduct that is sufficiently severe and pervasive that it alters the conditions of education and creates an environment that a reasonable person would find intimidating, harassing, or humiliating, or threatening to their mental or physical health. The frequency of the conduct and its severity, are factors that will be considered in determining whether the conduct is abusive. Abusive conduct includes~~

~~verbal abuse, physical abuse, or holding a person against their will. Simple teasing, offhanded comments, and isolated incidents (unless extremely serious) will not amount to abusive conduct.~~

- ~~v. Violation of the Sexual Misconduct, Discrimination, and Harassment Policy. Engaging in Title IX Sexual Harassment or other Prohibited Conduct as defined in the Sexual Misconduct, Discrimination, or Harassment Policy.~~
 - ~~w. Stalking (not gender based): Engaging in a course of conduct directed at a specific person that would cause a reasonable person to fear for the person's safety or the safety of others, or suffer substantial emotional distress.~~
 - ~~x. Sexual Misconduct: Refer to Section 2.03, Prohibited Sexual Misconduct.~~
 - ~~y. Retaliation: Taking any adverse action against a person because of, or in retaliation for, the person's reporting of a crime or violation of University policy, or in assisting in such a claim.~~
- a. Academic, Ethical, or Professional Codes
 - a. Engaging in academic dishonesty as defined and described in Section 6.07 of the Code
 - b. Alcohol
 - a. Violation of the published University policies on the possession and use of alcoholic beverages (See Appendix B).
 - c. Complicity
 - a. Attempting to commit, knowingly permitting, or being an accessory by knowingly aiding, conspiring, or assisting others with any act prohibited by this Code.
 - d. Disorderly Conduct and Unwanted Behaviors
 - a. Disorderly Conduct: Unreasonable and material behavior that is disruptive, lewd, or a breach of peace, including inciting others to do so.
 - b. Disruption or Obstruction of a University Activity: Unreasonable and material disruption or obstruction of a University activity such as teaching, research, recreation, meetings, public events, programs, services, administrative functions, and conduct proceedings.
 - c. Gambling: Gambling in any form on University property or sponsored activities.
 - d. Harassment: Behavior that is severe, pervasive, or persistent to a degree that a reasonable person would not tolerate and effectively denies or interferes with equal access to University education, employment, benefits, or privileges. This includes verbal abuse, threats, intimidation, stalking, and coercion. In addition, harassment may be conducted by a variety of mediums including physical, vocal, written, or electronic.
 - e. Hazing: Engaging in activities and behaviors considered hazing in nature which includes, but not limited to, an initiation by an organization utilizing any dangerous, harmful, or degrading act towards a student (See Appendix A).

- f. Physical Assault: Any physical force, causing, or that could reasonably cause, bodily harm upon any person including assault, fighting, brawling, or restraining someone against their will.
- g. Retaliation: Taking any adverse action against a person because of participation or non-participation in a report, investigation, claim, or grievance process.
- h. Threatening Behavior: A serious expression of intent to commit an act of unlawful violence against a particular individual, identifiable group, or damage to property. The threatening violence, including intimidation, causes reasonable fear of injury to the health or safety of any person, group, or property.
- e. Drug
 - a. Possessing, using, providing, manufacturing, selling, or distributing of any quantity, whether usable or not, of any drug, narcotic, or controlled substances, as well as any drug paraphernalia. This includes a prohibition of any marijuana use or possession, including medical or recreational marijuana, on University premises or while participating in University sponsored activities.
 - b. Misuse of legal substances such as using general products as intoxicants or “means to get high” and inhaling or ingesting a substance other than in connection with its intended purpose.
 - c. Possessing, using, providing, distributing, or selling prescription drugs by persons other than the person to whom the drug is prescribed or use not in accordance with the prescription.
- f. Failure to Comply
 - a. Failure to Comply or Complete a University Sanction in a Satisfactory Manner: Failure to adhere to sanctions, safety and interim measures, or engaging in other prohibited conduct.
 - b. Failure to Comply with a University Official: Disobeying instructions or directions by a University official who is acting in good faith of their duties including failing to identify oneself, respond to University correspondence, or attend University scheduled meetings.
 - c. Failure to Maintain Records: Failure to keep the University notified of contact information, including phone numbers, emergency contacts, and email.
- g. False and Misleading Information
 - a. Acts of Dishonesty
 - b. Bribery or acceptance of bribes
 - c. Forging or altering another person’s signature.
 - d. Forging, altering, tampering, falsifying, or misusing a University record or document, submitting false information, omitting requested information from a University record or document, or possessing any of these records or documents.
 - e. Knowing initiating a false report to the University.
 - f. Manufacturing, possessing, or presenting false identification to a University official or local, state, or federal law enforcement or using the identity of another person.
- h. Misuse, Defacement, or Damage of Facilities and Property

- a. Failure to adhere to the Computer Use Policy or Residential Network Policy or standards, including unauthorized use, access, or entry of an information technology resource owned or managed by the University such as computer systems, networks, databases, hardware, software, accounts, data, or facilities. Using University information technology resources for illegal or prohibited activities.
- b. University Property: Intentional or reckless destruction, defacement, or damage to University equipment, property, furniture, facilities, and buildings or using in a manner inconsistent with its intended use.
- c. Property of Another: Intentional or reckless destruction, defacement, or damage to another's property, or using that property in a manner inconsistent with its intended use.
- d. Theft: Using, depriving, removing, or possessing the property or services without entitlement or authorization through engagement of theft or attempted theft.
- i. Safety, Security, and Emergency Response
 - a. Activities that jeopardize University-related property, building security and safety.
 - b. Arson: Attempting to ignite or the action of igniting University or personal property on fire by intent, reckless behavior, or failure to exercise reasonable care that results or could result in personal injury, property damage, or damages to premises.
 - c. Endangerment of Others: Unlawfully endangering the health, safety, or privacy of oneself, others, or animals.
 - d. Explosive Materials: Unauthorized possession or use of fireworks, dangerous chemicals, and explosive materials, ignition, or detonation of anything which could cause damage to persons or property, or disruption by fire, smoke, explosion, noxious odors, stain, or corrosion.
 - e. False Reporting or Misuse of Emergency Response: Falsely reporting an incident or emergency of any type including setting off a false fire alarm.
 - f. Flammable Materials: Unauthorized possession or use of candles, torches, incense or incense burners, other open flame apparatus, extension cords, gasoline, propane tanks, or lighter fluid on University premises.
 - g. Interfering with, Obstructing, or Disrupting Emergency Responses: Failing to evacuate during an emergency or drill, impairing an orderly evacuation, resisting arrest, blocking, or barring an exit; failing to abide by the directions of police, fire, emergency medical personnel, or University officials.
 - h. Interfering with, Obstructing, or Disrupting the free flow of pedestrians or other traffic.
 - i. Manipulating Safety Equipment: Tampering with, impairing, disabling, relocating, or misusing fire or safety protection systems such as smoke detectors, fire extinguishers, sprinklers, cameras, doors, signs, or alarms.
- j. Sexual Misconduct

- a. Under the authority of the Office of Institutional Equity and the Office of Student Development, complaints alleging Prohibited Sexual Misconduct as, outlined in Section 2.04 below, must be directed to the Title IX Coordinator.
- k. Unauthorized or Attempted Entry or Exit
 - a. Unauthorized entering, exiting, occupying, or using of any University owned or managed facilities, equipment, resources, property, or property belonging to another.
 - b. Unauthorized possession, duplication, or use of keys or access cards, lock combinations, codes, or passwords to any University owned or controlled premises or other public or private property.
 - c. Damaging or tampering with doors, locks, or lock boxes; propping open of exterior residence hall or other campus building doors.
 - d. Misuse of access privileges to University premises.
- l. Law, Ordinance, Regulation, Rule, Procedure, or Policy
 - a. Law Violations: Violation of local, state, or federal law.
 - b. University Policy Violations: Violations of rules, regulations, and policies to include but not limited to Student Housing and Residence Life and University-owned facilities.
- m. Weapons
 - a. Actual or constructive use, possession, or control of any weapon and munitions of all types, defined as any object used or designed to inflict or attempt to inflict harm or injury or fear of harm or injury including instruments designed to look like any weapon.

PROHIBITED SEXUAL MISCONDUCT

2.04 SEXUAL MISCONDUCT

As noted above in Section 2 (x), the following conduct, or attempted conduct, is prohibited, and constitutes “Prohibited Conduct” for the purposes of this Policy:

- a. Hostile Environment Harassment, which is unwelcome conduct determined by a reasonable person to be so severe, pervasive, and objectively offensive that it effectively denies a person equal access to the University’s education program or activity;
- b. Quid Pro Quo Sexual Harassment, where an employee of the University is conditioning the provision of aid, benefit, or service of the University on an individual’s participation in unwelcome sexual conduct; or
- c. Sexual Assault, which includes:
 - a. Rape—penetration, no matter how slight, of the vagina or anus with any body part or object, or oral penetration by a sex organ of another person, without the consent of the victim;
 - b. Fondling—the touching of the private body parts of another person for the purpose of sexual gratification, without the consent of the victim;
 - c. Incest—Non-forcible sexual intercourse between persons related to other within the degrees wherein marriage is prohibited by law; and

- d. Statutory Rape—sexual intercourse with a person who is under the statutory age of consent.
- d. Dating Violence, which is violence between individuals in the following circumstances:
 - a. The party is or has been in a social relationship of a romantic or intimate nature with the victim; and
 - b. The existence of such a relationship shall be determined based on a consideration of the following factors: (i) length of the relationship; (ii) type of relationship; (iii) frequency of interaction between the persons involved in the relationship.
- e. Domestic Violence, which is an assault and battery against a current or former spouse; a present spouse of a former spouse; a former spouse of a present spouse; parents; a foster parent; a child; a person or otherwise related by blood or marriage; a person with whom the Respondent is or was in a dating relationship; an individual with whom the Respondent has had a child; a person who formerly lived in the same household as the Respondent; or a person living in the same household.
- f. Stalking, which is a course of conduct directed at a specific person that would cause a reasonable person to (a) fear for the person’s safety or the safety of others, or (b) suffer substantial emotional distress.

2.05 Special Procedures for Prohibited Sexual Misconduct:

Under the authority of the Office of Equal Opportunity and the Office of Student Development, Complaints alleging Prohibited Sexual Misconduct must be directed to the Title IX Coordinator. The Sexual Misconduct, Discrimination, and Harassment Policy and Grievance Procedures for Sexual Misconduct and Harassment set forth the process for investigation, adjudication, sanctioning, and appeals for all Prohibited Sexual Misconduct.

DISCIPLINARY SANCTIONS

3.01 DISCIPLINARY SANCTIONS

Students who engage in prohibited conduct are subject to the following sanctions.

- a. Warning: A verbal or written notice to the student that a violation of a published University policy has occurred and that the continuation of such conduct or actions could result in further disciplinary action.
- b. Restricted privileges: Denial or restriction of one or more privileges granted to students. These may be, but are not limited to, denial of access to all or portions of campus (except for limited periods and specific activities with the permission of the appropriate University official), dining privileges, visitation privileges, or participation in athletics or other extracurricular activities. The restriction may be imposed only for a definite term.
- c. Educational Sanction: The requirement that the student complete a special project, which may be, but is not limited to, writing an essay, attending special classes or lectures, or

visiting an appropriate campus resource center. The special project may be imposed only for a definite term.

- d. Restitution or Fines: Paying for physical or property damage, losses, or misappropriation, either monetarily or by the performance of specific duties such as cleaning or restoration. Community service may be imposed in lieu of a fine if restitution or a fine would result in an unreasonable hardship for the student.
- e. Disciplinary Probation: A written statement that the behavior was inappropriate and, should subsequent violations occur, the University will take more serious conduct action up to and including suspension or expulsion. A student on disciplinary probation is not in good standing and their continued enrollment is conditioned upon adherence to published University policies. Probation may be imposed only for a definite term or until the student meets certain conditions. Disciplinary Probation can include exclusion from University-affiliated entities including student organizations for the duration of the probation and automatically restricts the following privileges:
 - a) A student on disciplinary probation or harsher disciplinary sanction is ineligible to hold or be elected to an office of any student organization recognized by the University;
 - b) A student on disciplinary probation or harsher disciplinary sanction may not represent the University in any special honorary role, (e.g., debate tournament, athletic competition, etc.)
 - c) If a specific question is asked whether the student has been involved in any disciplinary situations, there is no alternative but to give an accurate answer to the question.
- f. Withholding an official transcript or degree for a specified period of time or until the student meets certain conditions.
- g. Prohibition against readmission.
- h. Strike: The University's official recognition of a student's or organization's violation of the Alcohol and Controlled Substances Policy outlined in Appendix B.
- i. Suspension: Separation from the University for a definite term, during which the student shall not be permitted to attend classes or participate in any University activity, and/or be on University property.
- j. Expulsion: Termination of student status for an indefinite period. The conditions for readmission, if any, shall be stated in the order of expulsion. When an offense is so severe that the University will not allow the student to re-enroll, the student will be expelled. Expulsion is not a permanent separation, but neither is a definite time set when return is expected.
- k. Administrative Trespass: Denial of access to all or a portion of campus, except for limited periods and specific activities with the permission of the appropriate University official, as designated by the DOS or other appropriate administrative official vested with such authority. Should the student enter the campus without permission, the appropriate University official or the campus police may take action.
- l. University-Owned Housing Reassignment, Probation, or Termination: Reassignment to another University-owned housing unit, exclusion from certain University-owned properties, a written indication that the student is not in good standing in Student Housing

or immediate termination of the student's housing contract with or without a deposit refund.

3.02 TEMPORARY ADMINISTRATIVE ACTION

A Temporary Administrative Action is an action that places immediate restrictions upon a student's rights within the University community, up to and including removal from the University community. It is not a final disciplinary sanction; it is a temporary measure that may be undertaken pending appropriate due process. A Temporary Administrative Action may be imposed only by the President, the DOS, or other appropriate official ~~and only when necessary for, (1) the safety of the student, other persons, or University property; or when the student is (2) an ongoing threat or disruption to the academic process.~~ when necessary for the welfare or safety of the University community; to maintain order on the campus and preserve the orderly functioning of the University; to stop or prevent interference with the public or private rights of others on University premises; to stop or prevent actions that threaten the health or safety of any person; or to stop or prevent actions that destroy or damage property of the University, its students, faculty, staff, or guests.

Upon the decision to impose a temporary restriction, the student shall be notified by the most expeditious means available.

When temporary restrictions are imposed, the Office of Student Development shall review the facts and circumstances to determine whether to initiate disciplinary proceedings pursuant to this Code, whether to recommend to the DOS that the temporary administrative action should be rescinded, or whether some other University action is appropriate.

RECORDKEEPING AND DISCIPLINARY HOLDS:

4.01 STUDENT RECORDS, STUDENT TRANSCRIPTS, AND STUDENT REGISTRATION.

The University may place a disciplinary hold on a student's records during the pendency of Student Conduct Proceedings. A disciplinary hold prohibits a student from registering for classes or from receiving an official transcript until the Student Conduct Proceedings, to include any review procedure, are complete. Upon conclusion of Student Conduct Proceedings, the University may continue a disciplinary hold on a student's records until the student satisfactorily completes all sanctions.

The University may place a disciplinary hold on a student's record if a student is suspended as part of the sanctions process, which prohibits a student from being admitted to or registering for classes at any campus governed by the Board of Regents of the University of Oklahoma. A disciplinary hold shall remain in effect until the suspension period is over, the student has complied with all conditions/sanctions and has reapplied and been readmitted.

Records relating to non-academic student conduct are part of the student's overall education record; however, disciplinary charges and sanctions are not noted on the student's transcript, except where academics are incidentally affected (i.e., the transcript for a student suspended during a semester after the add/drop deadline will reflect withdrawal from any courses in which the student is enrolled).

Disciplinary records will be maintained in the Office of Student Development. Housing disciplinary records will be maintained in the Office of Student Housing and Residence Life.

ADMINISTRATION OF STUDENT CODE

5.01 DIRECTORS

Under the direction of the Dean of Students (DOS), the Director of Student Development, or designee, shall be primarily responsible for the administration of the student conduct system. The Director of Student Housing and Residence Life or designee will be responsible for resolving disciplinary problems resulting from the violation of regulations within residential facilities, according to the Code and the Student Housing and Residence Life Rules, Regulations, and Information.

5.02 ADMINISTRATIVE INVESTIGATION OF ALLEGED CODE VIOLATIONS

Allegation. Allegations that a student has engaged in conduct that would constitute Prohibited Conduct under this Code should be referred to the Director of the Office of Student Development. The Director will conduct a timely preliminary inquiry into the alleged violation to determine whether the complaint warrants further investigation. If the Director determines that the alleged conduct, if true, could constitute Prohibited Conduct under the Code, they shall send notice to the student of the allegations and afford the student an opportunity to be heard as detailed below.

Notice of Investigation The Director shall send notice to the student that a complete investigation will occur. The Student Conduct Notice shall include:

- a. A description of the alleged misconduct;
- b. A citation to the Code provisions alleged to have been violated;
- c. A brief explanation of the Student Conduct process; and
- d. A direction to the student to attend a mandatory Conduct Meeting within ten (10) business days of the date of the Notice.

Conduct Meeting. The Director will meet with the student to explain the Student Conduct process and give the student an opportunity to respond to the charges and relate or explain any facts bearing on the alleged violation. The Director shall consider the student's response and any evidence the student presents or provides to the Director. The student may be accompanied by an advisor or an attorney. The Director will conduct additional investigations as needed in order to make a determination. A determination will be made regardless of a student's attendance, based on the information and evidence available.

Allegations that a student has engaged in conduct that if true would constitute a violation of the University's Sexual Misconduct, Discrimination, and Harassment Policy shall be promptly referred to the University's Title IX Coordinator.

Administrative Determination. After a fair and impartial assessment of all of the information collected during the investigation including any information provided by the student, the Director shall make a determination of whether the Code was violated. The Director shall indicate their decision, including any recommended disciplinary action, if any, in writing as soon as reasonably practical but no later than five (5) business days after completion of the administrative review. For sanctions other than ~~interim suspension~~ suspension or expulsion, the student may appeal the administrative determination as outlined below. However, if the Director believes a sanction of ~~interim suspension~~, suspension or expulsion should be imposed, the Director shall so indicate in writing to both the student and the DOS and the DOS will convene a Hearing Committee as outlined below.

Appeal of Determination. The student has five (5) business days after the notification of the administrative determination in which to file a written appeal to the DOS. Please refer to Section 6.0 - Appeals & Review.

6.0 APPEALS AND REVIEW

6.01 REQUESTING APPEAL

- a. **Written Appeal Request.** A student wishing to appeal the Director's decision in cases that do not result in interim suspension, suspension, or expulsion must file a signed, written notice of the appeal request with appropriate grounds for appeal with the DOS no later than five (5) business days after official notice of the Director's decision.
- b. **The grounds for appeal are:**
 1. Insufficient evidence to support the decision.
 2. The sanction imposed was too harsh.
 3. An error that significantly prejudiced the rights of the student.
 4. Significant new information discovered after the Conduct Meeting.
- c. **DOS Review:** For appeals of determinations other than those that result in interim suspension, suspension, or expulsion, the DOS will review the student's written request for appeal, as well as the entire record and any evidence or information gathered during the Conduct Meeting. If necessary, the DOS or his designee will conduct any additional investigation needed or consult with any of the parties involved. The DOS can find 1) there was no violation of this Code; 2) there was a violation of this Code and the Director's recommended sanctions are appropriate; or 3) there was a violation of this Code and alternative sanctions would be more

appropriate. The DOS will communicate the decision to the student and the Director within ten (10) business days of receiving the appeal.

- d. **Hearing referral.** Where the Director recommends interim suspension, suspension, or expulsion, the DOS convenes a Hearing Committee to determine whether there has been a Code violation and whether the recommended sanction is appropriate. The Committee Chair will notify the student of a hearing date no later than ten (10) business days after the appeal request unless there are extenuating circumstances (such circumstances are to be shared with the student.) If disciplinary action is involved prior to appeal, the student may request a more expedient hearing.

HEARING PROCEDURES

The following procedures are applicable to any hearing before the Committee. A Committee will hear all appeals of Temporary Disciplinary Actions and all matters that may result in suspension or expulsion.

6.02 DISCIPLINARY HEARING COMMITTEE

The DOS shall appoint the Disciplinary Hearing Committee. Committee membership will include students, faculty, and staff members. The Committee will both be comprised of three faculty, three students, and one staff member.

The Committee will provide a de novo hearing for non-academic misconduct cases resulting a recommendation of interim suspension, suspension, or expulsion. The Chair of the Committee, appointed by the DOS, will work closely with the DOS to follow appropriate procedures for the hearing.

6.03 PRE-HEARING PROCEDURES

Notice. Upon initiation of the hearing process, as described in Section 6, the Disciplinary Hearing Committee will provide written notice to all parties. The Notice will include:

- a. **Time of Hearing:** Notice shall state the date, time, and location of the hearing.
- b. **Summary of Allegations:** Notice shall include a short and plain statement of the University policies alleged to have been violated, the factual background of the matter, and the basis for the Committee hearing (i.e. student appeal of interim suspension, suspension, or expulsion hearing).
- c. **Identity of the Committee Members:** Notice shall include the identity of all Committee members. Both the student and the Director will have an opportunity to object to any of the members on the basis that a proposed Committee member has a conflict of interest. The Chair will make the final determination about whether the alleged conflict disqualifies the Committee member from serving as a panelist in a particular hearing. If the Chair determines there is a conflict, the DOS will replace the conflicted Committee member with an alternate. If a party believes the Chair has a conflict, the DOS will determine whether a conflict exists.

Disclosures. At least five (5) business days before the hearing, all parties shall make the following disclosures to the Committee, in writing. The Chair of the Committee will provide copies of the disclosures to all parties prior to the hearing. All parties will receive notice at the same time.

- a. Whether any legal counsel or advisor will attend the hearing with a party.
- b. Whether a party believes there to be a conflict of interest with any of the Committee members.
- c. Names of all witnesses each party intends to call to testify during the hearing, including a brief summary of each witness's expected testimony.
- d. Copies of all documents and/or exhibits the parties intend to introduce during the hearing. NOTE: The Committee may, in its discretion, allow the introduction of evidence not previously disclosed.

6.04 HEARING PROCESS

Hearing Process

1. Opening Remarks. If desired, the Director and then the student may briefly outline their cases before the presentation of evidence. The Chair may set a time limit, typically five minutes. The Committee should use discretion when determining the proper evidentiary value of the information presented during Opening Remarks.

2. Presentation of Evidence.

- a) The University will usually present its case first, followed by the student.
- b) Each party shall have the opportunity to present their respective positions, including the presentation of documents and calling of witnesses. Each party is allowed an opportunity to cross-examine witnesses presented by the other party.
- c) Each party is responsible for ensuring that any witnesses who will testify in support of that party's position are notified of the time and place of the hearing. As a responsibility of membership in the University community, all students are expected to participate in Conduct Proceedings upon request; however, the hearing panel cannot compel the attendance of witnesses.
- d) The Committee members may ask questions of the witnesses at any time, at the discretion of the Chair.
- e) After each party has presented its case, upon request of either party the Committee, at its discretion, may permit the introduction of additional evidence to clarify or rebut evidence presented during the course of the hearing.

3. **Closing Remarks.** At the Committee's discretion, the parties may make brief summary statements. The Chair may set a time limit, typically five minutes.

6.05 HEARING RULES

- a. **General Decorum.** The Chair shall exercise control over the hearing to ensure fairness and a professional atmosphere. Any person who disrupts a hearing or who fails to adhere to the established procedure or rulings of the Chair may be disciplined, including without limitation, exclusion of witnesses or evidence.
- b. **Advisors.** Parties are entitled to have an individual advisor, legal guardians, and/or a legal advisor present during the hearing. During meetings and hearings, the advisor may talk quietly with the student or pass notes in a non-disruptive manner. The advisor may not intervene in a meeting or hearing or directly address panel members, complainants, or witnesses, nor may they make objections. If parties desire to have attorneys serve as their advisors, they may do so at their own cost. The Chair and the Committee may consult with designated counsel in the University of Oklahoma's Office of Legal Counsel at any time during these proceedings.
- c. **Confidentiality.** Hearings and matters discussed therein are confidential and are closed to the public unless otherwise determined by the Chair. During the hearing only the Committee members, parties, advisors, and any witnesses currently testifying can be present in the room.
- d. **Evidence.** Formal judicial procedures are not required, and formal rules of evidence do not apply. The Committee Chair makes final rulings on all objections to evidence and the admissibility of evidence and testimony. Evidence will be admitted if the Chair determines that evidence is relevant to whether the student violated the University policy as alleged. When the Committee Chair determines that a hearing will be expedited and the interests of the parties will not be prejudiced substantially, any part of the evidence may be received in written form. In case of an expulsion hearing, affidavits should not be permitted in lieu of live testimony unless agreed to by the opposing party or unless the Committee Chair determines that the parties' interests will not be prejudiced. The hearing will be recorded and made available to either party upon request.
- e. A hearing may be postponed at the discretion of the Committee Chair for good cause upon written request being filed with the Committee Chair at least 24 hours before the hearing.
- f. The student may not be compelled to testify against themselves, and the hearing officer and appropriate committee shall presume the student innocent of the charges until the Committee is satisfied, by a preponderance of the evidence that a violation has occurred.
- g. If the student declines to attend the hearing, the Committee will make a determination based on the information and evidence available.

6.06 POST-HEARING PROCESS

- a. **Committee Decisions.**

Immediately after the hearing, the parties will be excused and the Committee will deliberate and determine by a majority vote whether, by a preponderance of the evidence (i.e., whether it is more likely true than not true), the charged student has engaged in Prohibited Conduct under the Code and whether the sanctions recommended by the Director are appropriate.

The Committee shall provide its written recommendation to the President, who shall review the official record of the hearing and, in writing, either approve, reject or modify the Decision, or remand the matter back to the Hearing Committee for further hearing or consideration. Unless remanded, the action of the President, in conjunction with the approved or modified decision, shall be the final disposition of the matter.

The President's Office shall provide each party a copy of the Final Disposition.

b. Discretionary Review.

The Board of Regents may, on their initiative, review any disciplinary case. Upon such review, they may approve, reject, or modify the decision or the penalties imposed, or may remand the matter to the Hearing Committee for presentation of additional evidence and reconsideration of the decision.

7.01 ACADEMIC OFFENSES

Each student is expected to engage in all academic pursuits in a manner that is above reproach. Any student found guilty of academic dishonesty will be subject to disciplinary action. Examples of academic dishonesty, include but are not limited to the following:

1. Cheating on an examination or in the preparation of academic work. Cheating may include:
 - a. Copying from another student's test paper, laboratory report, other report, or computer files, data, listings, and/or programs;
 - b. Using materials not authorized by the professor or instructor;
 - c. Collaborating with another person without authorization during an examination or in the preparation of academic work;
 - d. Knowingly and without authorization, using, buying, selling, stealing, transporting, soliciting, copying or possessing in whole or in part, the contents of an examination or the work of another student;
 - e. Substituting for another student, or permitting another student/individual to substitute for oneself in taking an examination or preparing academic work; or
 - f. Attempting to bribe another person to obtain an examination or information about an examination;
 - g. Attempting to bribe any faculty/staff or student to alter a grade.
 - h. Plagiarizing: To plagiarize is to "pass off ideas or words of another's as one's own created production without crediting the source; to present as new and original an idea or product derived from an existing source." (Webster)
 - i. Any forgery, alteration, or misuse of academic documents, forms, or records.

7.02 SANCTIONS FOR ACADEMIC DISHONESTY

A student who is found guilty of an act of academic dishonesty may be subject to one or more of the following sanctions:

- a. The student may be required to perform additional academic work/projects not required of other students in the course;
- b. The student's grade in the course or on the examination or other academic work affected by the dishonesty may be reduced to any extent, including a reduction to failure;
- c. The student may be required to withdraw from the course or receive a failing grade;
- d. The student may be placed on disciplinary probation, or suspended or expelled from the university.

Cases where the faculty member, chair of the department (Chair), or dean of the school (Dean) recommends the sanction of disciplinary probation, suspension, or expulsion, will be referred to the Director of Student Development (Director) for appropriate action. The disciplinary committee will be convened for cases involving suspension or expulsion.

7.03 PROCEDURES IN CASES OF ACADEMIC DISHONESTY

- a. **Initiation of Action.** When a faculty member believes that a student has committed academic dishonesty, the faculty member shall summon the student to a conference (e.g. in person, zoom, etc.), which constitutes an administrative review under the Code.
- b. **Faculty Disposition.** If, after presenting the student with evidence of academic dishonesty and allowing the student an opportunity to respond, the faculty member determines, based on all evidence available to them that an act of academic dishonesty did occur, and with approval from the respective Chair, he or she shall advise the student of the determination and the sanction(s) to be imposed under section 6.08 of the Code. The Chair shall report the decision, in writing, to the Dean and the Office of Student Development within five (5) business days. The student shall indicate either written acceptance or non-acceptance of the sanction imposed by the faculty member.
- c. **Appeal of Faculty Disposition.** The student may appeal to the appropriate Dean. A request for an appeal hearing must be made in writing to the Dean within five (5) business days following notification of the chair's decision. The appeal will follow 6.09D of the Code. The Dean's decision constitutes the final decision of the case.
- d. **Appeals Procedures.** A student may request an appeal, in writing, on the following grounds: insufficient evidence to support the decision, the sanction(s) imposed was too harsh, an error that significantly prejudiced the rights of the students, and/or significant new information discovered after the initial meeting. A student must include a statement of the charge and rationale for the appeal to the appropriate Dean. The Dean shall summon the student to a conference (e.g. in person, zoom, etc.), which constitutes an administrative review under the Code. After the student has the opportunity to present their appeal, and Dean has discussed the matter with the Chair and reviewed all evidence submitted, he or she will make a decision on the appeal. The Dean may dismiss the charge, uphold the faculty decision, or modify the sanction(s) as prescribed under section

6.08 of the Code. The Dean will notify the student, faculty member, Chair, and the Office of Student Development of the decision within five (5) business days.

- e. **Multiple Offenses.** Faculty shall review each case of suspected academic misconduct within their class. The Office of Student Development shall track all policy violations, as reported. For academic misconduct cases involving significant egregious offenses, repeated behavioral offenses, or otherwise as appropriate, the Director shall conduct an investigation separate from the faculty action as provided in Section ~~3.04~~ 5.02 of the Code. After a fair and impartial assessment of all of the information collected during the investigation, the Director may impose additional penalties specified in section ~~3.05~~ 3.01 of the Code.

APPENDIX A - HAZING

The University reserves the right to take disciplinary action against individual students and/or groups who are involved in hazing activities. Such disciplinary action may be taken independently of state or local prosecutorial actions regardless of the outcome of such prosecutorial actions. Hazing on the part of students, faculty, or staff is strictly forbidden, whether on or off campus.

Section 1190 of Title 21 of the Oklahoma Statutes reads as follows:

- a. No student organization or any person associated with any organization sanctioned or authorized by the governing board of any public or private school or institution of higher education in this state shall engage or participate in hazing.
- b. Any hazing activity described in subsection F of this section upon which the initiation or admission into or affiliation with an organization sanctioned or authorized by a public or private school or by any institution of higher education in this state is directly or indirectly conditioned shall be presumed to be a forced activity, **even if the student willingly participated in such activity.**
- c. copy of the policy or the rules and regulations of the public or private school or institution of higher education which prohibits hazing shall be made available to each student enrolled in the school or institution and shall be deemed to be part of the bylaws of all organizations operating at the public school or the institution of higher education.
- d. Any organization sanctioned or authorized by the governing board of a public or private school or of an institution of higher education in this state which violated subsection A of this section, upon conviction, shall be guilty of a misdemeanor and may be punishable by a fine of not more than One Thousand Five Hundred Dollars (\$1,500.00) and the forfeit for a period of not less than one (1) year of all the rights and privileges of being an organization organized or operating at the public or private school or at the institution of higher education.
- e. Any individual convicted of violating the provisions of subsection A of this section shall be guilty of a misdemeanor and may be punishable by imprisonment for not to exceed ninety (90) days in the county jail, or by the imposition of a fine not to exceed Five Hundred Dollars (\$500.00), or by both such imprisonment and fine.

- f. For purposes of this section:
1. “Hazing” means an activity which recklessly or intentionally endangers the mental health or physical health or safety of a student for the purpose of initiation or admission into or affiliation with any organization operating subject to the sanction of the public or private school or of any institution of higher education in this state;
 2. “Endanger the physical health” shall include but not be limited to any brutality of a physical nature, such as whipping, beating, branding, forced calisthenics, exposure to the elements, forced consumption of any food, alcoholic beverage as defined in Section 506 of Title 37 of the Oklahoma Statutes, low-point beer beverage as defined in Section 163.2 of Title 37 of the Oklahoma Statutes, drug, controlled dangerous substance, or other substance, or any other forced physical activity which could adversely affect the physical health or safety of the individual; and
 3. “Endanger the mental health” shall include any activity, except those activities authorized by law, which would subject the individual to extreme mental stress, such as prolonged sleep deprivation, forced prolonged exclusion from social contact, forced conduct which could result in extreme embarrassment or any other forced activity which could adversely affect the mental health or dignity of the individual.

APPENDIX B - USE OF ALCOHOL AND CONTROLLED SUBSTANCES

The Student Alcohol Policy is applicable to every student enrolled at the University, whether part-time or full-time and whether in residence, by extension, or otherwise, and may at times apply to persons off-campus when using University facilities or participating in University programs.

(1) At no time will alcohol be served in residential facilities or at student functions on or off campus. Possession of alcohol and controlled substances by students is strictly prohibited on University property.

(2) Strong disciplinary measures will be taken against students in possession of or who have consumed alcohol or a controlled substance on campus. Persons who are determined to be under the influence of alcohol or a controlled substance will be referred to the Director of Student Development for disciplinary action and/or may be subject to immediate arrest. For Student Housing and Residence Life residents, incidents will be reported to the Director of Student Housing and Residence Life.

(3) To curtail alcohol abuse on and off campus, the University has adopted a minimum “Three Strikes” policy. The Three Strike policy may be subject to change due to the level of severity of the alcohol incidence.

(4) All fines collected as a result of this policy will support the university’s alcohol and drug education programs.

(5) Violations of the student alcohol policies may be reported to the Office of Student Development.

(6) Alcohol education programs have been expanded, and all entering undergraduate students will be encouraged to complete these programs.

(7) The University has established the Student Wellness Center to provide counseling for students or to provide referrals for off-campus support.

THREE STRIKES POLICY – DEFINITION OF A STRIKE

A “strike” is the University’s official recognition of a student’s or organization’s violation of the University’s Student Alcohol Policy. Nothing herein shall waive a student’s right to due process. A strike is a final University disciplinary sanction that finds the student guilty of an alcohol-related violation.

Reporting Mechanisms

The University may act on any reliable information it receives. Although not an exhaustive list, the University may be notified of prohibited conduct in the following ways:

- a. A police report from the Cameron University Office of Public Safety;
- b. An incident report generated in Student Housing;
- c. Reports from other law enforcement or security agencies that are received by the University;
- d. Notification by a University official that an alcohol violation occurred;
- e. Any other information deemed reliable by the University that comes to the attention of a University official.

Once notified of alleged prohibited conduct, the University may investigate the information received pursuant to the procedures under this Code to determine if the conduct constitutes a violation prior to taking action. The University may charge the student pursuant to the Code of Student Conduct, and the student shall be entitled to an appropriate hearing or investigative meeting as defined in the Code. Whether by decision of an appropriate disciplinary body or administrative official, any final University disciplinary action resulting in a finding of guilt for an alcohol-related violation shall be considered a strike.

THREE STRIKES POLICY - SANCTIONS

INDIVIDUAL SANCTIONS

The following sanctions are mandatory minimum sanctions for alcohol violations. Based on the severity of the infraction, the University reserves the right to impose any appropriate additional sanction(s). Any violation by an individual student remains part of the individual’s record. Based on the severity, the university reserves the right to modify the strikes. If a student is suspended after the third strike and is readmitted to Cameron University, the student is readmitted with two strikes.

First Strike may include the following:

Parent/Guardian and/or 3rd party notification

\$25.00 administrative fee or 10 hours of community service

Satisfactorily complete a defined alcohol education program

Student housing probation

Disciplinary warning

Any other appropriate disciplinary penalty listed under ~~3-05~~ 3.01 of the Code of Conduct

Second Strike may include the following:

Parent/Guardian and/or 3rd party notification

\$75.00 administrative fee or 20 hours of community service

Satisfactorily complete an approved alcohol counseling brief intervention and referral to the Student Wellness Center

Student housing probation or suspension

Disciplinary probation

Any other appropriate disciplinary penalty listed under ~~3-05~~ 3.01 of the Code of Conduct

Third Strike may include the following:

Parent/Guardian and/or 3rd party notification

Suspension from the University.

Any other appropriate disciplinary penalty listed under ~~3-05~~ 3.01 of the Code of Conduct

APPEALS

Students may appeal a strike in accordance with the process outlined in the Code of Student Conduct.

ORGANIZATIONAL SANCTIONS

Organizational sanctions will be administered based on the illegal or prohibited use of alcohol at an organizational event or in a campus facility. Before imposing an organizational sanction, as opposed to solely an individual sanction, the University will consider the entirety of the circumstances surrounding the organizational event, including, but not limited to, whether:

- a. The alcohol violation was endorsed, sponsored, sanctioned, enabled, furthered, or funded, in whole or in part, by the organization, its officers, or the officers of its local, state, or national organization acting with actual or apparent authority, and any of them knew or should have known of the alcohol violation and they took insufficient action to prevent or cease the violation; or
- b. The alcohol violation occurred on property owned, leased, rented, or occupied by the organization; or
- c. Officers of the organization took insufficient action to prevent or cease an alcohol violation they knew or should have known existed; or
- d. Regardless of its location, the alcohol violation occurred at an event or any gathering of two or more individuals of the organization conducted in furtherance of the mission or purpose of the organization, including any event, program or ceremony; or
- e. The alcohol violation occurred at any gathering utilizing the organization's name or logo, or that was advertised by the organization; or
- f. The alcohol violation occurred at any gathering of two or more individuals that would typically be in furtherance of the organization's activities but is designed to circumvent these rules.

The Director of ~~Campus Life~~ Events and Activities or their designee has the discretion to determine whether, based on the criteria above and the totality of the circumstances, the alcohol violation occurred at an organizational event and warrants an organizational sanction.

Any violation by the group remains part of the organization's "Three Strikes" record for a period of three calendar years unless the organization requests and the University grants removal of an eligible first strike in accordance with the Student Alcohol Policy, below. All parties involved shall be held accountable.

Based on the severity, the university reserves the right to modify the strikes.

1st Strike may include the following:

At the discretion of the University and after considering all relevant information, the University will impose a minimum administrative fee of \$100.

100% of the organization's active membership must complete a defined alcohol education program.

An aggregate community service requirement for the organization of 10 hours per active member at the time of the violation. It is at the discretion of the University as to whether pledges or associate members will be included in fulfilling the requirements of the sanction.

Formal written warning: A written reprimand for violation of specified regulations, including the possibility of more severe disciplinary sanctions in the event of the finding of a violation of any University regulation within a stated period of time.

Second Strike may include the following:

At the discretion of the University and after considering all relevant information, the University will impose a minimum administrative fee of \$200.

100% of the organization's active membership must complete a defined alcohol education program.

An aggregate community service requirement for the organization of 20 hours per active member based on the organization's membership at the time of the violation. It is at the discretion of the University as to whether pledges or associate members will be included in fulfilling the requirements of this sanction.

Disciplinary Probation: Exclusion from participation in privileged or extracurricular University activities set forth in the notice for a period of time specified. Other conditions of the probation may apply to any other activities of the organization in the University community, except those that would affect the organization's academic pursuits.

Third Strike may include the following:

Organizational Suspension: The organization will be suspended for a minimum of one year. University approval, granted by the Office of Campus Life, is required before the organization will be reinstated.

APPEALS

Student organizations may appeal a strike to the Dean of Students.

[1] Alcohol violations and misconduct shall include, but shall not be limited to, minor in possession; public intoxication; manufacture, use, or possession of false identification; driving under the influence, driving while intoxicated, actual physical control and involvement in a crime while under the influence.

The University strongly supports and encourages any student to seek transportation assistance in the event they cannot safely operate a motor vehicle. Further, the University strongly supports and encourages students seeking medical and/or mental health care in the event of alcohol-related illness or other concerning behavior related to alcohol use.

Good Samaritan Policy

The health and safety of each and every student is everyone's first priority at Cameron University. We want all students to take responsibility and to be empowered to respond to potentially dangerous medical situations without fear of reprisal from the University. Cameron encourages all students to seek immediate medical attention for themselves or others when there may be a medical emergency, even if they have been drinking or using other drugs.

Seeking medical assistance will be considered a responsible act and not deserving of arrest or disciplinary action. Any student seeking medical treatment for themselves or any other student or any student who is the recipient of this emergency medical help will not be subject to disciplinary sanctions related to the violation of using or possessing alcohol or other drugs, as defined in Cameron University's Drug and Alcohol Policy. This policy applies to emergencies both on and off campus.

This protection is not available to students who also violate some other University policy that warrants sanctions such as being disruptive or combative, refusing treatment, committing assault, or committing property damage.

When a person's health or safety is threatened or appears to be at risk from alcohol or drug consumption these are the steps to follow:

1. Call 911
2. Call the Cameron University Public Safety Office – 580-581-2911
3. Seek assistance from ~~a resident assistant (RA) or the resident hall director~~ the Housing on-call staff – 580-583-7386

Cameron University takes these threats to health and safety very seriously. As a result, any student for whom assistance is sought will be required to meet with the Director of Student Development, or The Director of Student Housing and Residence Life, and take an educational video course and/or meet with a University substance abuse counselor for education and assessment. Parents of students may also be notified. The student who called for medical assistance for another student may be referred to this program also.

In the event that a student incurs any alcohol or drug-related violation during the twelve-month period following the Good Samaritan Policy situation, this report may be reviewed as part of the sanctioning process but will not be counted as a prior alcohol offense for the purpose of imposing mandatory minimum sanctions.

Students are eligible to use this policy on more than one occasion and students are always strongly encouraged to report medical emergencies. The health and wellness of our students is our highest priority when determining an appropriate response. Repeated incidents will be reasons for further concern and these cases will be dealt with on an individual basis.

It is the hope of the University that students will use this Good Samaritan Policy as an opportunity to learn from a serious mistake and take healthy steps to avoid such mistakes in the future.

Board of Regents Policy
2.3.4 Minor and Severe Sanctions Policy
Replacing CU/RSU Regents Policy 2.3.4, 2.3.4.1, 2.3.4.2

Cameron University and Rogers State University strive to exercise great care in selecting faculty appointees and in conferring tenure upon only those faculty members who have demonstrated their merit for continuous appointment. For that reason, the imposition of severe sanctions, such as abrogation of tenure or termination of a non-tenured faculty member outside of the nonrenewal process, should be an exceptional event. Although such measures may be required infrequently, the purpose of this policy is to establish a pre-disciplinary review procedure for minor and severe sanctions that preserves both the integrity of each university and the rights of faculty members; and to establish procedural safeguards for faculty members against whom minor sanctions may be imposed.

For all grievances, appeals, and sanctions related to any form of discrimination or harassment prohibited by the Non-Discrimination Policy, the Sexual Misconduct, Discrimination, and Harassment Policy, or the Consensual Sexual Relationships Policy, please see those policies and their associated grievance procedures.

The full policy and associated procedures may be found in each institution's faculty handbook and are incorporated herein by reference. It is the policy of Cameron University and Rogers State University that all employees within the scope of this policy have procedural rights prior to the imposition of severe sanctions or termination of employment as outlined in the associated procedures. Any changes to the policy and procedures must be approved by the Board of Regents for the University of Oklahoma.

Minor and Severe Sanctions Policy

The University strives to exercise great care in selecting its faculty appointees and to confer tenure upon only those faculty members who have demonstrated their merit for tenured appointment. For that reason, the imposition of severe sanctions such as a dismissal proceeding involving a tenured faculty member (abrogation of tenure) or termination of a non-tenured faculty member outside of non-renewals pursuant to Section 4.3.8 should be an exceptional event. Although such measures may be required infrequently, the purpose of this policy is to establish procedural safeguards for the imposition of sanctions that preserves both the integrity of the University and the rights of faculty members against whom sanctions may be imposed.

1.1 Minor Sanctions

The chair of the academic unit with approval from the dean, has the power to impose minor sanctions. A faculty member against whom the imposition of minor sanctions is sought must be informed in writing of the basis for the action. While it is not possible to specify all grounds for which minor sanctions may be sought, they include, but are not limited to, the following:

1. Neglect of duty or failure to carry out normal and expected satisfactory teaching, research, or service responsibilities
2. Unprofessional conduct adversely affecting the functioning of the area, department, college, or University
3. Failure to adhere to certain University policies. However, a faculty member may not appeal a prior finding of a violation of University policy by a University administrative officer or body when such finding has already been appealed under that particular policy (e.g. Institutional Equity matters, Research Misconduct, etc.)

Minor sanctions may include, but are not limited to, suspension of public-facing assignments such as clinic assignments, suspension of travel privileges for not more than thirty (30) days, and/or restitution to the University. A faculty member who believes the sanctions are unfair/unsupported may appeal any sanction(s) to the VPAA within fifteen (15) University business days of notice of the sanction(s). The VPAA will review the sanction(s) imposed, meet with the faculty member if requested, and decide to affirm, modify, or revoke the minor sanctions. The decision of the VPAA is final.

1.2 Grounds for Abrogation of Tenure, Dismissal, and Other Severe Sanctions

Although it is not possible to specify all grounds for which abrogation of tenure, termination of employment, or severe sanctions may be sought, these grounds include, but are not necessarily limited to, the following:

- (a) Professional incompetence or dishonesty, including but not limited to, academic dishonesty, or misuse of University property or resources;
- (b) Substantial, manifest, or repeated failure to fulfill professional duties or responsibilities;

- (c) Substantial, manifest, or repeated failure to, and/or refusal to adhere to University policies. However, a faculty member may not appeal a prior finding of a violation of University policy by a University administrative officer or body when such finding has already been appealed under that particular policy (e.g. Institutional Equity matters, Research Misconduct, etc.); and
- (d) Personal behavior preventing the faculty member from satisfactory fulfillment of professional duties or responsibilities.

1.3 *Non-disciplinary termination(s)*

Non-disciplinary terminations are not severe sanctions. A faculty member may request a hearing to challenge a non-disciplinary termination using the procedures for hearings before the Faculty Appellate Committee. However, challenges of non-disciplinary terminations are limited to the following grounds as appropriate: the fact of the change in worksite without authorization, inability to perform essential functions, the relevance of the criminal conviction, or the credentials required for the faculty member's position.

- (a) Change of worksite. A faculty member is generally expected work in the state of Oklahoma (or other assigned University site), except where mutually agreed and authorized pursuant to a remote work agreement approved by the dean and Vice President for Academic Affairs. Changes to work locations, whether to another state or abroad, subject the University to payroll and tax burdens. Faculty members residing in other states or abroad, without prior written authorization from the VPAA, must request such authorization within (5) days of being informed of the violation. If the VPAA does not give such authorization within twenty (20) days of this request, the faculty member will be ineligible for continued employment;
- (b) Inability to perform essential functions. A faculty member who is unable to perform the essential functions of the faculty member's position, with or without a reasonable accommodation, is ineligible for continued employment;
- (c) Criminal convictions. A faculty member who has (1) pleaded guilty or nolo contendere or who has been found guilty before a court of competent jurisdiction of a violation of a law relating to dishonesty, violence, or where such plea or conviction prevents the faculty member from satisfactorily fulfilling professional duties or responsibilities, or (2) a faculty member that has violated a court order when such violations relate to the faculty member's proper performance of professional responsibilities is ineligible for continued employment. As noted above, faculty members who have been terminated pursuant to this provision may request a hearing before on the grounds their plea does not satisfactorily prevent the faculty member from fulfilling their professional duties or responsibilities; however, such hearings are not forums for faculty members to change their plea or relitigate the facts that form the basis for the plea;
- (d) Loss of credentials. A faculty member who has lost the professional licensure or credentials required for the faculty member's position is deemed no longer eligible for employment; and
- (e) Financial exigency. Tenured faculty members or faculty members terminated prior to the expiration of their appointment pursuant to the University's policy on financial exigency.

1.4 The Non-Discrimination Policy, the Sexual Misconduct, Discrimination, and Harassment Policy, and the Consensual Sexual Relationships Policy

The University's Non-Discrimination Policy; the Sexual Misconduct, Discrimination, and Harassment Policy; and the Consensual Sexual Relationships Policy and their associated grievance procedures set forth the policies and procedures for all grievances, appeals, and sanctions related to any form of discrimination or harassment prohibited by University policy. Violations of those policies are not within the jurisdiction of the Faculty Appellate Committee unless jurisdiction is granted pursuant to those policies. The Institutional Equity Office policies and procedures, currently found at <http://www.ou.edu/eoo.html>, may provide for specific ad hoc hearing committees with specialized training other than the Faculty Appellate Committee.

1.5 Leave of Absence Pending a Formal Hearing or Appeal of Severe Sanctions

Upon consultation with or recommendation by the department chair, the VPAA, or the dean, with approval from the VPAA, has the power to place a faculty member on a leave of absence pending proceedings under Section 4.6.8 of this policy. The duration of leave should be determined based on the circumstances giving rise to the hearing or appeal. Alternatively, the VPAA may assign the faculty member to other duties or a redistribution of effort in lieu of leave. Any leave of absence, reassignment, or redistribution of effort imposed under this section is not in itself a sanction under Section 4.6.2 that can be appealed pursuant to this policy.

In cases where the President recommends abrogation of tenure or termination of employment, the President may place the faculty member on unpaid leave if and once the Chair of the Faculty Appellate Committee for the Dismissal or Suspension of Faculty Members ("the Appellate Committee") has determined the matter will proceed to a formal hearing pursuant to 4.6.8. Should the Appellate Committee find in favor of the faculty member, the faculty member will receive to any base compensation withheld while on leave without pay.

1.6 *Process for Termination of Employment or Abrogation of Tenure*

Prior to initiating formal proceedings for termination or abrogation of tenure the dean of the school shall meet with the faculty member, unless reasonably prevented from doing so. The meeting may result in agreement that the formal proceedings should not be initiated or that the best interest of the tenured faculty member and the University would be served by the faculty member's resignation. If this meeting does not result in mutual agreement, the dean will submit a recommendation in writing with rationale to the faculty member, the VPAA and the President. If the President agrees with the recommendation, the President must notify the faculty member and the Faculty Appellate Committee in writing of the agreement and request a hearing in which the University will be the Complainant. The President's notice shall include a copy of the recommendation for abrogation.

If the faculty member agrees with the President's recommendation or otherwise does not wish to contest the recommendation, the faculty member can decline to participate in the hearing and , the recommendation for abrogation shall proceed to the Board of Regents as uncontested. If at any point during the hearing process, the faculty member ceases participation, the hearing process will terminate and the President's recommendation shall proceed to the Board as uncontested.

The Board of Regents shall give all reasonable consideration to the recommendations of the President and, if applicable, the Appellate Committee before making a decision. Only the Board of Regents has the power to abrogate tenure.

1.7 Process for Other Severe Sanctions

Disciplinary action will begin with a meeting between the faculty member, the department chair, and the dean of the appropriate school. If, as a result of the conference, the dean finds that the conduct warrants the imposition of severe sanctions, a written recommendation for action and the rationale for the action will be forwarded to the faculty member and the VPAA. At the VPAA's discretion, the VPAA can request to meet with the faculty member to discuss the proposed disciplinary action. The VPAA will review the proposed disciplinary action, conduct additional inquiry if necessary, and notify the faculty member of whether a severe sanction will be imposed and a copy of the disciplinary action will be placed in the faculty member's personnel file.

A faculty member may appeal a severe sanction by requesting a hearing in writing to the Appellate Committee within twenty (20) University business days after receipt of the VPAA's notice. The Chair of the Faculty Appellate Committee may grant an extension for good cause shown, not to exceed twenty (20) days. If the faculty member does not file a timely, written appeal, the severe sanction will be final. If the faculty member submits a timely, written appeal, the Appellate Committee will follow the procedures outlined below and forward any final recommendation to the President. The President shall give all reasonable consideration to the recommendations of the Appellate Committee and make a decision to uphold, modify, or revoke the severe sanction which shall be final.

1.8 Appellate Committee on Dismissal or Suspension of Tenured Faculty Members

The University shall institute an Appellate Committee which shall consist of at least twelve tenured faculty members, ten of whom shall be nominated or elected by the faculty governing body of the University and two members appointed by the President of the University. A quorum shall be five (5) members or a majority of qualified members of the Appellate Committee. Initially, one half of the elected members shall be elected for twelve-months and one half shall be elected for twenty-four (24) months; thereafter, one half shall be elected each year. No member may serve more than two consecutive terms. At least one alternate member of the Appellate Committee shall be elected to serve in the event a regular member is unable to serve. The Appellate Committee may be advised by a representative from the Office of Legal Counsel. The incumbent Committee shall serve until the completion of any case pending at the time their term of service expires. The decision of the Committee will be based on majority vote. The Committee will elect its own chair, who will have the right to vote.

1.9 Faculty Appellate Committee Procedures for Recommendations Regarding Abrogation of Tenure, Termination of Employment, and Appeals of Severe Sanctions

After the Appellate Committee has received a notification that termination of employment or abrogation of tenure proceedings have been initiated or after the faculty member has requested a hearing before the Appellate Committee to appeal a severe sanction, the Chair of the Appellate Committee will review the request to determine whether it is within the review authority of the Committee under University policy and whether the request is timely. If the request is timely and within the Committee's review authority, the process will continue. If the request is not timely and/or appealable, the Chair shall notify both parties and the process will end. In cases where the Chair is

unable to determine from the Request for Hearing whether the matter falls within the Committee's review authority, the Chair may contact the appropriate party to clarify the request or cure any deficiencies in the request, if appropriate. The Committee Chair's decision is final.

Within ten (10) University business days of receipt, the Chair of the Committee shall appoint a pre-hearing panel and hold a pre-hearing conference by meeting with the University and the faculty member. The Chair of the Committee shall chair the pre-hearing panel. The purpose of the pre-hearing meeting is to determine whether a matter should proceed to a formal hearing. Requests for hearings that are untimely, frivolous, duplicative, unrelated to University business, or outside the scope of the Committee's review authority should be dismissed and the President so notified. Otherwise, the process will continue. At the pre-hearing, no documents or physical evidence should be introduced, and no witnesses shall be called, but the parties must appear and relate their views of the matter. A party who fails to appear and/or participate in the pre-hearing meeting is deemed to have waived future rights to participate in formal proceedings. Due to the seriousness of the allegations and the severity of the recommended sanctions, in cases where abrogation of tenure or termination of employment is recommended, the University has the burden of proving that it has presented sufficient grounds to move to the formal hearing stage. In all other matters, the burden is on the faculty member. As soon as reasonably practicable, but not more than five (5) University business days after the pre-hearing, the Chair shall determine by majority vote whether the matter should proceed or be dismissed and notify the parties in writing. If a matter proceeds, the notice to the parties shall include instructions for the parties to provide written statements as outlined below and information about the Hearing Committee selection

The faculty member may respond by waiving the hearing in writing and filing a written brief; in which case, the Committee will evaluate the faculty member's written brief as well as the recommendation of the dean of the school. If the faculty member declines to participate in the process, formal proceedings will cease and the President shall determine whether to uphold, modify or revoke the imposition of the severe sanction or, when applicable, recommend termination or abrogation of tenure to the Board of Regents.

The Appellate Committee hearing is a lay process that relies on peer review and the common sense, sound judgement, good character, and sense of fairness of each Hearing Committee member. The 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 the matter. From time to time, compliance with applicable state and/or federal law(s) may require modification of the Appellate Committee process, which includes modification of the related hearing procedures. Procedural errors, standing alone, shall not invalidate a Hearing Committee's decision. The time intervals specified in the preceding and following sections should be maintained unless waived by the Chair of the Appellate Committee for unusual circumstances or in order to allow continuing progress towards informal resolution of the complaint.

If the pre-hearing panel votes to forward a matter for formal hearing, the Chair of the Appellate Committee will request the University submit to both the Chair and the Faculty Member, within fifteen (15) University business days, the following:

- (a) Relevant policies of the administrative or academic unit, the VPAA, the President's Office, and the Board of Regents.
- (b) The written complaint stating in full the grounds upon which the alleged grievance is based.

- (c) A summary of the evidence upon which the complaint is based.
- (d) A list of witnesses proposed to be called and a brief summary of the testimony of each proposed witness.

The Chair of the Appellate Committee will, upon receipt of the University's statement, request the faculty member to submit to both the Chair and the University, within fifteen (15) University business days, the following:

- (a) Relevant policies of the administrative or academic unit, the VPAA, the President's Office, and the Board of Regents.
- (b) The written response outlining the specific points of defense.
- (c) A summary of the evidence to be used in refuting the charges.
- (d) A list of proposed witnesses to be called and a brief summary of the testimony of each proposed witness.

1.10 Selection of the Hearing Committee

- (a) Within five (5) University business days after the written notice to the parties that the matter is proceeding to a formal hearing, the Chair of the Appellate Committee will provide the parties a list of the members of the Appellate Committee. The list shall not include members of the Committee that work in the same department as either party or one who is related to either party.
- (b) Within five (5) University business days of receiving the list of Committee members, the parties shall notify the Appellate Committee Chair if either believes that a member of the Appellate Committee should be disqualified on grounds of bias or personal interest in the case. The Appellate Committee Chair shall determine, in consultation with the Office of Legal Counsel whether cause has been shown to disqualify that person from the Hearing Committee.
- (c) If either party believes that the Appellate Committee Chair should be disqualified on grounds of bias or personal interest, the Vice President for Academic Affairs shall determine, in consultation with the Office of Legal Counsel, whether cause has been shown to disqualify that person from the Hearing Committee.
- (d) Within five (5) University business days of any challenges being resolved, the Appellate Committee Chair will select by lot five members of the Faculty Appellate Committee to serve on the Hearing Committee. The remaining members of the Appellate Committee who have not been disqualified will serve as alternates. There should be a minimum of two alternates.
- (e) If, due to disqualifications and challenges, there are not enough Appellate Committee members to staff a Hearing Committee of five members and two alternates, the Chair of the Faculty Senate shall select the remaining number of Hearing Committee members by lot from the roster of Faculty Senate members. These appointees are subject to the same disqualifications and challenges for cause as noted above.

- (f) Once finalized the Hearing Committee members will select one member to serve as Chair of the Hearing Committee.
- (g) All Hearing Committee members are expected to prioritize Hearing Committee responsibilities above other faculty obligations. Hearing Committee members or alternates who need assistance covering class or other faculty commitments may contact the VPAA's Office for assistance to ensure attendance at the Hearing.
- (h) Once selected to serve on a Hearing Committee, Hearing Committee members will be expected to serve for the duration of the Hearing process even if their term on the Faculty Appellate Committee expires.

Every effort will be made to hold the Hearing within thirty (30) University business days of the faculty member submitting his or her written statement.

1.11 Hearing Committee Regulations

The following regulations shall apply:

- (a) The Chair of the Hearing Committee shall preside over the hearing and is authorized to make decisions regarding questions of evidence and admissibility, the conduct of the proceedings, and take all such steps as necessary to maintain an orderly hearing process. The Chair of the Appellate Committee shall provide the Chair of the Hearing Committee with a copy of the Complaint and Response as well as the accompanying summaries of evidence, list of proposed witnesses, and relevant policies. The Chair of the Hearing Committee, after consulting with the legal counsel assigned to the Committee, shall have the final decision on any procedural issues raised that are not addressed by the Faculty Handbook. The Chair of the Hearing Committee is responsible for maintaining a full and accurate record of the proceedings. This shall consist of a recording and shall include copies of all exhibits and other materials distributed at the hearing.
- (b) The parties shall have the right to attend the hearing and to be accompanied by a colleague or counsel to advise them. The names of such colleague or counsel shall be provided to the Chair of the Hearing Committee at least ten (10) University business days prior to the hearing. Representatives may not question witnesses or address the Hearing Committee. All hearings will be closed to the public.
- (c) 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.
- (d) If requested by the Hearing Committee, each party must provide copies of all materials to the other party and the Hearing Committee members and alternates at a date to be determined by the Chair of the Hearing Committee but at least five (5) University business days prior to the hearing.

- (e) The principles of confrontation shall apply throughout the hearing. Both parties shall have the right to present, examine, and cross examine witnesses, and each other. Each party is responsible for securing the presence of their own witnesses; however, if either party wishes the presence of University employees, the VPAA's Office shall make reasonable efforts to support that request.
- (f) In matters relating to abrogation of tenure or termination of employment, the University shall bear the burden of proof which shall be by a preponderance of the evidence., i.e. whether the allegations are more likely true than not true. In matters relating to severe sanctions other than abrogation of tenure or termination of employment, the burden is on the appealing party to prove by a preponderance of the evidence (i.e., more likely than not) that the sanction is unwarranted.
- (g) The report of the Hearing Committee, which shall include findings and recommendations, will be submitted to the parties, VPAA and President within ten (10) University business days of the conclusion of the hearing. The President shall make a recommendation to the Board of Regents and include a copy of the Hearing Committee's findings and recommendations.

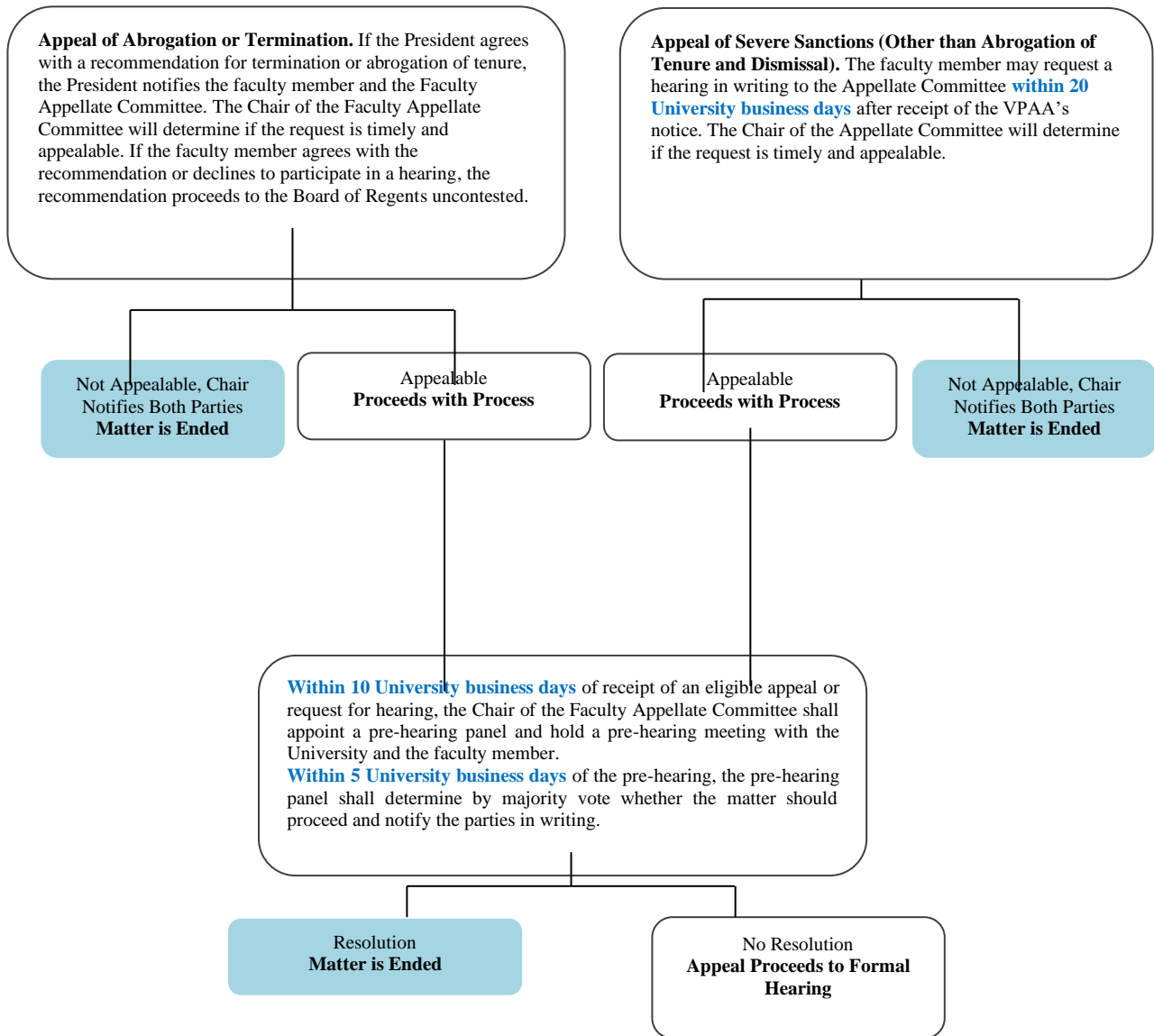
1.12 Disposition of Charges

The President shall transmit to the Board of Regents the full record of the hearing and the findings and recommendations of the Hearing Committee, and his/her recommendations. If action by the Board of Regents is required, such as in cases of abrogation of tenure, termination of employment, or severe sanctions, the Board of Regents shall review the materials submitted plus any additional information it wishes to consider and adopt, modify, or reject the President's recommendations, or it may return the matter to the Hearing Committee with written directions as to how to proceed.

If the Board of Regents chooses to return the matter to the Hearing Committee, the Committee shall review the matter in light of the Board of Regents' directions, receive new evidence or information, if necessary, and submit a final report of its findings and recommendations to the President for transmittal to the Board of Regents, as before. The work of the Hearing Committee is finished when the Board of Regents makes a final determination.

The full record shall be deposited in the office of the Executive Secretary of the Board of Regents. Parties to the case may request copies or excerpts from the full record after the completion of the Committee's work. The costs shall be borne by the requesting party.

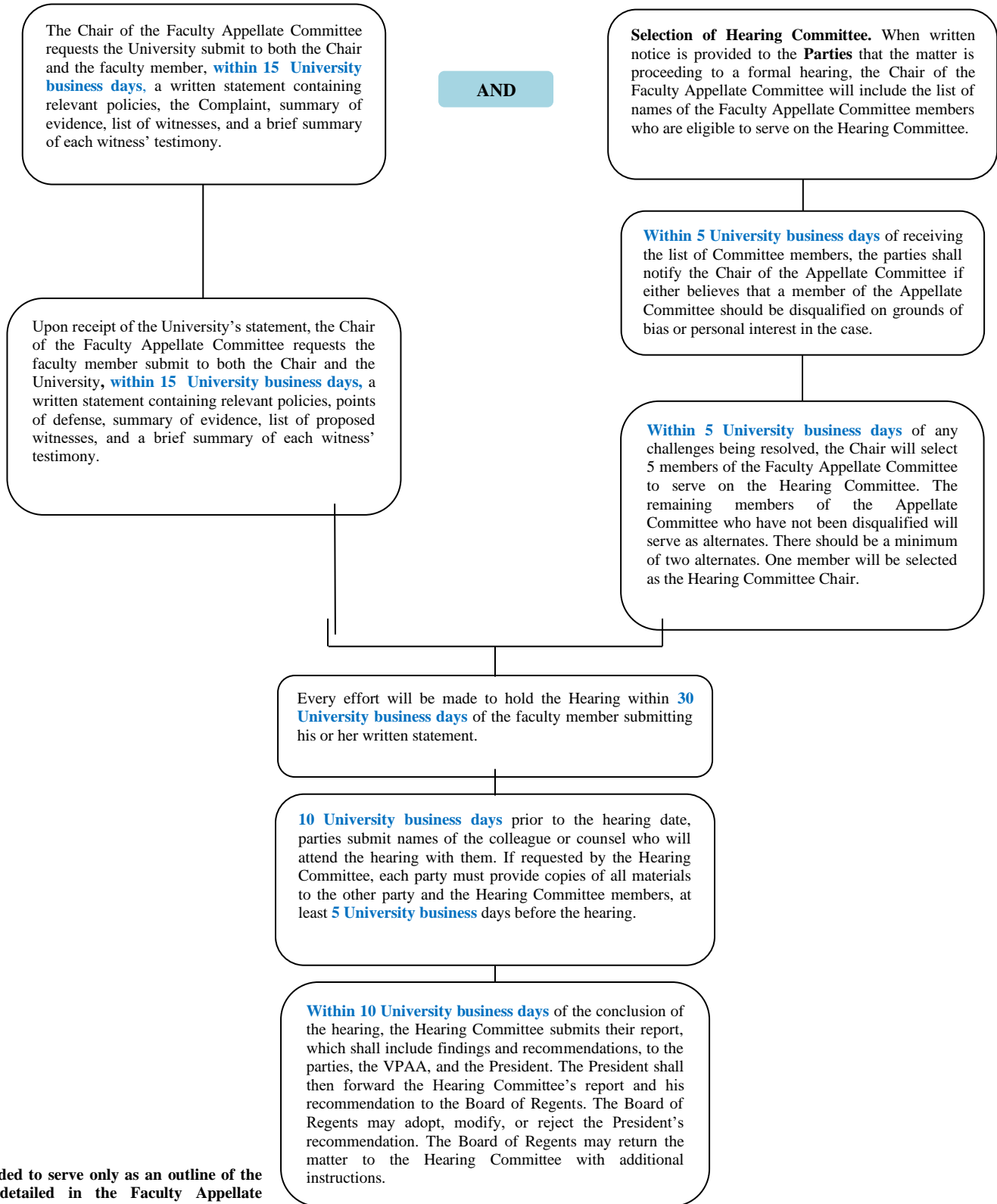
INITIATION OF APPEAL AND REQUEST FOR HEARING FOR TERMINATION OF EMPLOYMENT, ABROGATION OF TENURE, AND OTHER SEVERE SANCTIONS



Formal Hearing Procedure (see next page)

This is intended to serve only as an outline of the procedures detailed in 4.6.5, 4.6.6, and 4.6.7 of the 4.6 abrogation of tenure, termination of employment, and severe sanctions.

FORMAL HEARING PROCEDURE FOR TERMINATION OF EMPLOYMENT, ABROGATION, TENURE, AND OTHER SEVERE SANCTIONS



This is intended to serve only as an outline of the procedures detailed in the Faculty Appellate Committee process in Section 4.6.

CAMERON UNIVERSITY
STATEMENTS OF NET POSITION
DECEMBER 31, 2023 AND 2022
UNAUDITED-MANAGEMENT USE ONLY

Assets	12/31/2023	12/31/2022
Unrestricted cash and cash equivalents	\$ 9,699,202	\$ 11,399,326
Restricted cash and cash equivalents	2,685,602	2,899,322
Accounts receivable, net	2,783,894	3,404,429
Leases receivable	583,791	457,457
Net other post-employment benefits asset	169,202	492,695
Deposits and prepaid expenses	2,333,539	2,144,133
Capital assets, net	54,273,011	56,507,927
Total Assets	<u>72,528,241</u>	<u>77,305,289</u>
 Deferred Outflows	 <u>7,907,498</u>	 <u>6,552,192</u>
 Liabilities		
Accounts payable and accrued expenses	626,450	570,176
Post-employment benefits obligation	2,358,032	2,174,868
Accrued compensated absences	365,798	421,189
Net pension liability	29,666,729	19,762,334
Unearned revenue	110,764	-
Leases payable	474,831	317,466
Capital lease payable	15,202,664	16,507,855
Deposits held in custody for others	112,414	95,624
Total Liabilities	<u>48,917,682</u>	<u>39,849,512</u>
 Deferred Inflows	 <u>5,031,073</u>	 <u>16,332,343</u>
 Net Position		
Net Position	26,486,984	27,675,626
Total Net Position	<u>\$ 26,486,984</u>	<u>\$ 27,675,626</u>

CAMERON UNIVERSITY
STATEMENTS OF REVENUE, EXPENSES AND CHANGES IN NET POSITION
FOR THE SIX MONTHS ENDED DECEMBER 31, 2023 AND 2022
UNAUDITED-MANAGEMENT USE ONLY

	12/31/2023	12/31/2022
Operating Revenues		
Student tuition and fees	\$ 11,031,014	\$ 11,015,533
Grants and contracts	1,634,427	3,098,531
Sales and services of educational activities	157,271	132,320
Sales and services of auxiliary enterprises	3,843,155	2,614,963
Other operating revenues	7,812	61,367
Total Operating Revenues	16,673,679	16,922,714
Operating Expenses		
Compensation and benefits	12,801,681	13,067,612
Contractual services	841,519	766,327
Supplies and materials	9,207,755	7,112,019
Depreciation	1,943,476	1,874,526
Utilities	989,948	1,075,171
Communication	83,370	82,915
Scholarships and fellowships	8,147,327	7,670,507
Other operating expenses	1,254,832	964,534
Total Operating Expenses	35,269,908	32,613,611
Operating loss	(18,596,229)	(15,690,897)
Nonoperating Revenues and (Expenses)		
State appropriations	10,392,769	9,665,762
Grants and contracts	4,729,959	4,903,538
Private gifts	401,335	342,465
Endowment and Investment income	57,955	48,685
Net Nonoperating Revenues and (Expenses)	15,582,018	14,960,450
Income Before Other Revenues, (Expenses), Gains or (Losses)	(3,014,211)	(730,447)
Other Revenue, Expenses, Gains or Losses		
Private gifts for capital projects	-	350,000
Capital state appropriations	801,785	789,593
Total Other Revenue, (Expenses), Gains and (Losses)	801,785	1,139,593
Change in Net Position	\$ (2,212,426)	\$ 409,146

Board of Regents Policy
2.3.4 Minor and Severe Sanctions Policy
Replacing CU/RSU Regents Policy 2.3.4, 2.3.4.1, 2.3.4.2

Cameron University and Rogers State University strive to exercise great care in selecting faculty appointees and in conferring tenure upon only those faculty members who have demonstrated their merit for continuous appointment. For that reason, the imposition of severe sanctions, such as abrogation of tenure or termination of a non-tenured faculty member outside of the nonrenewal process, should be an exceptional event. Although such measures may be required infrequently, the purpose of this policy is to establish a pre-disciplinary review procedure for minor and severe sanctions that preserves both the integrity of each university and the rights of faculty members; and to establish procedural safeguards for faculty members against whom minor sanctions may be imposed.

For all grievances, appeals, and sanctions related to any form of discrimination or harassment prohibited by the Non-Discrimination Policy, the Sexual Misconduct, Discrimination, and Harassment Policy, or the Consensual Sexual Relationships Policy, please see those policies and their associated grievance procedures.

The full policy and associated procedures may be found in each institution's faculty handbook and are incorporated herein by reference. It is the policy of Cameron University and Rogers State University that all employees within the scope of this policy have procedural rights prior to the imposition of severe sanctions or termination of employment as outlined in the associated procedures. Any changes to the policy and procedures must be approved by the Board of Regents for the University of Oklahoma.

MINOR AND SEVERE SANCTIONS POLICY

The University strives to exercise great care in selecting faculty appointees and to confer tenure upon only those faculty members who have demonstrated their merit for tenured appointment. For that reason, the imposition of severe sanctions such as dismissal of a tenured faculty member (abrogation of tenure) or termination of a non-tenured faculty member during their contract and outside of non-renewals pursuant to Section 3.4.6 should be an exceptional event. Although such measures may be required infrequently, the purpose of this policy is to establish procedural safeguards for the imposition of sanctions that preserves both the integrity of the University and the rights of faculty members against whom sanctions may be imposed.

1.1 Minor Sanctions

The chair of the academic unit with approval from the dean, has the power to impose minor sanctions. A faculty member against whom the imposition of minor sanctions is sought must be informed in writing of the basis for the action. While it is not possible to specify all grounds for which minor sanctions may be sought, they include, but are not limited to, the following:

- (1) Neglect of duty or failure to carry out normal and expected satisfactory teaching, research, or service responsibilities
- (2) Unprofessional conduct adversely affecting the functioning of the area, department, college, or University
- (3) Failure to adhere to certain University policies. However, a faculty member may not appeal a prior finding of a violation of University policy by a University administrative officer or body when such finding has already been appealed under that particular policy (e.g. Institutional Equity matters, Research Misconduct, etc.)

Minor sanctions may include, but are not limited to, suspension of public-facing assignments such as clinic assignments, suspension of travel privileges for not more than thirty (30) days, and/or restitution to the University. A faculty member who believes the sanctions are unfair/unsupported may appeal the sanction(s) imposed to the VPAA within fifteen (15) University business days of notice of the sanction(s). The VPAA will review the sanction(s) imposed, meet with the faculty member if requested, and decide to affirm, modify, or revoke the minor sanctions. The decision of the VPAA is final.

1.2 Grounds for Abrogation of Tenure, Dismissal, and Other Severe Sanctions

Severe sanctions may include, but are not limited to, abrogation of tenure and termination of employment, loss of prospective University privileges for a stated period (for instance, loss of eligibility for a sabbatical leave of absence), a fine, or a reduction in salary. Although termination of employment of a non-tenured faculty member during the term of appointment would be considered a severe sanction, timely non-renewal of a faculty member's appointment pursuant to Section 3.4.6 is not a severe sanction and is not within the scope of this policy. Although it is not possible to specify all grounds for which abrogation of tenure, termination of employment, or severe sanctions may be sought, they include, but are not limited to the following:

- (a) Professional incompetence or dishonesty;
- (b) Substantial, manifest, or repeated failure to, and/or refusal to fulfill professional duties or responsibilities;

- (c) Substantial, manifest, or repeated failure to, and/or refusal to adhere to University policies provided, however, that a faculty member may not appeal a prior finding of a violation of University policy by a University administrative officer or body when such finding has already been appealed under that particular policy (e.g., Institutional Equity matters, Research Misconduct, etc.); and
- (d) Personal behavior preventing the faculty member from satisfactory fulfillment of professional duties or responsibilities.

1.3 *Non-disciplinary termination(s)*

Non-disciplinary terminations are not severe sanctions. A faculty member may request a hearing to challenge a non-disciplinary termination using the procedures for hearings before the Faculty Appellate Committee. However, challenges of non-disciplinary terminations are limited to the following grounds as appropriate: the fact of the change in worksite without authorization, inability to perform essential functions, the relevance of the criminal conviction, or the credentials required for the faculty member's position.

- (a) Change of worksite. A faculty member is generally expected to work in the state of Oklahoma (or other assigned University site), except where mutually agreed and authorized pursuant to a remote work agreement approved by the dean and the Vice President for Academic Affairs. Changes to work locations, whether to another state or abroad, subject the University to payroll and tax burdens. Faculty members working in other states or abroad, without prior written authorization from the applicable VPAA, must request such authorization within (5) days of being informed of the violation. If the VPAA does not give such authorization within twenty (20) days of this request, the faculty member shall be ineligible for continued employment;
- (b) Inability to perform essential functions. A faculty member who is unable to perform the essential functions of the faculty member's position, with or without a reasonable accommodation, is ineligible for continued employment;
- (c) Criminal convictions. A faculty member who has (1) pleaded guilty or *nolo contendere* or who has been found guilty before a court of competent jurisdiction of a violation of a law relating to dishonesty, violence, or where such plea or conviction prevents the faculty member from satisfactorily fulfilling professional duties or responsibilities, or (2) a faculty member that has violated a court order when such violations relate to the faculty member's proper performance of professional responsibilities is ineligible for continued employment. As noted above, faculty members who have been terminated pursuant to this provision may request a hearing before on the grounds their plea does not satisfactorily prevent the faculty member from fulfilling their professional duties or responsibilities; however, such hearings are not forums for faculty members to change their plea or relitigate the facts that form the basis for the plea;
- (d) Loss of credentials. A faculty member who has lost the professional licensure or credentials that the University requires for the faculty member's position or profession or that are required by an external licensure board or accrediting entity is deemed no longer eligible for employment; and
- (e) Financial exigency. Tenured faculty members or faculty members terminated prior to the expiration of their appointment pursuant to the University's policy on financial exigency.

1.4 The Non-Discrimination Policy, the Sexual Misconduct, Discrimination, and Harassment Policy, and the Consensual Sexual Relationships Policy

The University's Non-Discrimination Policy; the Sexual Misconduct, Discrimination, and Harassment Policy; and the Consensual Sexual Relationships Policy and their associated grievance procedures set forth the policies and procedures for all grievances, appeals, and sanctions related to any form of discrimination or harassment prohibited by University policy. Violations of those policies are not within the jurisdiction of the Faculty Appellate Committee unless jurisdiction is granted pursuant to those policies. The Institutional Equity Office policies and procedures, currently found at <http://www.ou.edu/eoo.html>, may provide for specific ad hoc hearing committees with specialized training other than the Faculty Appellate Committee.

1.5 Leave of Absence Pending a Formal Hearing or Appeal of Severe Sanctions

Upon consultation with or recommendation by the department chair, the VPAA, or the dean, with approval from the VPAA, has the power to place a faculty member on a leave of absence pending proceedings under Section 3.5.8. of this policy. The duration of leave should be determined based on the circumstances giving rise to the hearing or appeal. Alternatively, the VPAA may assign the faculty member to other duties or a redistribution of effort in lieu of leave. Any leave of absence, reassignment, or redistribution of effort imposed under this section is not in itself a sanction that can be appealed pursuant to this policy.

In cases where the President recommends abrogation of tenure or termination of employment, the President may place the faculty member on unpaid leave if and once the Faculty Appellate Committee Chair has determined the matter will proceed to a formal hearing. Should the Faculty Appellate Committee find in favor of the faculty member, the faculty member will receive any base compensation withheld while on leave without pay.

1.6 Process for Termination of Employment or Abrogation of Tenure

When abrogation of tenure or termination of employment is considered, the appropriate administrative officer, typically the academic dean of the university, shall ordinarily investigate the matter and meet with the faculty member in person to discuss the matter, unless reasonably prevented from doing so. The meeting may result in agreement that the formal proceedings should not be initiated or that the best interest of the tenured faculty member and the University would be served by the faculty member's resignation. If this meeting does not result in mutual agreement, the dean will submit a recommendation in writing with rationale to the faculty member, the VPAA and the President. If the President agrees with the recommendation, the President must notify the faculty member and the Faculty Appellate Committee in writing and request a hearing in which the University will be the Complainant. The President's notice shall include a copy of the recommendation for abrogation.

If the faculty member agrees with the President's recommendation or otherwise does not wish to contest the recommendation, the faculty member can decline to participate in the hearing and the recommendation for abrogation shall proceed to the Board of Regents as uncontested. If at any point during the hearing process, the faculty member ceases participation, the hearing process will terminate and the President's recommendation shall proceed to the Board as uncontested.

The Board of Regents shall give all reasonable consideration to the recommendations of the President and, if applicable, the Faculty Appellate Committee before making a decision. Only the Board of Regents has the power to abrogate tenure.

1.7 Process for Other Severe Sanctions

Disciplinary action will begin with a meeting between the faculty member, the department head, and the dean of the appropriate college. If, as a result of the conference, the dean finds that the conduct warrants the imposition of severe sanctions, a written recommendation for action and the rationale for the action will be forwarded to the faculty member and the VPAA. At the VPAA's discretion, the VPAA can request to meet with the faculty member to discuss the proposed disciplinary action. The VPAA will review the proposed disciplinary action, conduct additional inquiry if necessary, and notify the faculty member of whether a severe sanction will be imposed and a copy of the disciplinary action will be placed in the faculty member's personnel file.

The faculty member may request a hearing in writing to the Faculty Appellate Committee within twenty (20) University business days after receipt of the VPAA's notice. The Chair of the Faculty Appellate Committee may grant an extension for good cause shown, not to exceed twenty (20) days. If the faculty member does not request a hearing, the severe sanction will be final. If the faculty member timely requests a hearing, the Faculty Appellate Committee will follow its procedures and forward any final recommendation to the President. The President shall give all reasonable consideration to the recommendations of the Faculty Appellate Committee and decide to uphold, modify, or revoke the severe sanction, which shall be final.

1.8 Faculty Appellate Committee Procedures for Recommendations Regarding Abrogation of Tenure, Termination of Employment, and Appeals of Severe Sanctions

After the Faculty Appellate Committee has received a notification that termination of employment or abrogation of tenure proceedings have been initiated or after faculty member has requested a hearing before the Faculty Appellate Committee to appeal a severe sanction, the Chair of the Faculty Appellate Committee will review the request to determine whether it is within the review authority of the Committee under University policy and whether the request is timely. If the request is timely and within the Committee's review authority, the process will continue. If the request is not timely and/or appealable, the Chair shall notify both parties and the process will end. In cases where the Chair is unable to determine from the request for hearing whether the matter falls within the Committee's review authority, the Chair may contact the appropriate party to clarify the request or cure any deficiencies in the request, if appropriate. The Committee Chair's decision is final.

Within ten (10) University business days of receipt, the Chair of the Committee shall appoint a pre-hearing panel and hold a pre-hearing conference by meeting with the University and respondent. The Chair of the Committee shall chair the pre-hearing panel. The purpose of the pre-hearing meeting is to determine whether a matter should proceed to a formal hearing. Requests for hearings that are untimely, frivolous, duplicative, unrelated to University business, or outside the scope of the Committee's review authority should be dismissed and the President so notified. Otherwise, the process will continue. At the pre-hearing, no documents or physical evidence should be introduced, and no witnesses shall be called, but the parties must appear and relate their views of the matter. A party who fails to appear and/or participate in the Pre-hearing meeting is deemed to have waived future rights to participate in formal proceedings. Due to the seriousness of the allegations and the severity of the recommended sanctions, in cases where abrogation of tenure or termination of employment is recommended, the University has the burden of proving that it has presented sufficient grounds to move to the formal hearing stage. In all other matters, the burden is on the faculty member. As soon as reasonably practicable, but not more than five (5) University business days after the pre-hearing, the Chair shall determine by majority vote whether the matter should proceed or be dismissed and notify the parties in writing. If a matter proceeds, the notice to the parties shall include instructions for the parties to provide written statements as outlined below and information about the Hearing Committee selection

The faculty member may respond by waiving the hearing in writing and filing a written brief; in which case, the Committee will evaluate the faculty member's written brief as well as the recommendation of the dean of the college. If the faculty member declines to participate in the process, formal proceedings will cease and the President shall determine whether to uphold, modify or revoke the imposition of the severe sanction or, when applicable, recommend termination or abrogation of tenure to the Board of Regents.

The Faculty Appellate Committee hearing is a lay process that relies on peer review and the common sense, sound judgement, good character, and sense of fairness of each Hearing Committee member. The 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 the matter. From time to time, compliance with applicable state and/or federal law(s) may require modification of the Faculty Appellate Committee process, which includes modification of the related hearing procedures. Procedural errors, standing alone, shall not invalidate a Hearing Committee's decision. The time intervals specified in the preceding and following sections should be maintained unless waived by the Chair of the Faculty Appellate Committee for unusual circumstances or in order to allow continuing progress towards informal resolution of the complaint.

If the pre-hearing panel votes to forward a matter for formal hearing, the Chair of the Faculty Appellate Committee will request the University submit to both the Chair and the faculty member, within fifteen (15) University business days, the following:

- (a) Relevant policies of the administrative or academic unit, the College, the VPAA, the President's Office, and the Board of Regents.
- (b) The written complaint stating in full the grounds upon which the alleged grievance is based.
- (c) A summary of the evidence upon which the complaint is based.
- (d) A list of witnesses proposed to be called and a brief summary of the testimony of each proposed witness.

The Chair of the Faculty Appellate Committee will, upon receipt of the University's statement, request the faculty member to submit to both the Chair and the University, within fifteen (15) University business days, the following:

- (a) Relevant policies of the administrative or academic unit, the College, the Vice President for Academic Affairs' office, the President's Office, and the Board of Regents.
- (b) The written response outlining the specific points of defense.
- (c) A summary of the evidence to be used in refuting the charges.
- (d) A list of proposed witnesses to be called and a brief summary of the testimony of each proposed witness.

1.9 Selection of the Hearing Committee:

- (a) Within five (5) University business days after the written notice to the parties that the matter is proceeding to a formal hearing, the Chair of the Faculty Appellate Committee will provide the parties a list of the members of the Faculty Appellate Committee. The list shall not include members of the Committee that work in the same department as either party or one who is related to either party.

- (b) Within five (5) University business days of receiving the list of Committee members, the parties shall notify the Faculty Appellate Committee Chair if either believes that a member of the Appellate Committee should be disqualified on grounds of bias or personal interest in the case. The Faculty Appellate Committee Chair shall determine, in consultation with the Office of Legal Counsel whether cause has been shown to disqualify that person from the Hearing Committee.
- (c) If either party believes that the Faculty Appellate Committee Chair should be disqualified on grounds of bias or personal interest, the Vice President for Academic Affairs shall determine, in consultation with the Office of Legal Counsel, whether cause has been shown to disqualify that person from the Hearing Committee.
- (d) Within five (5) University business days of any challenges being resolved, the Faculty Appellate Committee Chair will select by lot five members of the Faculty Appellate Committee to serve on the Hearing Committee. The remaining members of the Faculty Appellate Committee who have not been disqualified will serve as alternates. There should be a minimum of two alternates.
- (e) If, due to disqualifications and challenges, there are not enough Faculty Appellate Committee members to staff a Hearing Committee of five members and two alternates, the Chair of the Faculty Senate shall select the remaining number of Hearing Committee members by lot from the roster of Faculty Senate members. These appointees are subject to the same disqualifications and challenges for cause as noted above.
- (f) Once finalized the Hearing Committee members will select one member to serve as Chair of the Hearing Committee.
- (g) All Hearing Committee members are expected to prioritize Hearing Committee responsibilities above other faculty obligations. Hearing Committee members or alternates who need assistance covering class or other faculty commitments may contact the VPAA's Office for assistance to ensure attendance at the Hearing.
- (h) Once selected to serve on a Hearing Committee, Hearing Committee members will be expected to serve for the duration of the Hearing process even if their term on the Faculty Appellate Committee expires.

Every effort will be made to hold the Hearing within thirty (30) University business days of the faculty member submitting his or her written statement.

1.10 Hearing Committee Regulations

The following regulations shall apply:

- (a) The Chair of the Hearing Committee shall preside over the hearing and is authorized to make decisions regarding questions of evidence and admissibility, the conduct of the proceedings, and take all such steps as necessary to maintain an orderly hearing process. The Chair of the Faculty Appellate Committee shall provide the Chair of the Hearing Committee with a copy of the Complaint and Response as well as the accompanying summaries of evidence, lists of proposed witnesses, and relevant policies. The Chair of the Hearing Committee, after consulting with the legal counsel assigned to the Committee, shall have the final decision on any procedural issues raised that are not addressed by the

Academic Affairs Policies and Procedures Manual. The Chair of the Hearing Committee is responsible for maintaining a full and accurate record of the proceedings. This shall consist of a recording and shall include copies of all exhibits and other materials distributed at the hearing.

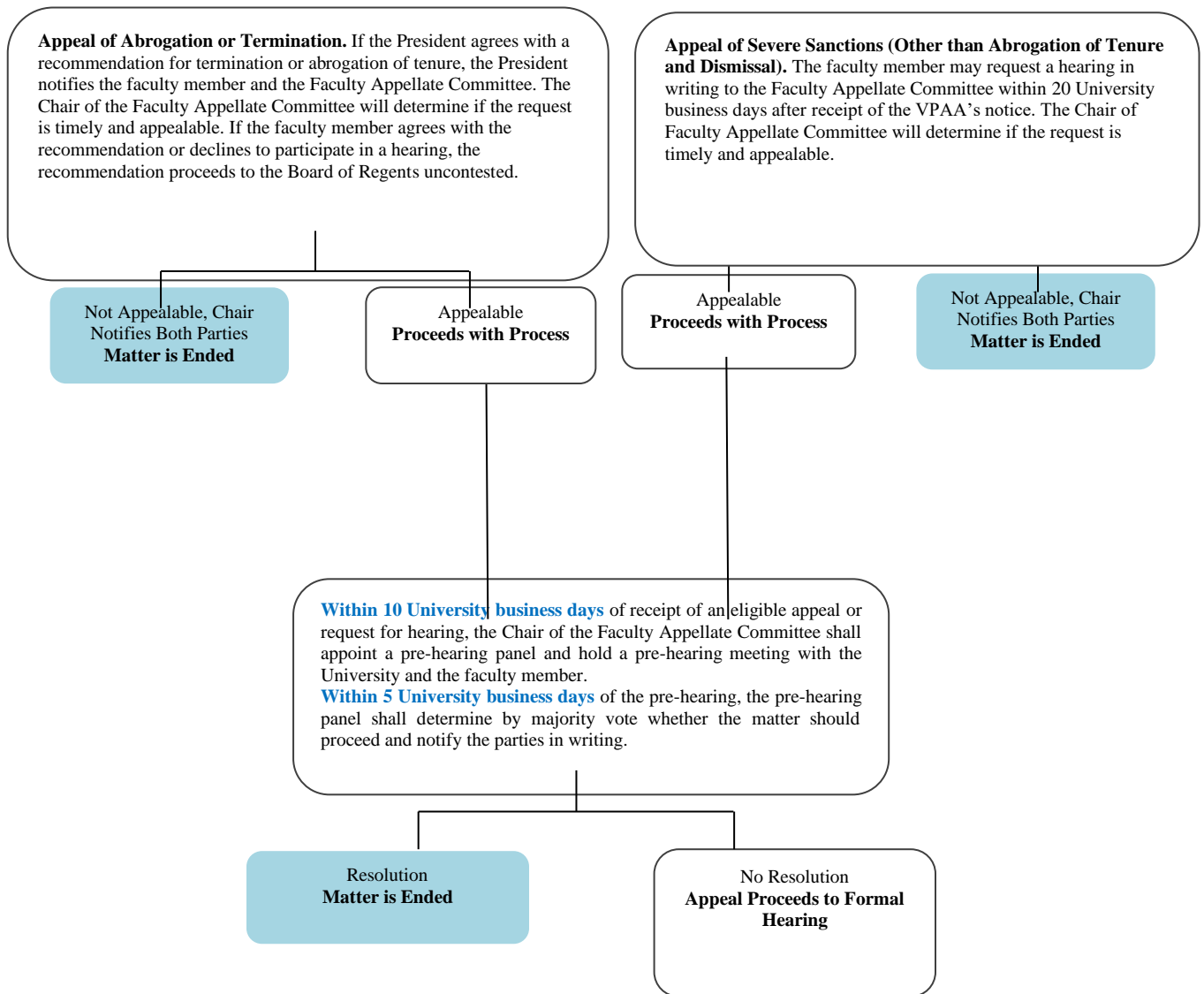
- (b) The parties shall have the right to attend the hearing and to be accompanied by a colleague or counsel to advise them. The names of such colleague or counsel shall be provided to the Chair of the Hearing Committee at least ten (10) University business days prior to the hearing. Representatives may not question witnesses or address the Hearing Committee. All hearings will be closed to the public.
- (c) 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.
- (d) If requested by the Hearing Committee, each party must provide copies of all materials to the other party and the Hearing Committee members and alternates at a date to be determined by the Chair of the Hearing Committee but at least five (5) University business days prior to the hearing.
- (e) The principles of confrontation shall apply throughout the hearing. Both parties shall have the right to present, examine, and cross examine witnesses, and each other. Each party is responsible for securing the presence of their own witnesses; however, if either party wishes the presence of University employees, the VPAA's Office shall make reasonable efforts to support that request.
- (f) In matters relating to abrogation of tenure or termination of employment, the University shall bear the burden of proof which shall be by a preponderance of the evidence., i.e. whether the allegations are more likely true than not true. In matters relating to severe sanctions other than abrogation of tenure or termination of employment, the burden is on the appealing party to prove by a preponderance of the evidence (i.e., more likely than not) that the sanction is unwarranted.
- (g) The report of the Hearing Committee, which shall include findings and recommendations, will be submitted to the parties, VPAA and President within ten (10) University business days of the conclusion of the hearing. The President shall make a recommendation to the Board of Regents and include a copy of the Hearing Committee's findings and recommendations.

1.11 Disposition of Charges

The President shall transmit to the Board of Regents the full record of the hearing and the findings and recommendations of the Hearing Committee, and his/her recommendations. If action by the Board of Regents is required, such as in cases of abrogation of tenure, termination of employment, or severe sanctions, the Board of Regents shall review the materials submitted plus any additional information it wishes to consider and adopt, modify, or reject the President's recommendations, or it may return the matter to the Hearing Committee with written directions as to how to proceed.

- (a) If the Board of Regents chooses to return the matter to the Hearing Committee, the Committee shall review the matter in light of the Board of Regents' directions, receive new evidence or information, if necessary, and submit a final report of its findings and recommendations to the President for transmittal to the Board of Regents, as before. The work of the Hearing Committee is finished when the Board of Regents makes a final determination.
- (b) The full record shall be deposited in the office of the Executive Secretary of the Board of Regents. Parties to the case may request copies or excerpts from the full record after the completion of the Committee's work. The costs shall be borne by the requesting party.

INITIATION OF APPEAL AND REQUEST FOR HEARING FOR TERMINATION OF EMPLOYMENT, ABROGATION OF TENURE, AND OTHER SEVERE SANCTIONS

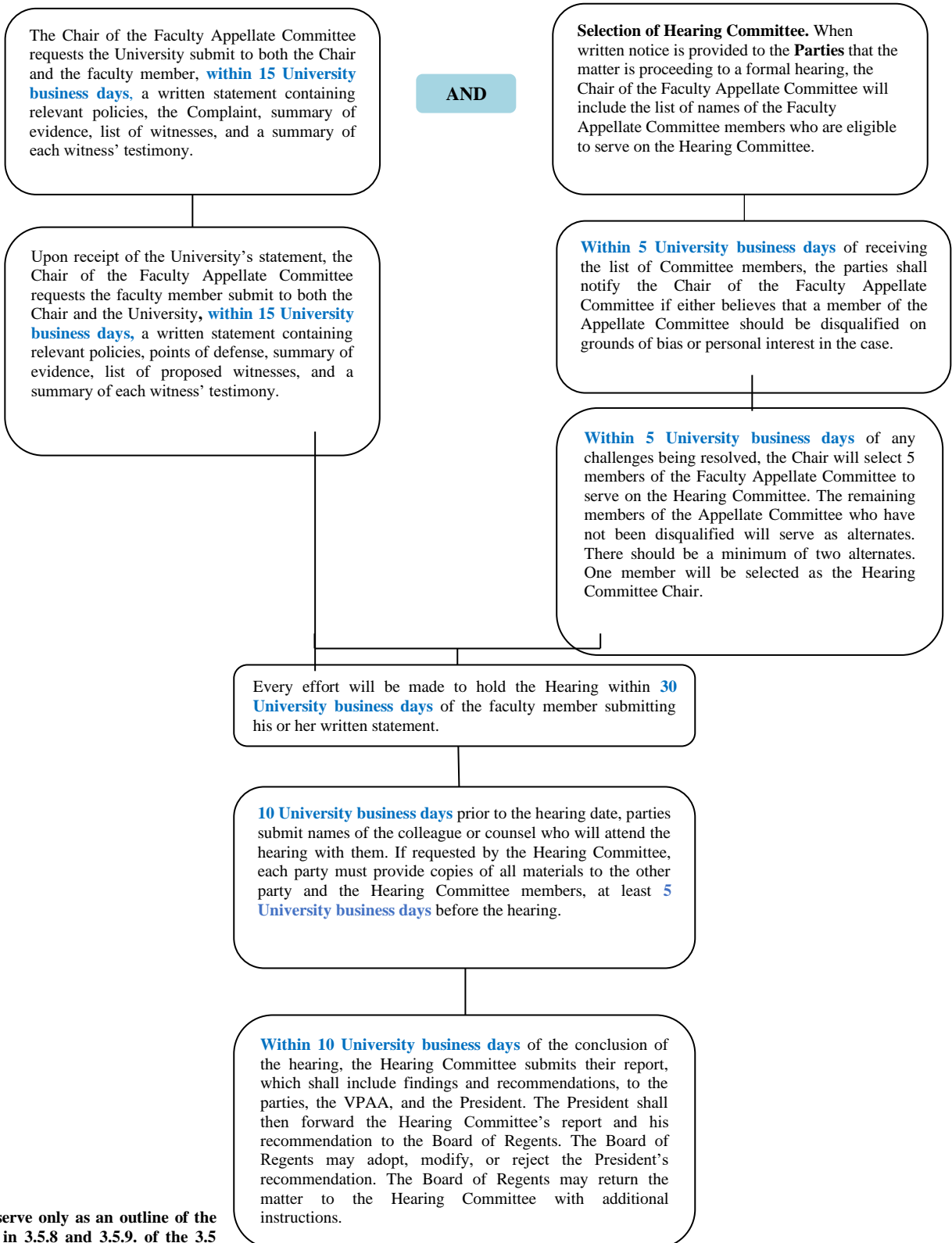


Formal Hearing Procedure (see next page)



*This is intended to serve only as an outline of the procedures detailed in 3.5.5, 3.5.6, and 3.5.7 of the 3.5 abrogation of tenure, termination of employment, and severe sanctions.

**FORMAL HEARING PROCEDURE FOR TERMINATION OF EMPLOYMENT,
ABROGATION, TENURE, AND OTHER SEVERE SANCTIONS (3.5.8 & 3.5.9)**



This is intended to serve only as an outline of the procedures detailed in 3.5.8 and 3.5.9. of the 3.5 abrogation of tenure, termination of employment, and severe sanctions.

ROGERS STATE UNIVERSITY
STATEMENT OF NET POSITION
December 2023 (FY24)
UNAUDITED - MANAGEMENT USE ONLY

Assets	12/31/23	12/31/22
Unrestricted Cash and cash equivalents	\$ 22,749,407	\$ 21,577,537
Restricted Cash and cash equivalents	4,578,570	4,170,016
Accounts receivable - net	1,644,563	1,891,354
Net other post-employment benefit asset	139,229	403,387
Deposits and prepaid expenses	-	-
Capital assets, net	60,878,193	63,918,995
Total Assets	<u>89,989,961</u>	<u>91,961,289</u>
Deffered Outflows of Resources	<u>6,365,180</u>	<u>5,360,561</u>
Liabilities		
Accounts payable and accrued expenses	807,498	1,115,498
Post-employment benefits obligation	-	-
Accrued compensated absences	1,019,683	952,471
Net pension liability	22,895,674	15,084,747
Unearned revenue	1,091	1,913
Bonds payable	1,634,617	1,788,561
Other financial arrangements	33,594,476	36,570,404
Leases payable	719,832	658,865
Deposits held in custody for others	223,725	221,225
Total Liabilities	<u>60,896,598</u>	<u>56,393,684</u>
Deferred Inflows	<u>2,926,543</u>	<u>11,323,911</u>
Net Position		-
Net Position	32,532,001	29,604,256
Total Net Position	<u>\$ 32,532,001</u>	<u>\$ 29,604,256</u>

ROGERS STATE UNIVERSITY
STATEMENT OF REVENUES, EXPENSES AND CHANGES TO NET POSITION
FOR THE SIX MONTHS ENDED DECEMBER 31, 2023 AND 2022
UNAUDITED - MANAGEMENT USE ONLY

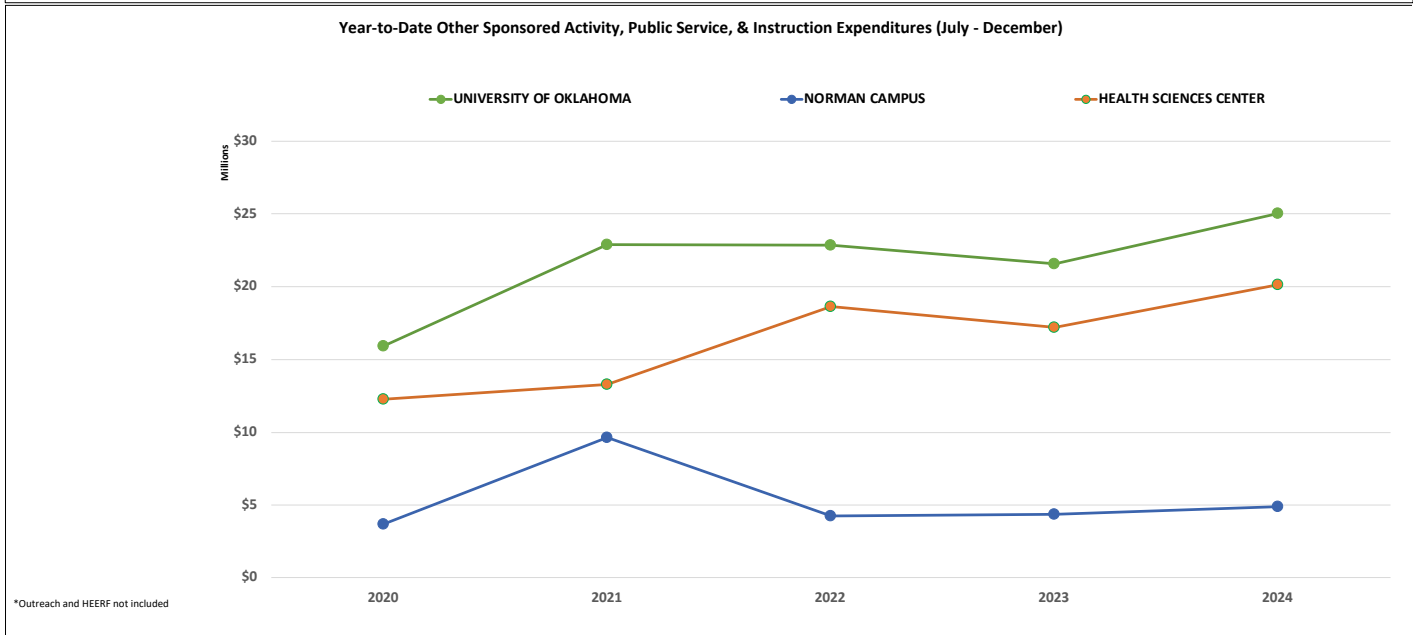
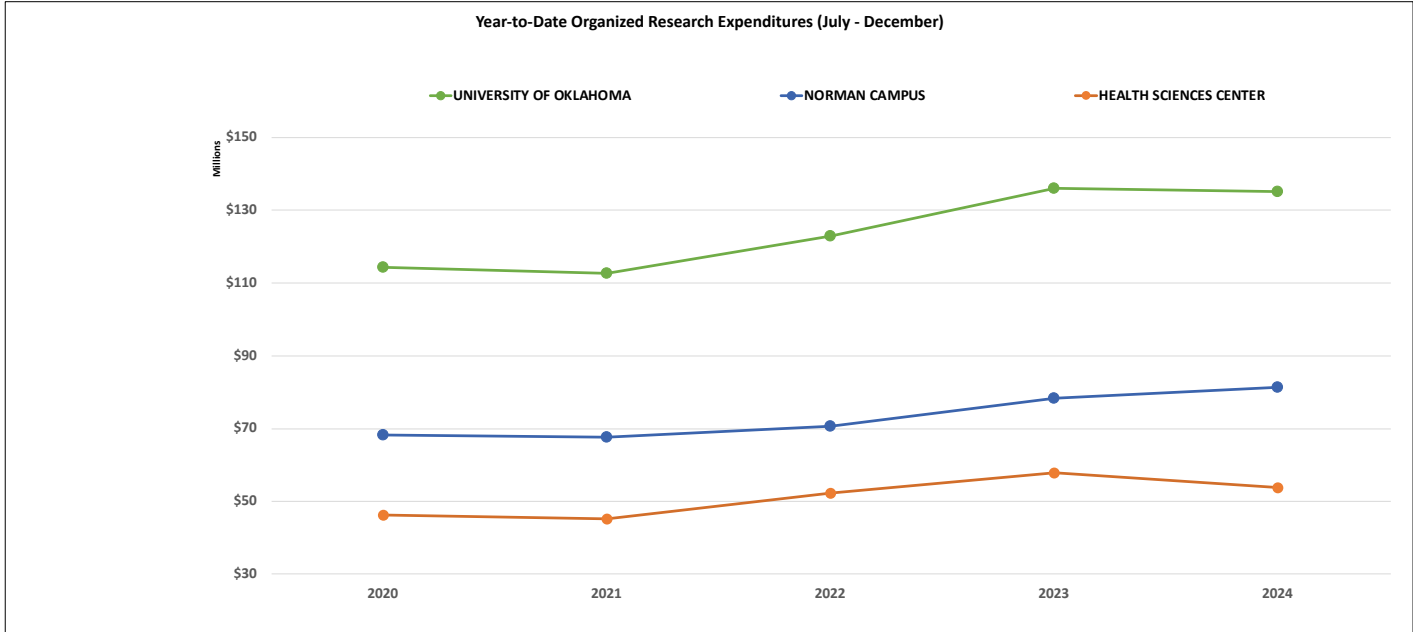
	12/31/2023	12/31/2022
Operating Revenues		
Student tuition and fees	\$ 11,847,112	\$ 11,266,942
Federal grants and contacts	1,644,585	1,412,544
State and private grants and contracts	1,190,545	1,656,922
Auxiliary enterprises	4,185,115	4,013,930
Other operating revenues	125,421	77,494
Total Operating Revenue	18,992,777	18,427,832
Operating Expenses		
Compensation and benefits	11,692,237	10,637,288
Contractual services	1,716,431	1,521,270
Supplies and materials	4,147,542	4,063,410
Depreciation	1,672,824	1,656,415
Utilities	832,908	877,069
Communications	135,179	143,034
Scholarships and fellowships	7,945,502	7,158,114
Other operating expenses	1,666,490	647,436
Total Operating Expenses	29,809,112	26,704,036
Operating Loss	(10,816,335)	(8,276,205)
Nonoperating Revenues (Expenses)		
State appropriations	8,466,058	7,001,524
Federal and State Grants	3,470,143	3,187,675
Endowment and Investment income	137,747	71,228
Interest expense	(538,837)	(577,981)
Net Nonoperating Revenues	11,535,111	9,682,446
Income Before Other Revenues, (Expenses), Gains or (Losses)	718,776	1,406,242
Other Revenues, Expenses, Gains or Losses		
Capital state appropriations	1,450,618	1,457,929
Capital Grants and Gifts	-	-
Total Other Revenue, (Expenses), Gains and (Losses)	1,450,618	1,457,929
Change in Net Position	\$ 2,169,394	\$ 2,864,171

ROGERS STATE UNIVERSITY
STATEMENT OF REVENUES, EXPENSES, AND CHANGES IN NET POSITION
BUDGET TO ACTUAL
FOR THE SIX MONTHS ENDED DECEMBER 31, 2023
UNAUDITED - MANAGEMENT USE ONLY

EXHIBIT E

	FY24 Annual Budget	July-December Actual	% of Budget	Difference Budget to Actual
Operating Revenues				
Student Tuition and fees, net	\$ 23,583,224	\$ 11,847,112	50%	\$ 11,736,113
Federal grants and contacts	4,524,084	1,644,585	36%	\$ 2,879,499
State and private grants and contracts	433,871	1,190,545	274%	\$ (756,674)
Auxiliary enterprises	10,498,398	4,185,115	40%	\$ 6,313,283
Other Revenue/Use of Reserves	2,649,192	125,421	5%	\$ 2,523,771
Total Operating Revenue	41,688,769	18,992,777	46%	22,695,992
Operating Expenses				
Compensation and benefits	27,469,558	11,692,237	43%	15,777,321
Contractual services	3,959,586	1,716,431	43%	2,243,156
Supplies and materials	14,554,498	4,147,542	28%	10,406,956
Utilities	1,936,760	832,908	43%	1,103,852
Communications	306,765	135,179	44%	171,586
Other operating expenses	3,065,089	1,666,490	54%	1,398,599
Depreciation expense	-	1,672,824	0%	(1,672,824)
Scholarships	11,257,146	7,945,502	71%	3,311,644
Total Operating Expenses	62,549,402	29,809,112	48%	32,740,290
Operating Income (Loss)	(20,860,633)	(10,816,335)		(10,044,298)
Nonoperating Revenues (Expenses)				
State appropriations	15,810,826	8,466,058	54%	7,344,768
On-behalf OTRS Contributions	-	-	0%	-
Federal and State Grants	3,290,928	3,470,143	105%	(179,215)
Investment income	99,000	137,747	139%	(38,747)
OSHRE Endowment income	92,478	-	0%	92,478
Interest expense	-	(538,837)	0%	538,837
Net Nonoperating Revenues	19,293,232	11,535,111	60%	7,758,121
Income (Loss) Before Other Revenues, Expenses, Gains or (Losses)	(1,567,401)	718,776		(2,286,177)
Other Revenues, Expenses, Gains or (Losses)				
State appropriations restricted for capital purposes	-	1,000,000	0%	(1,000,000)
Capital Gifts and Grants	30,117	-	0%	30,117
On-behalf state appropriation restricted for debt service	-	450,618	0%	(450,618)
Total Other Revenues, Expenses, Gains or (Losses)	30,117	1,450,618		(1,420,501)
Change in Net Position	\$ (1,537,284)	\$ 2,169,394		\$ (3,706,678)

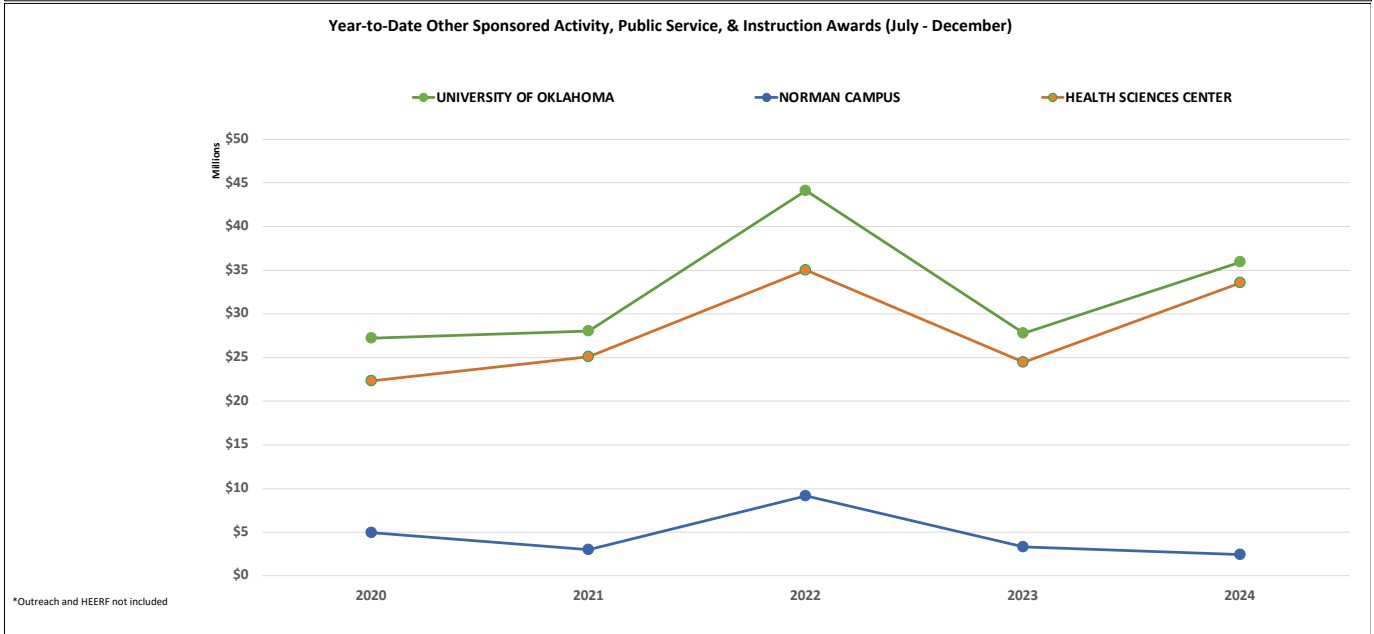
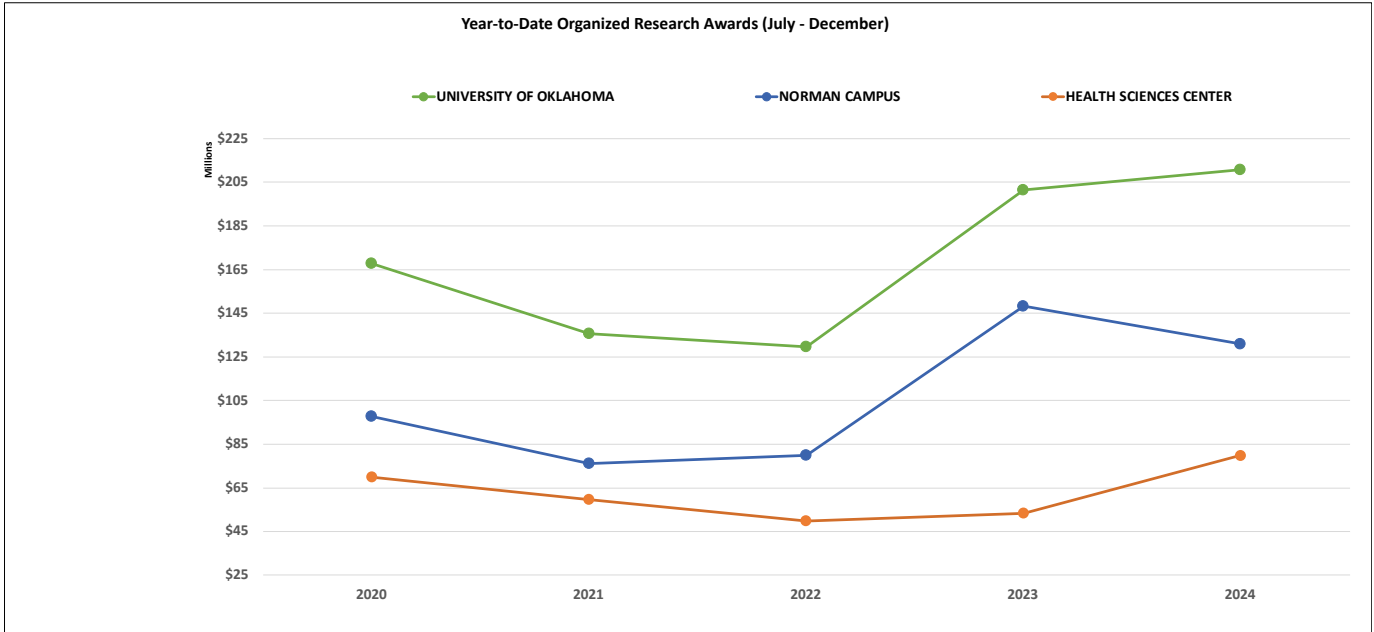
UNIVERSITY OF OKLAHOMA EXPENDITURES



ORGANIZED RESEARCH	July 2023 - December 2023	%CHANGE	July 2022 - December 2022
UNIVERSITY OF OKLAHOMA	\$ 135,069,877	-0.7%	\$ 136,016,490
NORMAN CAMPUS	\$ 81,347,803	4.0%	\$ 78,220,593
HEALTH SCIENCES CENTER	\$ 53,722,074	-7.0%	\$ 57,795,897
OSA, PS, and INSTRUCTION			
	July 2023 - December 2023	%CHANGE	July 2022 - December 2022
UNIVERSITY OF OKLAHOMA	\$ 25,031,404	16.1%	\$ 21,558,603
NORMAN CAMPUS	\$ 4,885,920	11.9%	\$ 4,365,291
HEALTH SCIENCES CENTER	\$ 20,145,484	17.2%	\$ 17,193,312

This data is from February 5, 2024, and may be subject to change.

UNIVERSITY OF OKLAHOMA AWARDS



ORGANIZED RESEARCH	July 2023 - December 2023	%CHANGE	July 2022 - December 2022
UNIVERSITY OF OKLAHOMA	\$ 210,774,008	4.7%	\$ 201,378,001
NORMAN CAMPUS	\$ 130,914,134	-11.6%	\$ 148,114,911
HEALTH SCIENCES CENTER	\$ 79,859,874	49.9%	\$ 53,263,090

OSA, PS, and INSTRUCTION	July 2023 - December 2023	%CHANGE	July 2022 - December 2022
UNIVERSITY OF OKLAHOMA	\$ 36,811,158	36.8%	\$ 26,912,195
NORMAN CAMPUS	\$ 3,272,360	34.8%	\$ 2,427,486
HEALTH SCIENCES CENTER	\$ 33,538,798	37.0%	\$ 24,484,709

This data is from February 5, 2024, and may be subject to change.

NORMAN CAMPUS & HEALTH SCIENCES CENTER
December 2023

AWD #	AGENCY	TITLE	VALUE RECEIVED	TOTAL ANTICIPATED VALUE	TOTAL PERIOD	PI (Dept.)
20008419	U.S. Department of Commerce, Economic Development Administration	Modern Frontier Studio - A Holistic Path to Launch Technology Startups across Central and South-Central Oklahoma	\$1,868,472	\$1,868,472	48 mo.	Thomas Wavering (Entrepreneurship and Econ Dev)
20240102	Substance Abuse & Mental Hlth Svcs Admin	Oklahoma Children's Hospital Crisis Intervention and Saf	\$1,776,627	\$1,776,627	12 mo.	Darrin Randal Akins (Offc Rsrch- VP for Research)
20008049	Technology Service Corporation	Relative Positioning of Autonomous Platforms in a RF Restricted Environment (EMCON & GPS Denied)	\$1,694,500	\$1,694,500	36 mo.	Yan Zhang (Electrical & Computer Engineer)
20042206	Oklahoma Medical Research Foundation	Graduate Research Assistant Scholarship Program	\$1,381,529	\$1,381,529	12 mo.	Anne Pereira (OMRF Contracts)
20240124	AbbVie	A Phase 1 first-in-human study evaluating safety, pharma	\$1,378,141	\$1,378,141	12 mo.	James Battiste (Stephenson Cancer Center)
20180873	National Heart, Lung and Blood Institute	Strong Heart Study - Coordinating Center	\$1,332,779	\$1,332,779	12 mo.	Ying Zhang (Ctr for Am Indian Health Res)
20182223	National Cancer Institute	PREVENT Cancer Preclinical Drug Development Program Pool	\$1,140,397	\$1,140,397	36 mo.	Venkateshwar Rao Chinthalapally (Int Med - Hematology)
20222123	Office of Justice Programs	National Center on the Sexual Behavior of Youth: Trainin	\$1,000,000	\$1,000,000	12 mo.	Jane F. Silovsky (Peds - Dev Behavioral Ped)
8 Total			\$11,572,445	\$11,572,445		

THE UNIVERSITY OF OKLAHOMA

March 2024

SUMMARY OF RESEARCH ACTIVITIES AT OU FOR JULY 2023-DECEMBER 2023

New awards: The total sponsored awards from July 2023 to December 2023 increased by \$9.4M (+4.7%) from the same FY2023 period. On the Norman campus, awards decreased by \$17.2M (-11.6%) from FY2023. Awards on the Health Sciences Center campus increased by \$26.6M (49.9%) from the previous fiscal year.

Expenditures: The total expenditures from July 2023 to December 2023 decreased by \$946K (-0.7%) from the same in FY2023. On the Norman campus, expenditures increased by \$3.1M (+4.0%) primarily due to Health and Human Services (+\$1.8M) and National Science Foundation (+\$1.2M) projects. On the Health Sciences Center campus, expenditures decreased by \$4.1M (-7.0%).

The following are significant grants and activities from January 2024 to - the present, organized into thematic research areas.

Clinical Trials**Cancer**

In December 2023, OUHSC became a clinical trial site for “Open-Label, Multicenter, Phase 1 Study to Assess the Safety of P-CD19CD20-ALLO1 in Subjects with Selected Relapsed/Refractory B cell Malignancies.” Sponsored by Poseida Therapeutics, Inc., this \$827,358 clinical trial is led at OUHSC by Taha Al-Juhaishi, MD, Assistant Professor in the Section of Hematology Oncology, Department of Internal Medicine, College of Medicine. P-CD19CD20-ALLO1 is comprised of allogeneic CAR-T cells that target both CD19 and CD20 and have been genetically modified using an electroporation-based, nonviral (DNA transposon) gene delivery system called the piggyBac® (PB) DNA modification system and the Cas-CLOVER™ gene editing system. The PB DNA modification system efficiently moves DNA from a plasmid to a chromosome via a "cut and paste" mechanism. Compared to lentivirus or gamma retrovirus transduction, PB offers advantages, including a safer insertion profile, higher levels of transgene expression, significantly larger cargo capacity, more stable, longer duration transgene expression, and a preponderance of the highly favorable T stem cell memory (TSCM) phenotype. The Cas-CLOVER™ gene editing system approximates a hybrid between the clustered regularly interspaced short palindromic repeats (CRISPR) and TALEN gene editing methods. Cas-CLOVER™ uses the dCas9 protein to act as a DNA binding protein when combined with an appropriate guide RNA (gRNA) and guides dimerization of the components of a Clo51 endonuclease to specifically cut DNA at that site. Because Cas-CLOVER™ cutting of a gene requires a dimeric binding event that is critically dependent on the specific binding of both a left and a right gRNA pair, there has been little to no off-target activity observed using the Cas-CLOVER™ genome editing system as compared with conventional CRISPR (Tsai, 2014). Additionally, Cas-CLOVER™ can efficiently edit resting T cells, allowing for the maintenance of the TSCM composition in allogeneic CAR-T products. This Phase One trial will examine the safety of seven different escalating doses of P-CD19CD20-ALL01.

THE UNIVERSITY OF OKLAHOMA

March 2024

Sponsored by DEKA Biosciences, the clinical trial “DEKA-1 a dose-finding Phase 1 trial: evaluating safety and biomarkers using DK210 (EGFR) for inoperable locally advanced and/or metastatic EGFR+ tumors with progressive disease failing systemic therapy” is led at OUHSC by Abdul Rafah Naqash, MD, Assistant Professor in the Section of Hematology Oncology, Department of Internal Medicine, College of Medicine. Many patients with lung, skin, and renal cell cancer (RCC) respond to immune checkpoint blockers. Head & neck, bladder and gynecological cancer patients have also shown benefit from these new cancer drugs. However, many patients experience immune-related adverse events and quickly develop resistance. Cytokines, including IL-2 and IL-10, are proteins known to drive specific biological and immunological functions. In this \$510,129 clinical trial beginning in December 2023, the aim is to significantly improve the therapeutic window of IL-2 by coupling wildtype IL-2 to a high affinity variant of Epstein Barr Viral (EBV) IL-10 through a scaffold (scFv) that is designed to target epithelial growth factor receptors (EGFR) creating the patented DK210(EGFR). This novel drug is aimed to have a better tolerated toxicological profile using the antiinflammatory features of IL-10 to reduce the toxic inflammation driven by IL-2. This approach shows promise for sustainable cancer control for a variety of malignancies.

Cardiovascular

At OUHSC, Stavros Stavrakis, MD, PhD, Associate Professor, Section of Cardiovascular Diseases, Department of Internal Medicine, College of Medicine, leads the \$619,611 clinical trial “Assessment of Hemodynamics, Symptomatology, and Biochemical Markers of NPR1 Signaling in Healthy Volunteers and Patients with Postural Orthostatic Tachycardia Syndrome (POTS) and Patients with Neurogenic Orthostatic Hypotension (nOH)” as of December 2023. Sponsored by Regeneron, the primary aim is to assess the magnitude and variability of orthostatic hemodynamic changes in participants with POTS and in participants with nOH in a head up tilt table test (HUT). The researchers also seek to assess the magnitude and variability of orthostatic hemodynamic changes in participants with POTS and in participants with nOH measured with conventional orthostatic assessments; evaluate natriuretic peptide levels and NPR1 signaling in participants with POTS and in participants with nOH; evaluate the concentrations of key hormones involved in intravascular volume and blood pressure regulation in participants with POTS and in participants with nOH; and compare the magnitude and variability of orthostatic hemodynamic changes from conventional orthostatic assessments and HUT in participants with POTS and in participants with nOH.

Other

In January 2024, OUHSC became a clinical trial site for “A Phase III, adjudicator-blinded, randomised study to evaluate the efficacy and safety of treatment with olorofim versus treatment with AmBisome® followed by standard of care in patients with invasive fungal disease caused by Aspergillus species.” Joseph Sassine, MD, Assistant Professor of Medicine, Section of Infectious Disease, Department of Internal Medicine and Associate Director, Infectious Diseases Fellowship Program, College of Medicine leads this \$422,518 trial sponsored by F2G. The mortality rate in immunosuppressed patients with invasive aspergillosis is high even with effective modern antifungal drug treatment. Intrinsic and acquired resistance to azoles and amphotericin B, the two most effective classes of treatment, have been identified in Aspergillus species and are linked to this increased mortality. Currently marketed antifungal drugs have

THE UNIVERSITY OF OKLAHOMA

March 2024

limitations including limited dosage forms, DDIs, and significant adverse reactions. Olorofim is an antifungal candidate with a novel mechanism of action offering activity against resistant organisms, differences in safety profile, along with oral dosing, predictable and reliable pharmacokinetic (profile and limited potential for drug-drug interactions. The purpose of this study is to compare treatment with olorofim versus treatment with AmBisome® followed by standard of care in patients with invasive fungal disease caused by proven invasive aspergillosis or probable lower respiratory tract disease Aspergillus species.

Economic Development

The University of Oklahoma is one of 18 U.S. academic institutions to receive the first-ever Accelerating Research Translation awards from the National Science Foundation. The \$6 million award distributed over four years is intended to enable institutions to accelerate the pace and scale of translational research that will grow the nation's economy. "The Intensifying Translational Research in Oklahoma" (InTRO) project will accelerate the translation of research findings into processes and products for societal benefit. InTRO will also provide workforce development for future engineers and scientists to sustain the accelerated pace of translational impact.

Energy

The University of Oklahoma is among the multi-institutional team led by Lawrence Livermore National Laboratory to accelerate inertial fusion energy science and technology. The initiative, "Inertial Fusion Energy Science and Technology Accelerated Research for Fusion Innovation and Reactor Engineering hub," or IFE STARFIRE, is one of three inertial fusion energy hubs funded by the U.S. Department of Energy. OU is leading the workforce development and inertial fusion energy ecosystem stewardship focus for the IFE STARFIRE hub.

Environment

The Cooperative Institute for Severe and High-Impact Weather Research and Operations (CIWRO) at the University of Oklahoma has received \$1.4 million to conduct research into mitigating the impacts of wildfires across the country. The grant, awarded by the U.S. Department of Commerce and the National Oceanic and Atmospheric Administration (NOAA), is part of a \$34 million national initiative to improve the understanding and modeling of wildfire behavior and integrate that into weather forecasting and wildfire warnings. CIWRO will conduct two major studies as part of the grant: Probabilistic Fire Weather Guidance and Fire Weather Observation Analysis.

Grants**Cancer**

In January 2024, Bethany Hannafon, PhD, Assistant Professor in the Department of Obstetrics and Gynecology, College of Medicine was the recipient of a \$891,174 award from the Ovarian Cancer Research Alliance. Her project, entitled "Development of a novel DCLK1-targeted CAR-T to prevent ovarian cancer metastatic recurrence" seeks to identify a more effective and long-lasting type of immunotherapy for patients with ovarian cancer. Ovarian cancer (OvCa) is characterized by disease recurrences due to the persistence of drug-resistant cancer cells known as cancer stem cells (CSCs). CSCs retain the ability to self-renew, propagate new tumors, and

THE UNIVERSITY OF OKLAHOMA

March 2024

drive resistance to chemotherapy. Doublecortin-like kinase 1 (DCLK1) is a CSC-related protein and a regulator of programs that drive tumor metastasis and drug resistance. In OvCa, DCLK1 is associated with poor survival, is highly expressed in chemo-resistant compared to sensitive cells, and that inhibition of DCLK1 enhances sensitivity to chemotherapy. Chimeric antigen receptor T (CAR-T) is a type of immunotherapy whereby a patient's T cells are engineered to attack specific tumor surface antigens. DCLK1 is expressed at the cell surface and is increased on the surface of ovarian cancer cells, thus providing a novel tumor antigen. In this study, Dr. Hannafon and her team will systematically design, optimize, and investigate a DCLK1-targeted CAR-T therapy. At completion, we will have identified a CAR-T with superior efficacy and persistence for the treatment of metastatic chemo-resistant OvCa that will ultimately provide safe and effective repression of recurrent metastases without the massive comorbidities associated with prolonged traditional chemotherapy, which will fulfill a major unmet medical need.

Cardiovascular

In December 2023, Prabhakara Nagareddy, M.Pharm, PhD, FAHA, Professor of Medicine in the Section of Cardiovascular Diseases, Department of Internal Medicine, College of Medicine transferred his NIH R01 grant entitled "A dialogue between neutrophils and monocytes for effective resolution of inflammation following acute myocardial injury" to OUHSC. This \$1,070,141 two-year grant explores the post-myocardial injury inflammatory response spearheaded by neutrophils, which is essential for removal of cellular debris and tissue repair, but if unregulated, may confer more long-term harm than actual benefit. Most people who experience a heart attack eventually develop heart failure. This is mainly due to an abnormal inflammatory response driven by neutrophils and sub-optimal wound healing. The researchers seek to study the role of neutrophils, the cells that infiltrate the injured heart immediately after heart attack, in wound healing. The outcomes of these studies will yield novel insights into the mechanisms by which neutrophil-derived S100A8/A9 induce proresolving signals, and may also unravel novel targets to suppress inflammation and, thus, reduce heart failure. Shyian Jen, MD, Assistant Professor in the Department of Neurosurgery, College of Medicine was awarded a one-year \$861,190 grant from the U.S. Department of Agriculture for her "Rural Telestroke Initiative: A Project for Improving Access to Stroke Care in Rural Oklahoma" in January 2024. This telestroke program involves virtually connecting stroke specialist in urban centers with medical professionals in resource-poor hospitals with the use of the Teladoc Health Mini device located in end-user hospitals to aid in the rapid identification and triage of stroke patients. Stroke specialists at the hub site can virtually assess patients using these real-time audiovisual technology and image viewing technology, to efficiently identify the patient's condition and recommend the appropriate level of care and treatment. This Rural Development investment will be used to equip multiple end-user sites throughout rural counties in Oklahoma with audiovisual telemedicine equipment. Medical professionals at OU Health in Oklahoma county, Oklahoma will deliver stroke care to benefit our rural communities.

Training

The American Cancer Society awarded a three-year, \$660,000 grant to Rajagopal Ramesh, PhD, Jim and Christy Everest Endowed Chair in Cancer Developmental Therapeutics; Professor of Pathology, College of Medicine; Director, Experimental Therapeutics and Translational Cancer Medicine; Chair, Fellowship Training and Mentoring Program; and Member, OU Cancer

THE UNIVERSITY OF OKLAHOMA

March 2024

Institute in January 2024. Dr. Ramesh's project entitled "ACS-Post-Baccalaureate STRONG Research Program for URM" seeks to 1) recruit four post-baccalaureate students from underrepresented minority groups into the STRONG program; 2) provide these students with the background knowledge and skill sets in laboratory research in order to be competitive applicants to biomedical science doctoral programs; and 3) provide opportunities to the students in order to diversify the cancer research community at OUHSC and beyond. The program will be tailored to help students excel at all components that go into the admission decision, including research experience, laboratory skills, scientific literacy, and presentation skills. Their ultimate goal is to matriculate at least three of four (75%) STRONG student cadre into doctoral programs.

Vascular Disease

In January 2024, the National Institute on Aging, National Institutes of Health awarded a four-year, \$1,916,004 R01 grant to Andrew Gardner, PhD, Professor in the Department of Cardiology, College of Medicine. Dr. Gardner's project entitled "The Effects of Diet and Exercise Interventions in Peripheral Artery Disease" seeks to build on their preliminary work that demonstrates a modified dietary approaches to stop hypertension (modDASH) eating plan combined with a standard exercise program will be a better overall treatment for patients with peripheral artery disease (PAD) to improve walking, local microvascular function, and vascular inflammation. If successful, combining the modDASH eating plan with a home-based exercise program will be a novel and innovative behavioral paradigm to optimally improve peak walking time, HRQoL, local microvascular function and vascular inflammation in PAD patients. These improvements could impact the clinical course of PAD by reducing long-term risks of major adverse cardiovascular and lower extremity events.

Vision

Michelle Callegan, PhD, George Lynn Cross Research Professor in the Department of Microbiology and Immunology, College of Medicine, was awarded a two-year, \$398,750 R21 grant entitled "Targeting Innate Inflammation Pathways to Treat Ocular Infections" from the National Eye Institute, National Institutes of Health, in December 2023. Endophthalmitis causes a significant number of cases of blindness worldwide. Efforts to prevent damage to delicate ocular tissues during infection rely on swift and proper use of therapeutics to rapidly kill organisms and arrest potentially damaging inflammation. Currently-used antibiotics can kill organisms, but the effectiveness of anti-inflammatory drugs is controversial. Because the intraocular inflammatory response during endophthalmitis can damage sensitive and nonregenerative retinal tissue, identifying more effective antiinflammatory drugs which counteract or arrest these effects is critically needed. The researchers will test the utility of blocking key innate immune pathways to eliminate damaging inflammation during intraocular bacterial infections. This work will contribute impactful information to improve therapeutic options for preserving vision during ocular infections.

Recognitions

Three researchers at the University of Oklahoma are named in Clarivate's Web of Science platform's 2023 "Highly Cited Researchers" list, the most of any institution in Oklahoma. Yuanwei Qin and Xiangming Xiao, researchers with OU's Center for Earth Observation and Modeling, ranked among the top 1% most highly cited in the field of geosciences. Jizhong Zhou,

THE UNIVERSITY OF OKLAHOMA

March 2024

director of OU's Institute for Environmental Genomics, is ranked twice as being among the most highly cited in both fields of microbiology and environment and ecology.

The University of Oklahoma climbed one spot, from No. 72 to No. 71, in the nation for overall research expenditures, according to the recently published Higher Education Research and Development survey from the National Science Foundation. OU remains No. 1 in the country for the fourth year in a row for atmospheric science and meteorology and among the top 8% of research universities in the nation for the second year.



POLICY AND PROCEDURE MANUAL

The UNIVERSITY of OKLAHOMA

Board of Regents Policy 5.1.2.1 Faculty Appointments Formerly Policy: 2.2.1 BOR, 3.5.2 FHPN

- I. Purpose:
The University of Oklahoma (OU) Faculty Appointments Policy sets forth the procedures affecting appointments of the instructional faculty OU.
- II. Definitions
 - A. Regular faculty appointment:
Refers to those appointments that are tenure-track appointments, tenured appointments, or renewable term appointments at the academic ranks of assistant professor, associate professor, or professor.
 - B. Tenure-track appointment:
Have a specified beginning date and terminate at a specified date
 - C. Tenured appointment:
Have a beginning with and following the granting of tenure
 - D. Renewable term appointment:
Renewable annually for a fixed term
- III. Scope:
The policy applies to all OU faculty candidates, new faculty hires, and academic departments hiring faculty members.
- IV. Responsible Office:
The Office of the Senior Vice President and Provost at each respective campus is responsible for administering this policy and ensuring compliance.
- V. Policy Statement:
It is the policy of OU that the appointment of new faculty is initiated by the academic unit through the respective dean to the Senior Vice President and Provost at the respective campus, President, and in accordance with the prevailing policies of the Board of Regents. OU follows applicable law regarding equal opportunity.

Policy Level: 3
Approval Authority: Board of Regents
Date of Approval:
Subject Matter: Faculty Appointments
Date of Last Review:
Date of Next Review:
Signature:

VI. Procedures:

A. Norman Campus

1. Appointment of New Faculty

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

ii. Formal Offer:

The formal offer of appointment must come from the Senior Vice President and Provost or the President and shall include supplemental information necessary to access an online copy of the Norman Campus Faculty Handbook, the Human Resources website regarding employee benefits, and the website for information regarding various compliance and intellectual property policies. For those whose full-time equivalent salary is \$150,000 or more, the offer will include the statement that the appointment is contingent upon the approval of the Board of Regents.

iii. Contract:

For those appointments that require the Board of Regents' approval, if the appointment is approved by the Board of Regents, a Contract of Employment will be furnished to the applicant for signature if the formal offer is accepted. Included in this contract will be the approved rank and salary and a statement indicating that the applicant has read the faculty handbook along with the necessary additions to reflect policies current at the time of appointment and accepts the appointment in accordance with University policies, with the understanding that policies of the University are subject to change by the Board of Regents.

(Regents, 9-18-09, 9-11-19, 01-20-23)

2. Appointment Period:

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

(Regents, 3-8-84)

- ii. Some faculty members on the Norman Campus who have administrative responsibilities are appointed on a 12-month basis, for the period July 1 through June 30.
- iii. Summer term appointments for both campuses for the regular eight-week period are effective June 1 through July 31. Again, the appointment period does not coincide exactly with the instructional period.

3. Tenure-Track, Tenured, Renewable Term, and Temporary Appointments:

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

(Regents, 2-12-76, 12-13-84, 1-27-2004)

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

(Regents, 3-9-78, 1-28-2021)

- iii. Renewable term faculty with the rank of assistant professor, associate professor, or professor are regular faculty but are not tenure-track or tenured. Any academic unit may request such faculty appointments if the unit has dean and Senior Vice President and Provost approved requirements for the evaluation and promotion of these faculty. Ranked (assistant, associate, professor) renewable term faculty participate fully in all aspects of faculty governance except deliberations regarding tenure.
 - iv. At no time may the number of ranked (assistant, associate, professor) renewable term faculty exceed twenty percent of the number of regular faculty on the Norman Campus.
4. Split Appointments
- i. Appointments between two or more academic units or colleges are possible when they benefit the OU, provided they:
 - a. do not total more than 1.0 Full-Time Equivalent (FTE)
 - b. are approved by all the units and colleges involved.
 - c. Such appointments must have the approval of the appropriate administrative officials of all units involved.
 1. Before a faculty member first receives a split appointment, the appropriate academic units must first mutually determine, record in writing, and secure administrative approval for all conditions of the appointment pertaining to such matters as probationary period, criteria for tenure and promotion, and procedures for recommending salary increases and reappointment or non-reappointment. The appointee shall receive a copy of this agreement.
 2. In the case of faculty members holding a split appointment, it is expected that the chair/directors and Committee A from both units shall collaborate on one annual evaluation, one progress-towards-tenure letter, and one record for any other form of review and evaluation. In the case wherein there is disagreement between the academic units as to the appropriate evaluation, the next higher academic administrator shall resolve the conflict. For split appointments wherein both academic units are within the same college, this person shall be the academic dean of the college; for split appointments across two colleges or provost-direct academic units, this person shall be the Senior Vice President and Provost.
5. Part-Time Faculty Appointments
- A part-time appointment is one at less than 1.0 (FTE). At the time of any part-time faculty appointment, the appointee and the University must reach a clear understanding of the terms of the appointment. This understanding shall be in writing and signed by the parties, and the appointee shall be given a copy.

A non-regular appointee is not entitled to achievement of academic tenure within the department in which the appointee holds such appointment. The term of appointment shall be temporary.

(Regents 12-6-60, 1-26-99, 3-29-00, 12-3-2002, 1-27-2004, 6-23-04, 9-17/18-09, 9-11, 19, 1-28-21)

B. Health Sciences Center

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. Faculty appointments may be tenure-track, tenured, consecutive term, limited term, temporary, or volunteer. The type of appointment will be determined by the primary academic unit in consultation with the appointee and with the approval of the dean, the Senior Vice President and Provost, and if required, the President and the Board of Regents. For purposes of this policy, full-time FTE equivalent shall include those faculty whose combined OUHSC and approved external entity appointments total 1.0, as well as those faculty who hold a 1.0 FTE at OU Health (OUH)/OU Health Partners, Inc., (OUHPI) with an academic appointment at OUHSC but without an assigned FTE or remuneration. Dually-appointed faculty hired on or after January 1, 2023, may hold a consecutive term, tenure track, or limited term appointment, at the discretion of the department and college and subject to the proscribed appointment approval processes.

When service to OU is used as a basis for full-time academic appointment, teaching, research, professional/clinical services, 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, and the Senior Vice President and Provost.

Faculty who devote less than their full-time professional effort to direct OU activities as defined above shall be eligible for a limited-term faculty appointment with a modified academic title (visiting, adjunct, clinical, etc.).

Volunteer faculty appointments have a modified academic title and are without remuneration (see OUHSC Faculty Handbook Section 3.1.4).

(RM, 1-26-99, p. 26204; 12-3-02, p. 28355; 6-23-04, p. 29151)

1. Appointment of New Faculty

In the appointment of new regular or limited term faculty, action is initiated by the primary academic unit through the respective dean to the Senior Vice President and Provost, and where required, the President, in accordance with the prevailing policies of the Board of Regents.

i. Official Offer of Faculty Appointment:

After a Proposed Terms of Faculty Appointment (PTFA) has been accepted by the new faculty member (see, OUHSC Faculty Handbook section 3.2.1 (a)), an Official Offer of Faculty Appointment (OFA) can be extended. The OFA for regular faculty must come from the Senior Vice President and Provost or the President and will include, when applicable, the statement that the appointment is contingent upon the approval of the Board of Regents. The OFA for limited term appointments must come from the Dean. The OFA will specify academic rank, appointment type (tenure-track, consecutive term, limited term, or temporary), the beginning date of employment, base salary/clinical plan, full-time equivalent, the length of the pre-tenure period if tenure-track, and any special conditions pertaining to the appointment, including reference to dual employment/appointments and administrative roles and supplements. Enclosed with the formal offer will also be

information to access an online copy of the Faculty Handbook and contact information for faculty benefits. If the appointment is contingent upon the approval of the Board of Regents, the faculty member will be notified when such approval is in place.

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.

ii. Compensation

OU recognizes that the professional effort of the faculty member may result in compensation in addition to the OU base salary or compensation provided by OU. The conditions of such compensation are set out in each college's Professional Practice Plan, Compensation Plan, and/or Faculty Compensation Plan.

(RM, 7-15-96, p. 25019; 12-3-02, p. 28355; 1-27-04, p. 28924)

2. Appointment Period

Most faculty appointments at the Health Sciences Center are 12-month appointments for the academic year, July 1 through June 30. However, the instructional periods may not correspond precisely to the faculty appointment dates. Some faculty members are appointed on a 9- or 10-month basis. The initial appointment period and the date to start work will be stated in the official offer.

(RM, 7-15-96, p. 25019; 1-27-04, p. 28924)

3. Regular Faculty

i. A subset of the General Faculty is Regular Faculty. The Regular Faculty is composed of all full-time faculty with unmodified academic titles (assistant professor, associate professor, and professor) and shall be limited to those who hold tenured, tenure track, or consecutive term appointments who devote their full-time professional effort to University activities, including through dual employment/appointment at approved external entities. Regular Faculty may be paid all or in part by OU Health (OUH)/OU Health Partners, Inc. (OUHPI) (see OUHSC Faculty Handbook Section 3.1.3).

a. Tenured appointments are automatically renewed.

b. Tenure track appointments are automatically renewed for the next fiscal year unless notification of non-renewal or termination is given in accordance with Section 3.2.3.

c. Consecutive term appointments are not tenure-track. Consecutive term appointments are automatically renewed for the next fiscal year unless notification of non-renewal or termination is given in accordance with OUHSC Faculty Handbook Section 3.2.3.

4. Limited Term Faculty

i. Another subset of the General Faculty is Limited Term Faculty. Limited Term Faculty may be full-time or part-time and shall have academic titles such as instructor or lecturer, or titles modified by prefixes such as visiting, adjunct, instructional, or clinical. Limited term Faculty may be paid all or in part by OU Health (OUH)/OU Health Partners, Inc. (OUHPI)(see, OUHSC Faculty Handbook Section 3.1.3).

ii. Limited term appointments are not Regular Faculty appointments. Changes in Limited Term appointments can be requested in accordance with OUHSC Faculty Handbook Section 3.2.2.

- iii. Individuals serving in limited term appointments serve at the discretion of the chair with concurrence by the dean. Limited term appointments can be terminated with no less than 60 days written notice (see OUHSC Faculty Handbook Section 3.1.2.)

(RM, 7-15-96, p. 25019; 1-26-99, p. 26204; 12-3-02, p. 28355)

5. Dually-Employed/Appointed Faculty

- i. Dually-employed/appointed faculty are in paid or unpaid regular or limited term faculty appointments as defined in OUHSC Faculty Handbook Section 3.1.3. Unless specified otherwise in the Proposed Terms of Faculty Appointment or Official Offer of Faculty Appointment Letter from the University, as many of the academic duties of dually-employed/appointed faculty occur in the hospital or clinical setting, dually-employed/appointed faculty members are required to maintain an employment relationship with the approved external entity, as a condition of their continued University appointment. (see OUHSC Faculty Handbook Section 3.1.3.)

6. Primary, Joint and Secondary Appointments & Center Memberships

i. Primary Appointments:

A faculty member must have a primary appointment in an academic unit of a college, usually called a department. A primary appointment must be in an academic unit only, not in a Center or Institute or similar entity. For new primary appointments, the terms of the appointment must be included in a Proposed Terms of Faculty Appointment letter. For a modification of a current primary faculty appointment, the terms must be included in a Faculty Appointment Change Memo (see OUHSC Faculty Handbook Sections 3.2.1 and 3.2.2).

ii. Joint appointments:

Joint appointments in two or more academic units or colleges (joint appointments) are permissible. Joint appointments must be in academic units only, not in a Center or Institute or similar entity. Joint appointments consist of a primary appointment in two academic units or colleges and cannot total more than 1.0 Full-Time Equivalent (FTE). A joint appointment may be offered to a new or current faculty member who will participate on an ongoing basis in both academic units' activities at a level significant enough to justify compensation and satisfy the Promotion and Tenure requirements of both academic units. The faculty member is appointed with the same title in each academic unit. A faculty member holding a joint appointment is expected to perform the same general responsibilities as the other faculty in each academic unit. Joint appointments must be approved by both academic units and colleges involved, the Senior Vice President and Provost, and where required the President, and the Board of Regents consistent with the criteria below.

Before a faculty member receives a joint appointment, the appropriate academic units must mutually determine, record in writing, and secure administrative approval for the length of the pre-tenure period, and criteria for tenure, promotion, and reappointment or non-reappointment. For new joint appointment, the terms of the appointment must be included in a Proposed Terms of Faculty Appointment letter. For a modification of a current joint faculty appointment, the terms must be included in a Faculty Appointment Change Memo (see OUHSC Faculty Handbook Sections 3.2.1 and 3.2.2).

(RM, 7-15-96, p. 25019; 12-3-02, p. 28355)

iii. 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 subject to approval of the chair of the primary department and the chair(s) of the other academic unit(s). A secondary appointment is recommended for a faculty member who holds a primary appointment in one Academic Unit and who participates in the activities of another academic unit, but at a level that is not equivalent to faculty holding primary appointments of that academic unit. The secondary appointment gives the faculty member recognition for work performed in the secondary academic unit but does not but does not include faculty privileges provided to faculty with a primary appointment in the academic unit. Multiple secondary appointments are permitted, as determine appropriate by each Dean. Secondary appointments are modified by prefixes such as adjunct or clinical.

(RM, 12-3-02, p. 28355)

iv. Center Memberships

Faculty must have a primary appointment in an academic unit to hold a membership in a Center of Excellence. Memberships to Centers require approve of the primary academic unit but are not academic appointment. For Center membership criteria, contact the center director.

7. Part-Time Appointments:

A part-time appointment is one at less than 1.0 Full-Time Equivalent (FTE), (including dual employment/appointment with a combined FTE of less than 1.0), and has a modified title. It is considered limited (see 3.1.2) In advance of offering any part-time appointment, the academic unit and the faculty member must reach a clear understanding of the terms of the part-time appointment. This understanding shall be in writing and the faculty member shall be given a copy. For new part-time faculty appointments, the terms of the appointment must be included in a Proposed Terms of Faculty Appointment letter. For a modification of a current faculty appointment, the terms must be included in a Faculty Appointment Change Memo (see OUHSC Faculty Handbook Section 3.2.1 and 3.2.2).

(RM, 7-15-96, p. 25019; 12-3-02, p. 28355)



POLICY AND PROCEDURE MANUAL

The UNIVERSITY of OKLAHOMA

Board of Regents Policy 5.1.4.2 Minor and Severe Sanctions Policy Replacing Regents Policy 2.3.5

The University strives to exercise great care in selecting its faculty appointees and in conferring tenure upon only those faculty members who have demonstrated their merit for continuous appointment. For that reason, the imposition of severe sanctions, such as abrogation of tenure or termination of a non-tenured faculty member outside of the nonrenewal process, should be an exceptional event. Although such measures may be required infrequently, the purpose of this policy is to establish a pre-disciplinary review procedure for minor and severe sanctions that preserves both the integrity of the University and the rights of faculty members; and to establish procedural safeguards for faculty members against whom minor sanctions may be imposed.

For all grievances, appeals, and sanctions related to any form of discrimination or harassment prohibited by the University's Non-Discrimination Policy, the Sexual Misconduct, Discrimination, and Harassment Policy, or the Consensual Sexual Relationships Policy, please see those policies and their associated grievance procedures.

The full policy and associated procedures for each campus may be found in the respective Faculty Handbooks and are incorporated here by reference. It is the policy of the University that all employees within the scope of this policy have procedural rights prior to the imposition of severe sanctions or termination of employment as outlined in the associated procedures. It is the policy of the University that any changes to the policy and procedures must be approved by the Board of Regents for the University of Oklahoma.



University of Oklahoma
Norman Campus
Faculty Handbook 3.9: The Faculty Appeals Board

I. Purpose:

This policy sets forth the composition of the **Faculty Appeals Board**; establishes its authority and jurisdiction over certain faculty **appeals, grievances, and complaints**; and establishes procedural **regulations for the conduct of hearings**.

II. Definitions:

A. The **Faculty Appeals Board** is a standing body appointed by the Faculty Senate that responds to requests for a hearing with regard to alleged violations of academic freedom or academic due process, other appealable grievances concerning the alleged failure to follow University policy, or alleged unfairness in the application of University policy unresolved through administrative procedures, tenure abrogation, termination of employment actions (under enumerated circumstances), and severe sanctions.

B. **Eligible appeals, grievances or complaints** are those requests for hearing that are made timely and are within the scope of authority of the **Faculty Appeals Board**. For the purposes of this policy, the terms **appeal, grievance, and complaint** may be used interchangeably.

C. The **Complainant** is the faculty member requesting a hearing before the **Faculty Appeals Board**.

D. The **Respondent** is the person or person(s) **Complainant** alleges to be responsible for the decision and/or conduct.

E. The **Respondent** and the **Complainant** are the **Parties**.

F. **Days** shall mean University business days, unless otherwise specified.

III. Scope:

This policy affects all faculty members, both tenured and non-tenured, and administrators.

In accordance with federal and state law, grievances involving matters that are or should be handled through the Institutional Equity Office and/or under the Nondiscrimination Policy, the Sexual Misconduct, Discrimination, and Harassment Policy, or the Consensual Sexual Relations Policy are governed by the IEO policies and procedures, currently found at <http://www.ou.edu/eoo.html>, which may provide for specific ad hoc hearing committees with specialized training other than the Faculty Appeals Board.

IV. Responsible Office:

The Office of the Provost is responsible for updating and maintaining this policy, as well as enforcement of the policy herein.



V. Policy Statement:

It is the policy of the University that faculty academic freedom and due process are core institutional values, to be safeguarded by a duly authorized **Faculty Appeals Board**. It is the policy of the University that any changes to the attached Procedures must be approved by the Board of Regents for the University of Oklahoma.

Policy Level: 2

Approval Authority: Board of Regents

Date of Approval:

Subject Matter: Faculty Appeals Board

Date of Last Review:

Date of Next Review:

Signature:



VI. Procedures for Grievance Hearings before the Faculty Appeals Board:

A. Purpose and Authority of the Faculty Appeals Board

The **Faculty Appeals Board** provides an important safeguard for faculty academic freedom and academic due process. It is the responsibility of the **Faculty Appeals Board** Chair, with support from the Office of the Senior Vice President and Provost, to ensure that all matters are handled in a timely manner.

The **Faculty Appeals Board** shall consider **eligible appeals, grievances, and complaints** based upon alleged violations of academic freedom or academic due process; the alleged failure to follow University policy; or alleged unfairness in the application of University policy unresolved through the administrative process. Policy and procedures for matters related to abrogation of tenure, termination of employment actions, and minor and severe sanctions are set forth in the Minor and Severe Sanctions Policy. A faculty member may seek redress through the **Faculty Appeals Board** if such alleged 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 violation of due process or academic freedom or if there are other appealable grievances that have not been resolved administratively.

The University's Non-Discrimination Policy, the Sexual Misconduct, Discrimination, and Harassment Policy, and the Consensual Sexual Relationships Policy set forth the policies and procedures for all grievances, **appeals, and sanctions** related to any form of discrimination or harassment prohibited by University policy. Those matters are not within the jurisdiction of the Faculty Appeals Board unless jurisdiction is granted pursuant to those policies.

Faculty members serving as section chiefs, chairs, directors, deans, or in other administrative positions who are relieved of their administrative responsibilities may not **appeal** their removal from their administrative positions. Dual employees/appointees who are removed from their University appointments due to no longer being employed and/or holding an appointment at an approved external entity may not **appeal** the removal of their University employment/appointment. Renewable Term faculty may **appeal** non-reappointment only for lack of notice as required by Section 3.5.5 and 3.5.6 of the Norman Campus Faculty Handbook.

B. Composition of the Faculty Appeals Board

1. Membership



The **Faculty Appeals Board** shall be comprised of tenured faculty members representing all Norman Campus colleges. The **Faculty Appeals Board** membership shall consist of at least forty (40) members, plus ten (10) or more alternate members. The members and alternates shall be elected from among all full-time faculty whose duties are primarily non-administrative (i.e., not at the level of Department Chair, Assistant/Associate Dean, Dean, Assistant/Associate/Vice Provost, or Senior Vice President and Provost). An alternate member will be called to serve only if a regular member is prevented from serving. All terms shall be four years.

If at any given time, the **Faculty Appeals Board** membership drops below forty (40) members, additional members may be elected or appointed as outlined below. However, vacancies shall not delay **Faculty Appeals Board** proceedings as long as the **Faculty Appeals Board** has at least thirty (30) active members.

Members on the Board who have an **appeal** pending before the Board shall be suspended from all Board activities until the **appeal** is resolved.

2. Officers

The **Faculty Appeals Board** shall have a Chair and Vice Chair appointed by the Faculty Senate. The Chair and vice Chair must be from separate colleges. All responsibilities of the Chair will be relinquished and passed to the vice Chair if the **appeal** at issue is from a faculty member in the same college as the Chair or if another conflict exists in the judgement of the Chair of the Faculty Senate. In addition, should the Chair of the **Faculty Appeals Board** be unable to fulfill their responsibilities in a timely manner, the Chair of the Faculty Senate may request the Chair delegate some or all of the duties for a particular matter to the Vice Chair. If available, the Chair or Vice Chair may delegate scheduling and logistical duties to the Administrative Manager of the Faculty Senate. Additionally, the **Faculty Appeals Board** may consult with a member of the Office of Legal Counsel for advice on relevant policies and procedures.

3. Terms

All members of the **Faculty Appeals Board** are eligible for re-election. Terms of service shall begin September 1 and end August 31 except that if a matter is in progress at this time, any retiring member of the Board who is on a Hearing Committee for a pending matter shall be continued on the Committee until the case in progress is closed.

If a member of the **Faculty Appeals Board**, not serving on a Hearing Committee, ceases to be a full-time member of the faculty or if the member's duties become primarily administrative, the Senate shall elect a replacement to complete the term.



C. Initiation of Appeal or Request for a Faculty Appeals Board Hearing

1. Deadlines for Filing a Complaint

A **Complainant** must request a hearing or initiate an **appeal** within twenty (20) **days** after the **Complainant** became aware of, or should have become aware of, the alleged violation. Nine-month faculty who do not have a University appointment during the summer may toll the time for filing a grievance or responding to a grievance, from the last classroom day of the spring semester until the first classroom day of the fall semester by providing written notice to the **Faculty Appeals Board Chair**.

A potential **Complainant** must first seek prompt redress through regular administrative channels, which may include the Chair, dean, and/or Senior Vice President and Provost. Faculty members are encouraged to seek the assistance of the University Ombudsperson. If a faculty member is engaged in active dispute resolution assisted by the University Ombudsperson or is awaiting a response through regular administrative channels, the faculty member may request the **Faculty Appeals Board Chair** extend the deadline for filing an appeal not to exceed an additional twenty (20) **days**.

If the administrative review or the assistance of the University Ombudsperson does not provide a satisfactory result or is not concluded within twenty (20) **days**, the faculty member, as the **Complainant**, may submit a written statement to the Chair of the **Faculty Appeals Board** outlining the specific points of **appeal** and requesting a formal hearing.

2. **Faculty Appeals Board Chair Initial Evaluation**

The **Faculty Appeals Board Chair**, with the concurrence of the Vice Chair, has the responsibility to determine if a written request for a hearing is a timely **eligible appeal, grievance, or complaint** within the **Faculty Appeals Board's** review authority. If the request is timely and appealable, the process will continue. If the request is not timely and/or appealable, the Chair shall notify both **Parties** and the process will end. In cases where the Chair is unable to determine from the Request for Hearing whether the matter falls within the **Faculty Appeal Board's** review authority, the Chair may contact the appropriate party to clarify the request or cure any deficiencies in the request, if appropriate. The decision of the Chair and Vice Chair decision is final. Should the Chair and Vice-Chair disagree, the Faculty Senate Chair shall select a third member of the Faculty Appeals Board to review the request and break the tie.

3. Pre-hearing Meeting

Within ten (10) **days** of receipt of an **eligible appeal**, the **Faculty Appeals Board Chair** shall appoint a pre-hearing panel and hold a pre-hearing meeting with the **Complainant** and



Respondent, who shall appear and relate their views of the matter. The **Faculty Appeals Board** Chair will chair the pre-hearing meeting. The purpose of the pre-hearing meeting is to determine whether an **eligible appeal** should proceed to a formal hearing. Ineligible appeals not previously dismissed by the Chair, or **appeals** that are frivolous or duplicative should be dismissed. Otherwise, the process will continue.

At the pre-hearing meeting, no documents or physical evidence should be introduced, and no witnesses shall be called, but the **Parties** must appear and relate their views of the matter. A party who fails to appear and/or participate in the pre-hearing meeting is deemed to have waived future rights to participate in formal proceedings. As soon as reasonably practicable, but not more than five (5) **days** after the pre-hearing meeting, the pre-hearing panel shall determine by majority vote whether the **appeal** should proceed or be dismissed and notify the **Parties** in writing.

The Chair shall have discretion to modify the procedures of the pre-hearing meeting as necessary to provide a fair and efficient process for all **Parties** and the **Faculty Appeals Board** members.

D. Formal Faculty Appeals Board Hearing Procedure

All matters proceeding to a formal hearing before a **Faculty Appeals Board** Hearing Committee shall be handled according to the following procedures. The **Faculty Appeals Board** process is a lay process that relies on peer review and the common sense, sound judgment, good character, and sense of fairness of each Hearing Committee member. 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. From time to time, compliance with applicable state and/or federal law(s) may require modification of the **Faculty Appeals Board** process, which includes modification of the related hearing procedures. In addition, as this is not a formal legal process, deviations from these procedures may occur from time to time; minor procedural errors, standing alone, shall not invalidate a Hearing Committee's decision. A faculty member may withdraw a complaint at any time. If a Complainant fails to appear and/or declines to participate, the matter will be considered closed, and the process will cease. Further, a Respondent who fails to appear and/or declines to participate in the hearing process is deemed to have waived future rights to participate. In either case, the Chair of the **Faculty Appeals Board** will make a good faith attempt to contact and engage the parties.

The time intervals specified in the preceding and following sections 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.



POLICY AND PROCEDURE MANUAL

The UNIVERSITY of OKLAHOMA

1. Submission of Complaint and Response

If the pre-hearing panel votes to forward an **appeal** for formal hearing, the Chair of the **Faculty Appeals Board** will request the **Complainant** submit the following materials to both the Chair and the **Respondent** within fifteen (15) **days**:

- i) Relevant policies of the administrative or academic unit, the College, the Senior Vice President and Provost's Office, the President's Office, and the Board of Regents.
- ii) A written statement ("Complaint") stating in full the grounds upon which the alleged grievance is based.
- iii) A list of the evidence upon which the Complaint is based.
- iv) A list of witnesses proposed to be called and a brief summary of the testimony of each proposed witness.

The Chair of the **Faculty Appeals Board** will, upon receipt of the Complaint, request the **Respondent** submit the following materials to both the Chair and the **Complainant** within fifteen (15) **days**:

- i) Relevant policies of the administrative or academic unit, the College, the Senior Vice President and Provost's Office, the President's Office, and the Board of Regents.
- ii) A written statement ("Response") outlining the specific points of defense.
- iii) A summary of the evidence to be used in refuting the charges.
- iv) A list of proposed witnesses to be called and a brief summary of the testimony of each proposed witness.

2. Selection of Hearing Committee:

- i) Distribution of List of Eligible Members and Review for Bias

When providing written notice to the **Parties** that a matter is proceeding to a formal hearing, the Chair of the **Faculty Appeals Board** will include the list of names of the **Faculty Appeals Board** members who are eligible to serve on the Hearing Committee. The list shall not include a member or alternate of the same academic unit or one who is related to the **Respondent** or **Complainant**. Members and alternates currently serving on another Hearing Committee shall also be ineligible. The Chair of the **Faculty Appeals Board** may, in the Chair's discretion, also exclude a member in the event of a known conflict of interest related to the person(s) or issue at hand.

- ii) Selection and Disqualification

Within five (5) **days** after submitting the list of eligible Board members to both **Parties**, the Chair of the **Faculty Appeals Board** will select five (5) members of the Board to constitute



the Hearing Committee and three (3) additional members to serve as alternates.

The selection of members and alternate members of the Hearing Committee shall be made by lot and shall be made in the presence of an officer of the Faculty Senate. The parties shall be invited to be present or to send a representative. The Chair of the **Faculty Appeals Board** shall notify both **Parties** of the Hearing Committee membership. The Chair shall also notify members in writing of their selection to the Hearing Committee and of the **Parties** involved and provide a brief description of the general nature of the issue. Members who cannot serve objectively must notify the Chair within five (5) **days**.

Within five (5) **days** of notice of the initial selection of the Hearing Committee, the **Complainant** or the **Respondent** may submit a written request to the Chair of the **Faculty Appeals Board** and to the other party asking that members or alternates of the Hearing Committee be disqualified on grounds of bias or personal interest in the case. If, however, a challenge for cause is disputed by either of the **Parties**, the **Faculty Appeals Board** Chair shall decide whether cause has been shown and, if so, replace the member or alternate, drawing again by lot.

A finalized list of Hearing Committee members and alternates will be given to all **Parties** within five (5) **days** of resolving any challenges of the membership of the Hearing Committee. The finalized list will identify which Hearing Committee member will serve as the Hearing Committee Chair. The finalized list must be completed within ten (10) **days** of the initial selection of the Hearing Committee and alternates by the Chair of the **Faculty Appeals Board**.

Members of the Hearing Committee who are subsequently ineligible, ill, or otherwise unable to serve, shall be replaced from among alternate members by the Chair of the **Faculty Appeals Board**.

3. **Faculty Appeals Board** Hearing Regulations

The following regulations shall apply:

- i) Timing.

Every reasonable effort should be made by the Hearing Committee and both **Parties** to hold the hearing as soon as possible. All Hearing Committee members are expected to prioritize Hearing Committee responsibilities above other faculty obligations. Hearing Committee members or alternates who need assistance covering class or other faculty commitments may contact the Provost's Office for assistance to ensure attendance at the hearing. Should the Hearing Committee be unable to schedule the hearing within thirty (30) **days** of receiving



the **Respondent's** response, the **Faculty Appeals Board** Chair and the Provost or his or her designee may set a date for the hearing.

ii) Powers and Duties of the Hearing Committee Chair

The Chair of the Hearing Committee shall preside over the hearing and is authorized to make decisions regarding questions of evidence and admissibility, the conduct of the proceedings, and take all such steps as necessary to maintain an orderly hearing process. The Chair of the **Faculty Appeals Board** shall provide the Chair of the Hearing Committee with a copy of the Complaint and Response as well as the accompanying summary of evidence, list of proposed witnesses, and relevant policies. The Chair of the Hearing Committee, after consulting with the legal counsel assigned to the Committee, shall have the final decision on any procedural issues raised that are not addressed by the Faculty Handbook. If necessary or desired, the Chair of the Hearing Committee may schedule a logistical meeting with the **Parties** to discuss the hearing process, evidentiary matters, or other procedural issues.

The Chair of the Hearing Committee shall serve as liaison for communication between the **Complainant** or **Respondent** and the Hearing Committee. Communications related to evidence and hearing procedures should be directed to the Chair of the Hearing Committee. Neither party shall communicate orally or in writing with individual Hearing Committee members during the hearing procedure. To ensure that information provided to the Hearing Committee by either party is part of the official documentation of the proceeding, the Chair of the Hearing Committee shall provide each party with a copy.

The Chair of the Hearing Committee is responsible for maintaining a full and accurate record of the proceedings. This shall consist of a recording and shall include copies of all exhibits and other materials distributed at the hearing.

The Chair of the Hearing Committee is responsible for submitting the report of the Hearing Committee, which shall include findings and recommendations, to the **Parties**, Senior Vice President and Provost, and President within ten (10) **days** of the conclusion of the hearing.

iii) Rights of the **Parties** and Presentation of Evidence

- (1) Representation. The parties shall have the right to attend the hearing and to be accompanied by a colleague or counsel to advise them. The names of such colleague or counsel shall be provided to the Chair of the Hearing Committee at least fifteen (15) **days** prior to the hearing. Representatives may not question witnesses or address the Hearing Committee. All hearings will be closed to the public.



POLICY AND PROCEDURE MANUAL

The UNIVERSITY of OKLAHOMA

- (2) Exchange of Materials. If requested by the Chair of the Hearing Committee, each party must provide copies of all materials to the other party and the Hearing Committee members and alternates at a date to be determined by the Chair of the Hearing Committee but at least five (5) **days** prior to the hearing.
- (3) Principle of Confrontation. The principle of confrontation shall apply throughout the hearing. Both **Parties** shall have the right to present, examine, and cross-examine witnesses, and each other. Each party is responsible for securing the presence of their own witnesses; however, if either party wishes the presence of University employees, the Senior Vice President and Provost's Office shall make reasonable efforts to support that request.
- (4) Burden of Proof. The Complainant shall bear the burden of proof which shall be by a preponderance of the evidence, i.e. whether the claims of wrongdoing or impropriety are more likely true than not true.
- (5) Hearing Committee Participation. The members of the Hearing Committee may ask relevant questions of the **Parties** and witnesses, though the Hearing Committee Chair may impose reasonable limitations or regulations on Hearing Committee questioning.
- (6) Deliberation and Report. After the conclusion of the hearing, the Hearing Panel will deliberate privately. No record shall be made of the discussions during deliberation, except that the Hearing Committee's findings and recommendations regarding the matter shall be written into a Hearing Committee Report.
- (7) Record of Proceedings. Either party may request a copy of the recording of the proceedings. Recordings of faculty grievances will be maintained by the Faculty Senate while recordings of employment matters will be maintained in the Board of Regents' Office will be maintained in the for a period of five years. Either party may request a transcript of the recording at their own expense.



iv) President's Disposition

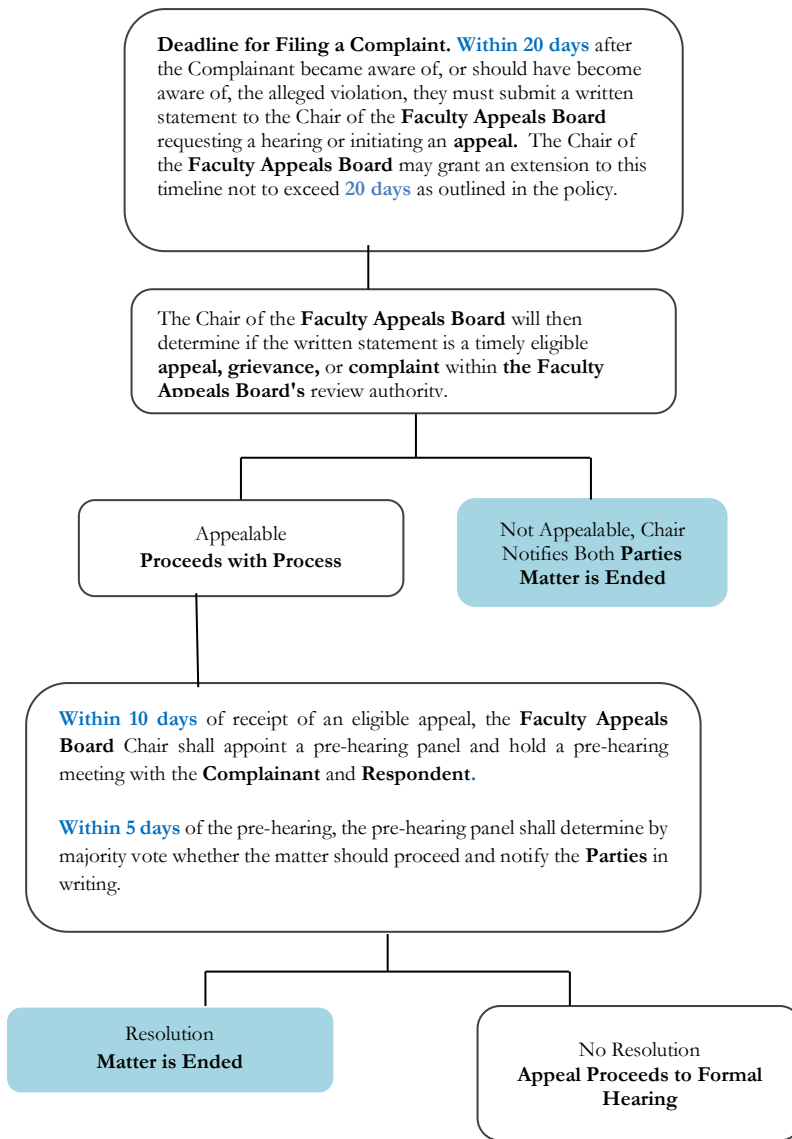
The President shall review the Hearing Committee report and any additional information the President wishes to consider and adopt, modify, or reject the recommendations, or may return the matter to the Hearing Committee with written directions to consider any matters not sufficiently addressed in the Hearing Committee Report.



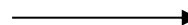
POLICY AND PROCEDURE MANUAL

The UNIVERSITY of OKLAHOMA

INITIATION OF APPEAL AND REQUEST FOR HEARING



Formal Hearing Procedure (see next page)



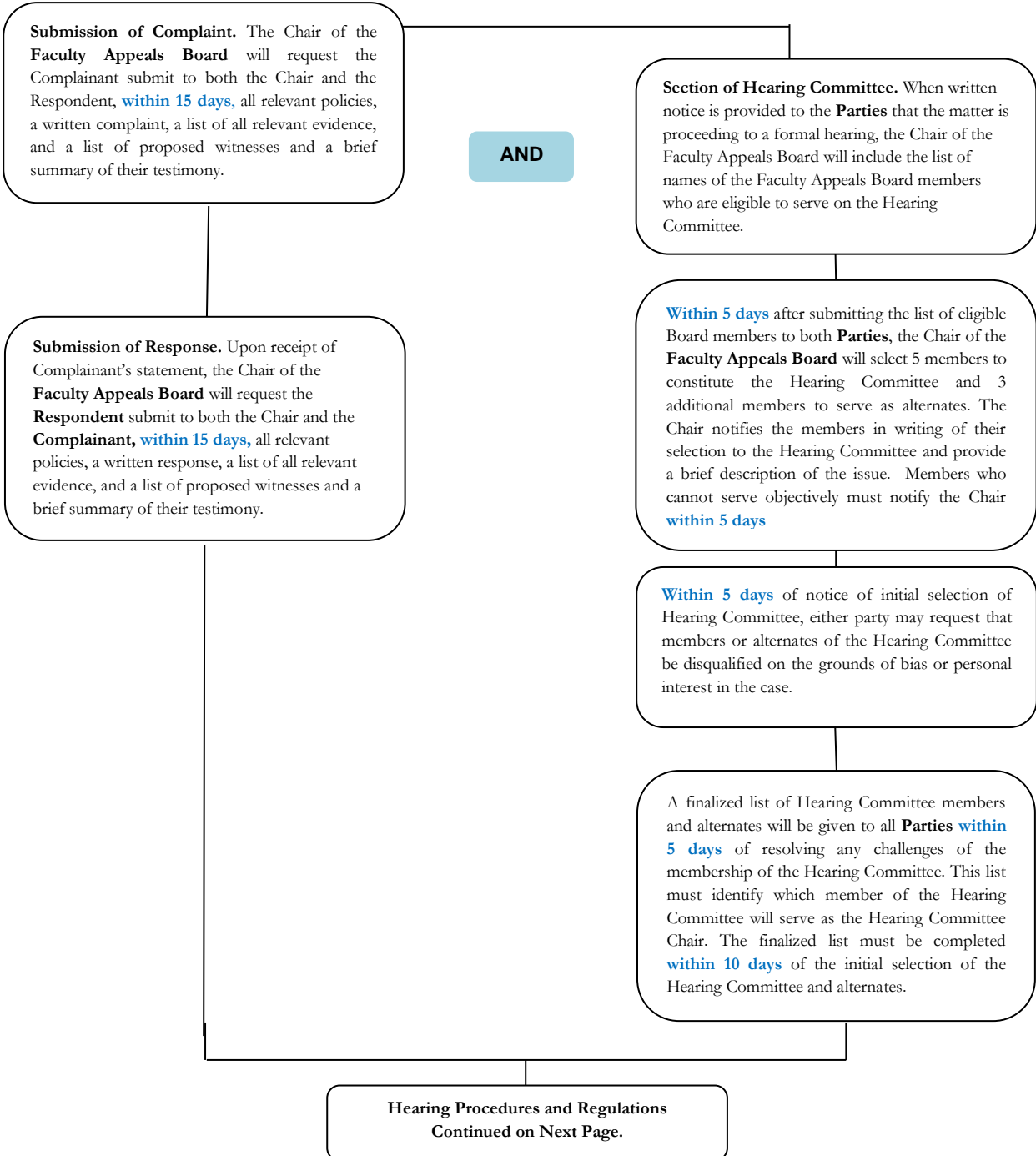
*This is intended to serve only as an outline of the procedures detailed in Section C of the Faculty Appeals Board Policy.



POLICY AND PROCEDURE MANUAL

The UNIVERSITY of OKLAHOMA

Formal Faculty Appeals Board Hearing Procedure



*This is intended to serve only as an outline of the procedures detailed in Section D of the Faculty Appeals Board Policy.



POLICY AND PROCEDURE MANUAL

The UNIVERSITY of OKLAHOMA

The Hearing Committee and **Parties** should make every effort to hold the hearing as soon as possible. If the Hearing Committee is unable to schedule the hearing within **30 days** of receiving the Respondent's response, the **Faculty Appeals Board** Chair and Provost's Office may set the date.

15 days prior to the hearing date, **Parties** submit names of the colleague or counsel who will attend the hearing with them. Parties must exchange materials no later than **5 days prior** to the hearing.

Within 10 days of the conclusion of the hearing, the Chair of the Hearing Committee submits findings and recommendations to the **Parties**, Senior Vice President, and Provost, and the President. The President then shall review the report and adopt, modify, or reject the recommendations or return the matter to the Hearing Committee with written directions to consider any matters not sufficiently addressed in the Hearing Committee Report.



University of Oklahoma
Norman Campus
Faculty Handbook 3.8: Minor and Severe Sanctions

I. Purpose:

The University strives to exercise great care in selecting its faculty appointees and in conferring tenure only upon those faculty members who have demonstrated their merit for continuous appointment. For that reason, the imposition of severe sanctions, such as abrogation of tenure or termination of a non-tenured faculty member outside of the nonrenewal process should be an exceptional event. Although such measures may be required infrequently, the purpose of this policy is to establish a pre-disciplinary review procedure for severe sanctions that preserves both the integrity of the University and the rights of faculty members; and to establish procedural safeguards for faculty members against whom minor sanctions may be imposed.

II. Definitions

- A. Severe sanctions may include, but are not limited to, abrogation of tenure and termination of employment, loss of prospective University privileges for a stated period (for instance, loss of eligibility for a sabbatical leave of absence); a fine; or a reduction in salary.
- B. Minor sanctions may include, but are not limited to, suspension of public-facing assignments, suspension of travel privileges for not more than thirty (30) **days**, and/or restitution to the University.
- C. Grounds for severe sanctions: While it is not possible to specify all grounds for which abrogation of tenure, termination of employment, or other severe sanctions may be sought, they include, but are not limited to the following:
 - 1. Professional incompetence or dishonesty;
 - 2. Substantial, manifest, or repeated failure to, and/or refusal to fulfill professional duties and responsibilities;
 - 3. Substantial, manifest, or repeated failure to, and/or refusal to adhere to University policies. Note that a faculty member may not appeal a prior finding of a violation of University policy by a University administrative officer or body when such finding has already been appealed under that



POLICY AND PROCEDURE MANUAL

The UNIVERSITY of OKLAHOMA

- particular policy (e.g., Institutional Equity matters, Research Misconduct, etc.); and
4. Personal behavior preventing the faculty member from satisfactory fulfillment of professional duties or responsibilities.
- D. Grounds for minor sanctions: While it is not possible to specify all grounds for which minor sanctions may be sought, they include, but are not limited to, the following:
1. Neglect of duty or failure to carry out normal and expected satisfactory teaching, research, or service responsibilities. including patient care;
 2. Unprofessional conduct adversely affecting the functioning of the area, department, college, or University; and/or
 3. Failure to adhere to University policies. Note that a faculty member may not appeal a prior finding of a violation of University policy by a University administrative officer or body when such finding has already been appealed under that particular policy (e.g., Institutional Equity matters, Research Misconduct, etc.);
- E. Non-disciplinary termination(s)
1. Change in work site. A faculty member is expected to work in the state of Oklahoma (or other assigned University site), except where mutually agreed and authorized pursuant to a remote work agreement approved by the relevant college dean and Senior Vice President and Provost. This provision is not intended to alter agreements made prior to January 12, 2024 that are satisfactory to all parties or to prohibit short-term travel for field work, sabbatical leave, and the like. Changes to work locations, whether to another state or abroad, subject the University to payroll and tax burdens. Faculty members working in other states or abroad, without prior written authorization from the applicable college dean, must request such authorization within five (5) **days** of being informed of this violation. If the applicable dean does not give such authorization within twenty (20) days of this request, the faculty member shall be ineligible for continued employment.
 2. Inability to perform essential functions. A faculty member who is unable to perform the essential functions of the faculty member's position, with or



POLICY AND PROCEDURE MANUAL

The UNIVERSITY of OKLAHOMA

- without a reasonable accommodation, is ineligible for continued employment.
3. Criminal convictions. A faculty member who has (1) pleaded guilty or nolo contendere or who has been found guilty before a court of competent jurisdiction of a violation of a law relating to dishonesty, violence, or where such plea or conviction prevents the faculty member from satisfactorily fulfilling professional duties or responsibilities, or (2) a faculty member that has violated a court order when such violations relate to the faculty member's proper performance of professional responsibilities is ineligible for continued employment. As noted below, faculty members who have been terminated pursuant to this provision may request a hearing before the Faculty Appeals Board on the grounds their plea does not prevent the faculty member from satisfactorily fulfilling their professional duties or responsibilities; however, such hearings are not forums for faculty members to change their plea or relitigate the facts that form the basis for the plea.
 4. Loss of credentials. A faculty member who has lost the professional licensure or credentials required for the faculty member's position is deemed no longer eligible for employment.
 5. Financial exigency. Tenured faculty members or faculty members terminated prior to the expiration of their appointment pursuant to the University's policy on financial exigency.
- F. A faculty member may request a hearing to challenge a non-disciplinary termination using the Procedures for Hearing Faculty Grievances set forth in Policy [Number]: Faculty Appeals Board. However, challenges to non-disciplinary terminations are limited to the following grounds as appropriate: 1) the fact of the change in worksite without authorization; 2) the inability to perform essential functions; 3) the relevance of the criminal conviction; or 4) the credentials required for the faculty member's position.
- G. The University's Non-Discrimination Policy, the Sexual Misconduct, Discrimination, and Harassment Policy, and the Consensual Sexual Relationships Policy and their associated grievance procedures set forth the policies and procedures for all grievances, and appeals, and sanctions related to any form of discrimination or harassment prohibited by University policy and supercede these rules. Those matters are not within the jurisdiction of the Faculty Appeals Board unless jurisdiction is granted pursuant to those policies.



POLICY AND PROCEDURE MANUAL

The UNIVERSITY of OKLAHOMA

- H. The Faculty Appeals Board is a standing body appointed by the Faculty Senate that responds to requests for a hearing with regard to alleged violations of academic freedom or academic due process, other appealable grievances concerning the alleged failure to follow University policy, or alleged unfairness in the application of University policy unresolved through administrative procedures, tenure abrogation, termination of employment actions (under enumerated circumstances), and severe sanctions.
- I. Days shall mean University business days, unless otherwise specified.
- J. The Complainant in a proceeding for abrogation of tenure or dismissal prior to the expiration of a term appointment is the University, represented by the President's designee. In all other cases appealing the imposition of sanctions, the party requesting a hearing before the Faculty Appeals Board is the Complainant.
- K. The Respondent in a proceeding for abrogation of tenure or dismissal prior to the expiration of a term appointment is the affected faculty member. In all other cases appealing the imposition of sanctions, the Respondent shall be the Department Chair, Director, Dean, or other administrator imposing the sanction.
- L. The Respondent and the Complainant are the Parties.

III. Scope:

This policy affects all faculty members, both tenured and non-tenured.

IV. Responsible Office:

The Office of the Provost is responsible for updating and maintaining this policy, as well as enforcement of the policy herein.

V. Policy Statement:

It is the policy of the University that all employees within the scope of this policy have procedural rights prior to the imposition of severe sanctions or termination of employment as outlined in the attached Procedures. It is the policy of the University that any changes to the attached Procedures must be approved by the Board of Regents for the University of Oklahoma.

Policy Level:

Approval Authority:

Date of Approval:

Subject Matter:

Date of Last Review:



Date of Next Review:

Signature

VI. **Procedures for Abrogation of Tenure, Termination of Employment, and Other Sanctions**

Table of Contents

A. Procedure for Abrogation of Tenure and Termination of Employment 6

B. Procedure for **Severe Sanctions** Other than Abrogation of Tenure and Termination..... 7

C. Leave of Absence Pending a Formal Hearing or Appeal of **Severe Sanctions** 8

D. **Minor Sanctions** 8

E. Appeals of **Severe Sanctions** (other than Abrogation of Tenure and Dismissal): 9

 1. Deadline for Filing an Appeal 9

 2. **Faculty Appeals Board** Chair Initial Evaluation 9

 3. Pre-hearing Meeting 10

F. Initiation of Proceedings for Abrogation of Tenure and Dismissal..... 10

 1. Pre-hearing Meeting 11

G. Formal **Faculty Appeals Board** Hearing Procedure – **Severe Sanctions** 11

 1. Submission of Complaint and Response 12

 2. Selection of Hearing Committee: 13

H. **Faculty Appeals Board** Hearing Regulations 14

 1. Timing. 14

 2. Powers and Duties of the Hearing Committee Chair..... 15

I. Rights of the **Parties** and Presentation of Evidence..... 16

J. Post Hearing Procedures 17

 1. President's Disposition..... 17

 2. Board of Regents' Action..... 17



3. Record of Proceedings.....18

A. Procedure for Abrogation of Tenure and Termination of Employment

Except for matters governed by Institutional Equity Office policies and procedures, the procedure for abrogation of tenure and termination of employment shall follow this format:

1. Preliminary Investigation and Meeting. When abrogation of tenure or termination of employment is considered, the appropriate administrative officer (i.e. Department Chair, Director, Dean, or Senior Vice President and Provost) must ordinarily investigate the matter and meet with the faculty member in person to discuss the matter, unless reasonably prevented from doing so.
2. Recommendation for Abrogation. If, after investigation, the appropriate administrative officer decides to recommend abrogation, that recommendation should be conveyed to the President and Senior Vice President and Provost.
3. President’s Review and Notice. If the President agrees with the recommendation, the President must notify the faculty member and the **Faculty Appeals Board** in writing and request a hearing in which the University will be the Complainant. The President’s notice shall include a copy of the recommendation for abrogation. If the President appoints a designee to represent the President in the proceedings, the notice will also include that information. .
4. Hearing. The **Faculty Appeals Board** will conduct a hearing in conformity with these procedures and present its recommendation to the Board of Regents. If the faculty member agrees with the President’s recommendation or otherwise does not wish to contest the recommendation, the faculty member can decline to participate in a hearing and the recommendation for abrogation shall proceed to the Board of Regents as uncontested. If at any point during the hearing process, the faculty member ceases participation,



the hearing process will terminate and the President's recommendation shall proceed to the Board of Regents as uncontested.

5. Board of Regents Action. The Board of Regents shall give all reasonable consideration to the recommendations of the President and, if applicable, the **Faculty Appeals Board** Hearing Committee before making a decision. In all cases, only the Board of Regents has the power to abrogate tenure.

B. Procedure for Severe Sanctions Other than Abrogation of Tenure and Termination

Except for matters governed by the Institutional Equity Office policies and procedures, the procedure for the imposition of **severe sanctions** other than abrogation of tenure and termination of employment shall follow this format:

1. Preliminary Investigation and Meeting. The conduct of a faculty member that may warrant the imposition of **severe sanctions** shall be brought to the attention of the appropriate administrative officer(s) (i. e., Department Chair, Director, Dean, or Senior Vice President and Provost), who shall ordinarily investigate the matter to include, among other things, meeting with the faculty member in person to fully discuss the matter, unless reasonably prevented from doing so.
2. Imposition of Severe Sanctions. If after investigation, the administrative officer determines the conduct warrants the imposition of **severe sanctions**, the Senior Vice President and Provost, or the dean with approval from the Senior Vice President and Provost, has the power to impose **severe sanctions** short of termination or abrogation
3. Request for Hearing. The faculty member may appeal the decision of the Senior Vice President and Provost to the **Faculty Appeals Board**.
4. Review for Sufficiency and Pre-hearing. The **Faculty Appeals Board** shall evaluate the appeal and determine whether to conduct a pre-hearing and/or hearing in accordance with these procedures.



5. Hearing. If a hearing is warranted, the **Faculty Appeals Board** will conduct a hearing in conformity with these procedures, and shall forward its recommendations to the President.
6. President's Disposition. The President shall give all reasonable consideration to the recommendations of the **Faculty Appeals Board** Hearing Committee and make a decision to uphold, modify, or revoke the **severe sanction**, which shall be final.

C. Leave of Absence Pending a Formal Hearing or Appeal of Severe Sanctions

Upon consultation with or recommendation by the department chair, the Senior Vice President and Provost, or the dean, with approval from the Senior Vice President and Provost, has the power to place a faculty member on a leave of absence pending **severe sanctions** proceedings. The duration of leave may vary based on the circumstances giving rise to the hearing or appeal. Alternatively, the Senior Vice President and Provost may assign the faculty member to other duties or a redistribution of effort in lieu of leave.

In cases where the President recommends abrogation of tenure or termination of employment, the President may place the faculty member on unpaid leave if, and once, the pre-Hearing panel has determined the matter will proceed to a formal hearing. Should a formal Hearing Committee find in favor of the faculty member, the faculty member will be entitled to any base compensation denied while on leave without pay. Any leave of absence, reassignment, or redistribution of effort imposed under this section is not in itself an appealable sanction.

D. Minor Sanctions

Except for matters governed by the Institutional Equity Office policies and procedures, the chair/director of the academic unit, with approval from the dean, has the power to impose **minor sanctions**.

A faculty member against whom the imposition of **minor sanctions** is sought must be informed in writing of the basis for the action.



A faculty member who believes the sanctions are unfair/unsupported may appeal the sanction(s) imposed to the Senior Vice President and Provost within twenty (20) **days** of notice of the sanction(s). The Senior Vice President and Provost will review the sanction(s) imposed, meet with the faculty member if requested, and decide to affirm, modify, or revoke the **minor sanctions**. The decision of the Senior Vice President and Provost is final.

E. Appeals of Severe Sanctions (other than Abrogation of Tenure and Dismissal):

1. **Deadline for Filing an Appeal**

A **Complainant** must initiate an appeal within twenty (20) **days** after receiving notice of the imposition of the **severe sanction**. Nine-month faculty who do not have a University appointment during the summer may suspend the time for filing a grievance or responding to a grievance, from the last classroom day of the spring semester until the first classroom day of the fall semester by providing written notice to the **Faculty Appeals Board** Chair. The Chair of the Faculty Appeals Board may grant an extension for good cause shown, not to exceed twenty (20) **days**.

2. **Faculty Appeals Board** Chair Initial Evaluation

The **Faculty Appeals Board** Chair, with the concurrence of the Vice Chair, has the responsibility to determine if a written request for a hearing is timely and that the action appealed is a **severe sanction** within the **Faculty Appeals Board's** review authority. If the request is timely and appealable, the process will continue. If the request is not timely and/or appealable, the Chair shall notify both **Parties** and the process will end. In cases where the Chair is unable to determine from the Request for Hearing whether the matter falls within the **Faculty Appeals Board's** review authority, the Chair may contact the appropriate party to clarify the request or cure any deficiencies in the request, if appropriate. In addition, if a matter is deemed not to be an appealable **severe sanction**, but would otherwise constitute an eligible appeal, grievance, or complaint (e.g., tenure denial), the Chair may recharacterize the complaint accordingly and the matter may proceed pursuant to the Procedures for Grievance Hearings set forth in Policy [Number]: **Faculty Appeals Board**. The decision of the Chair and the Vice Chair is final. Should the Chair and Vice-Chair



disagree, the Chair of the Faculty Senate shall select a third member of the Faculty Appeals Board to review the request and break the tie.

3. Pre-hearing Meeting

Within ten (10) **days** of receipt of an eligible appeal, the **Faculty Appeals Board** Chair shall appoint a pre-hearing panel and hold a pre-hearing meeting with the **Complainant** and **Respondent**. The **Faculty Appeals Board** Chair will Chair the pre-hearing meeting. The purpose of the pre-hearing meeting is to determine whether an eligible appeal should proceed to a formal hearing. Ineligible appeals not previously dismissed by the Chair, or appeals that are frivolous or duplicative, should be dismissed and the President so notified. Otherwise, the process will continue to a formal hearing following the procedures in Section G. Formal **Faculty Appeals Board** Hearing Procedures.

At the pre-hearing meeting, no documents or physical evidence should be introduced, and no witnesses shall be called, but the **Parties** must appear and relate their views of the matter. A party who fails to appear and/or participate in the pre-hearing meeting is deemed to have waived future rights to participate in formal proceedings. As soon as reasonably practicable, but not more than five (5) **days** after the pre-hearing meeting, the pre-hearing panel shall determine by majority vote whether the appeal should proceed or be dismissed and notify the **Parties** in writing. The Chair shall have discretion to modify the procedures of the pre-hearing meeting as necessary to provide a fair and efficient process for all **Parties** and the **Faculty Appeals Board** members.

F. Initiation of Proceedings for Abrogation of Tenure and Dismissal

When notifying a faculty member of a recommendation of termination or abrogation of tenure, the President shall also notify the **Faculty Appeals Board** that the President, or their designee, requests a hearing. However, the University's Non-Discrimination Policy, the Sexual Misconduct, Discrimination, and Harassment Policy, and the Consensual Sexual Relationships Policy set forth the policies and procedures for all grievances, **appeals, and sanctions** related to any form of discrimination or harassment prohibited by University policy. Those matters are not within the jurisdiction of the Faculty Appeals Board unless jurisdiction is granted pursuant to those policies.



1. Pre-hearing Meeting

Within ten (10) **days** of receipt of a recommendation from the President, the **Faculty Appeals Board** Chair shall appoint a pre-hearing panel and hold a pre-hearing meeting with the **Complainant** and **Respondent**. The **Faculty Appeals Board** Chair will Chair the pre-hearing meeting. The purpose of the pre-hearing meeting is to determine whether the University's recommendation for abrogation sets forth sufficient basis to proceed to a formal hearing. Due to the seriousness of the allegations and the severity of the recommended sanctions, in cases where abrogation of tenure or termination of employment is recommended, the University has the burden of proving that it has presented sufficient grounds to move to the formal hearing stage.

At the pre-hearing meeting, no documents or physical evidence should be introduced, and no witnesses shall be called, but the **Parties** must appear and relate their views of the matter. A party who fails to appear and/or participate in the pre-hearing meeting is deemed to have waived future rights to formal proceedings. As soon as reasonably practicable, but not more than five (5) **days** after the pre-hearing meeting, the pre-hearing panel shall determine by majority vote whether the matter should proceed and notify the **Parties**, including the President, in writing. If the **Respondent** fails to appear and/or participate, formal proceedings will cease and the President will recommend termination or abrogation of tenure to the Board of Regents.

G. Formal Faculty Appeals Board Hearing Procedure – Severe Sanctions

All matters proceeding to a formal hearing before a **Faculty Appeals Board** Hearing Committee shall be handled according to the following procedures. The **Faculty Appeals Board** process is a lay process that relies on peer review and the common sense, sound judgment, good character, and sense of fairness of each Hearing Committee member. 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. From time to time, compliance with applicable state and/or federal law(s) may require modification of the **Faculty Appeals Board** process, which includes modification of the related hearing procedures. In addition, as this is not a formal legal process,



deviations from these procedures may occur from time to time; minor procedural errors, standing alone, shall not invalidate a Hearing Committee's decision. The time intervals specified in the preceding and following sections 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.

All responsibilities of the Chair will be relinquished and passed to the vice Chair if the **appeal** at issue is from a faculty member in the same college as the Chair of if another conflict exists in the judgement of the Chair of the Faculty Senate. In addition, should the Chair of the **Faculty Appeals Board** be unable to fulfill their responsibilities in a timely manner, the Chair of the Faculty Senate may request the Chair delegate some or all of the duties for a particular matter to the Vice Chair. If available, the Chair or Vice Chair may delegate scheduling and logistical duties to the Administrative Manager of the Faculty Senate. Additionally, the **Faculty Appeals Board** may consult with a member of the Office of Legal Counsel for advice on relevant policies and procedures. The process may end due to lack of participation or if the appeal is withdrawn by either the faculty member or the President or President's designee.

1. Submission of Complaint and Response

If the pre-hearing panel votes to forward a matter for formal hearing, the Chair of the **Faculty Appeals Board** will request the **Complainant** submit to both the Chair and the **Respondent**, within fifteen (15) **days**, the following:

- a) Relevant policies of the administrative or academic unit, the College, the Senior Vice President and Provost's Office, the President's Office, and the Board of Regents.
- b) The written Complaint stating in full the grounds upon which the alleged grievance is based.
- c) A summary of the evidence upon which the Complaint is based.
- d) A list of witnesses proposed to be called and a brief summary of the testimony of each proposed witness.



POLICY AND PROCEDURE MANUAL

The UNIVERSITY of OKLAHOMA

The Chair of the **Faculty Appeals Board** will, upon receipt of the **Complainant's** statement, request the **Respondent** submit to both the Chair and the **Complainant**, within fifteen (15) **days**, the following:

- a) Relevant policies of the administrative or academic unit, the College, the Senior Vice President and Provost's Office, the President's Office, and the Board of Regents.
- b) The written Response outlining the specific points of defense.
- c) A summary of the evidence to be used in refuting the charges.
- d) A list of proposed witnesses to be called and a brief summary of the testimony of each proposed witness.

2. Selection of Hearing Committee:

- a) Distribution of List of Eligible Members and Review for Bias

When providing written notice to the **Parties** that a matter is proceeding to a formal hearing, the Chair of the **Faculty Appeals Board** will include the list of names of the **Faculty Appeals Board** members who are eligible to serve on the Hearing Committee. The list shall not include a member or alternate of the same academic unit or one who is related to the **Respondent** or **Complainant**. Members and alternates currently serving on another Hearing Committee shall also be ineligible. The Chair of the **Faculty Appeals Board** may, in the Chair's discretion, also exclude a member in the event of a known conflict of interest related to the person(s) or issue at hand.

- b) Selection and Disqualification

Within five (5) **days** after submitting the list of eligible Board members to both **Parties**, the Chair of the **Faculty Appeals Board** will select five (5) members of the Board to constitute the Hearing Committee and three (3) additional members to serve as alternates.

The selection of members and alternate members of the Hearing Committee shall be made by lot and shall be made in the presence of an officer of the Faculty Senate. The **Parties** shall be invited to be present or to send a representative. The Chair of



the **Faculty Appeals Board** shall notify both **Parties** of the Hearing Committee membership. The Chair shall also notify members in writing of their selection to the Hearing Committee and of the **Parties** involved and provide a brief description of the general nature of the issue. Members who cannot serve objectively must so notify the Chair within five (5) **days**.

Within five (5) **days** of notice of the initial selection of the Hearing Committee, the **Complainant** or the **Respondent** may submit a written request to the Chair of the **Faculty Appeals Board** and to the other party asking that members or alternates of the Hearing Committee be disqualified on grounds of bias or personal interest in the case. If, however, a challenge for cause is disputed by either of the **Parties**, the **Faculty Appeals Board** Chair shall decide whether cause has been shown and, if so, replace the member or alternate, drawing again by lot.

A finalized list of Hearing Committee members and alternates will be given to all **Parties** within five (5) **days** of resolving any challenges of the membership of the Hearing Committee. The finalized list must identify which member of the Hearing Committee will serve as the Hearing Committee Chair. The finalized list must be completed within ten (10) **days** of the initial selection of the Hearing Committee and alternates by the Chair of the **Faculty Appeals Board**.

Members of the Hearing Committee who are subsequently ineligible, ill, or otherwise unable to serve, shall be replaced from among alternate members by the Chair of the **Faculty Appeals Board**.

H. Faculty Appeals Board Hearing Regulations

The following regulations shall apply:

1. Timing.

Every reasonable effort should be made by the Hearing Committee and both **Parties** to hold the hearing as soon as possible. All Hearing Committee members are expected to prioritize Hearing Committee responsibilities above other faculty obligations. Hearing Committee members or alternates who need assistance covering class or other faculty commitments may contact the Provost's Office for assistance to ensure attendance at the hearing. Should the Hearing Committee be unable to



schedule the hearing within thirty (30) **days** of receiving the **Respondent's** response, the **Faculty Appeals Board** Chair and/or the Provost's Office may set a date for the hearing.

2. Powers and Duties of the Hearing Committee Chair

The Chair of the Hearing Committee shall preside over the hearing and is authorized to make decisions regarding questions of evidence and admissibility, the conduct of the proceedings, and take all such steps as necessary to maintain an orderly hearing process. The Chair of the **Faculty Appeals Board** shall provide the Chair of the Hearing Committee with a copy of the Complaint and Response as well as the accompanying summary of evidence, list of proposed witnesses, and relevant policies. The Chair of the Hearing Committee, after consulting with the legal counsel assigned to the Committee, shall have the final decision on any procedural issues raised that are not addressed by the Faculty Handbook. If necessary or desired, the Chair of the Hearing Committee may schedule a logistical meeting with the **Parties** to discuss the hearing process, evidentiary matters, or other procedural issues.

The Chair of the Hearing Committee shall serve as liaison for communication between the **Complainant** or **Respondent** and the Hearing Committee. Communications related to evidence and hearing procedures should be directed to the Chair of the Hearing Committee. Neither party shall communicate orally or in writing with individual Hearing Committee members during the hearing procedure. To ensure that information provided to the Hearing Committee by either party is part of the official documentation of the proceeding, the Chair of the Hearing Committee shall provide each party with a copy.

The Chair of the Hearing Committee is responsible for maintaining a full and accurate record of the proceedings. This shall consist of a recording and shall include copies of all exhibits and other materials distributed at the hearing.

The Chair of the Hearing Committee is responsible for submitting the report of the Hearing Committee, which shall include findings and recommendations, to the **Parties**, Senior Vice President and Provost, and President within ten (10) **days** of the conclusion of the hearing.



I. Rights of the Parties and Presentation of Evidence

1. Representation. The **Parties** shall have the right to attend the hearing and to be accompanied by a colleague or counsel to advise them. The names of such colleague or counsel shall be provided to the Chair of the Hearing Committee at least fifteen (15) **days** prior to the hearing. Representatives may not question witnesses or address the Hearing Committee. All hearings will be closed to the public.
2. Exchange of Materials. If requested by the Chair of the Hearing Committee, each party must provide copies of all materials to the other party and the Hearing Committee members and alternates at a date to be determined by the Chair of the Hearing Committee but at least five (5) **days** prior to the hearing.
3. Principle of Confrontation. The principle of confrontation shall apply throughout the hearing. Both **Parties** shall have the right to present, examine, and cross-examine witnesses, and each other. Each party is responsible for securing the presence of their own witnesses; however, if either party wishes the presence of University employees, the Senior Vice President and Provost's Office shall make reasonable efforts to support that request.
4. Burden of Proof. In matters relating to abrogation of tenure or termination of employment, the University shall bear the burden of proof which shall be by a preponderance of the evidence, i.e. whether the allegations are more likely true than not true. In matters relating to severe sanctions other than abrogation of tenure or termination of employment, the burden is on the appealing party to prove by a preponderance of the evidence (i.e., more likely than not) that the sanction is unwarranted.
5. Hearing Committee Participation. The members of the Hearing Committee may ask relevant questions of the **Parties** and witnesses, though the Hearing Committee Chair may impose reasonable limitations or regulations on Hearing Committee questioning.
6. Deliberation and Report. After the conclusion of the hearing, the Hearing Panel will deliberate privately. No record shall be made of the discussions



during deliberation, except that the Hearing Committee's findings and recommendations regarding the matter shall be written into a Hearing Committee Report.

J. Post Hearing Procedures

1. President's Disposition

The President shall review the Hearing Committee report and any additional information the President wishes to consider and adopt, modify, or reject the recommendations, or may return the matter to the Hearing Committee with written directions to consider any matters not sufficiently addressed in the Hearing Committee Report.

Except in cases involving abrogation of tenure and/or termination of employment, the Hearing Committee's duties are discharged when the President makes a final determination.

2. Board of Regents' Action

Except for matters governed by the Institutional Equity Office policies and procedures, or matters in which abrogation and/or termination of employment are at issue, the President shall transmit to the Board of Regents the full record of the hearing, the findings and recommendations of the Hearing Committee, and the President's recommendation. The Board of Regents shall review the materials submitted plus any additional information it wishes to consider and adopt, modify, or reject the President's recommendations, or it may return the matter to the Hearing Committee with written directions as to how to proceed.

- a) If the Board of Regents chooses to return the matter to the Hearing Committee, the Committee shall review the matter in light of the Board of Regents' directions, receive new evidence or information, if necessary, and submit a final report of its findings and recommendations to the President for transmittal to the Board of Regents, as before. The work of the Hearing Committee is finished when the Board of Regents makes a final determination.
- b) The full record shall be deposited in the office of the Executive Secretary of the Board of Regents. **Parties** to the case may request copies or excerpts from the full record after the completion of the Committee's work. The costs shall be borne by the requesting party.

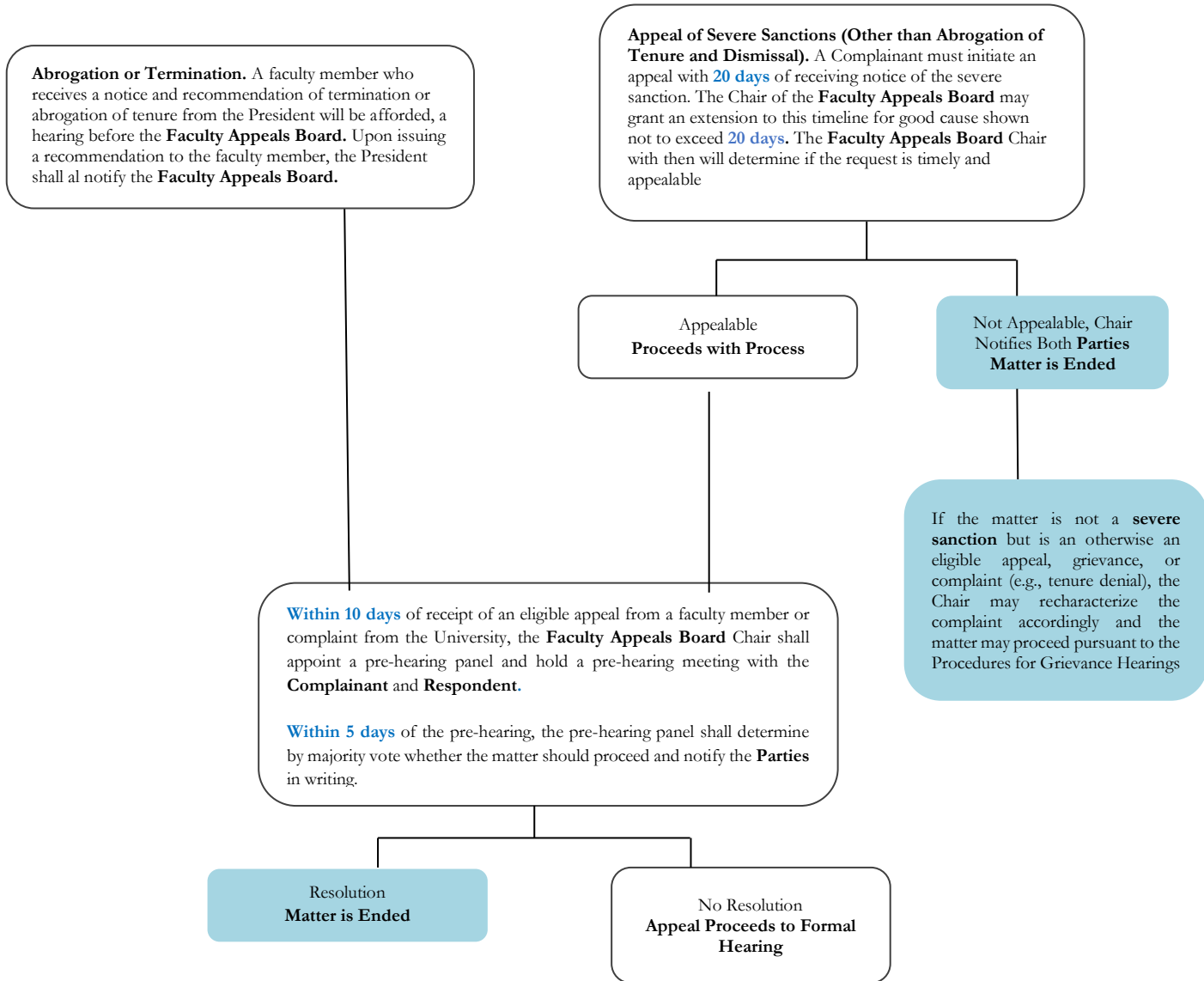


3. Record of Proceedings

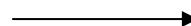
Recordings will be maintained in the Board of Regents' Office will be maintained for a period of five (5) years. Either party may request a transcript of the recording at their own expense.



**INITIATION OF APPEAL AND REQUEST FOR HEARING FOR
TERMINATION OF EMPLOYMENT, ABROGATION, TENURE, AND
OTHER SEVERE SANCTIONS**



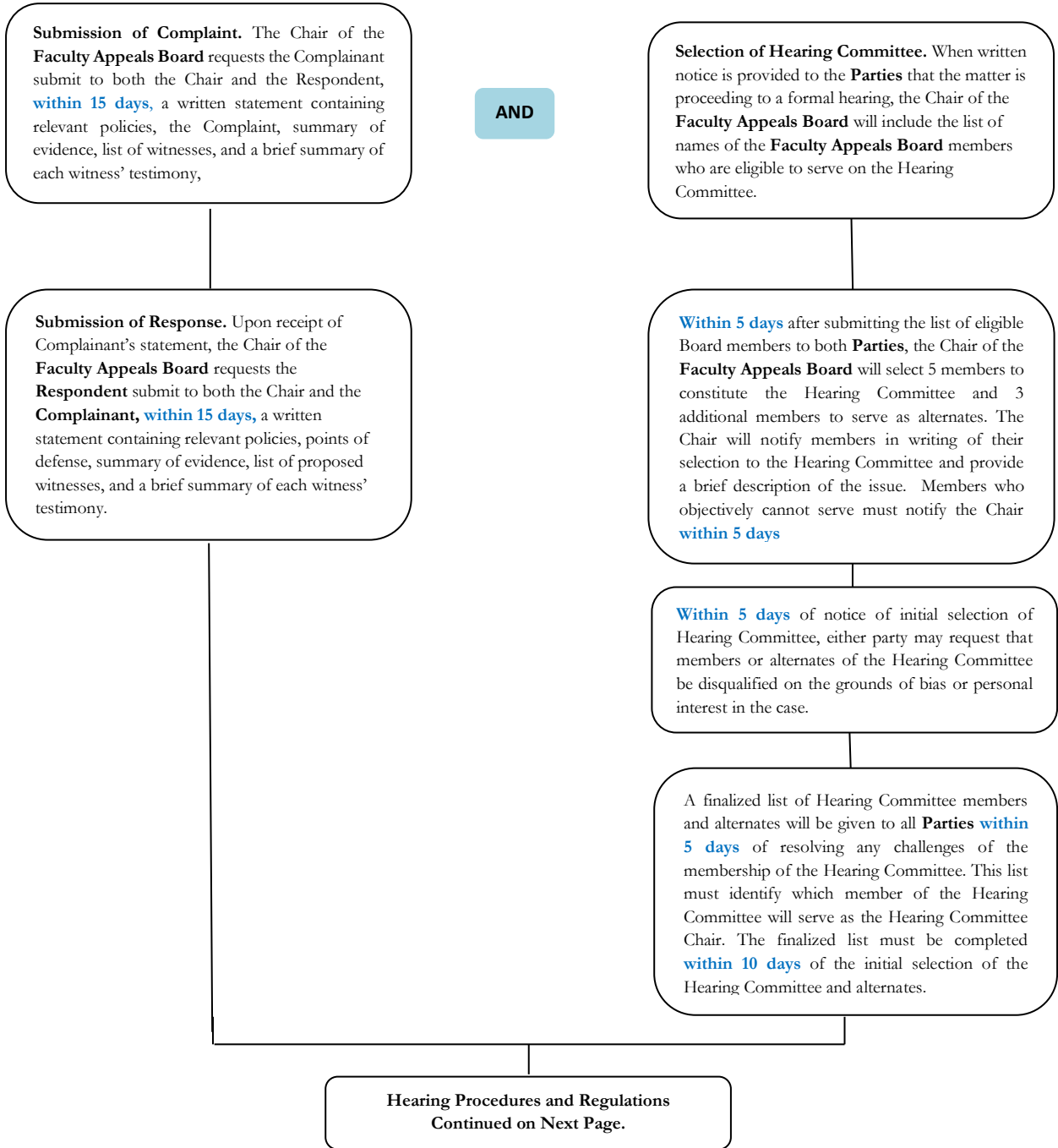
Formal Hearing Procedure (see next page)



*This is intended to serve only as an outline of the procedures detailed in Section E and F of the Procedures for Abrogation of Tenure, Termination of Employment and Other Sanctions.



FORMAL FACULTY APPEALS BOARD HEARING PROCEDURE

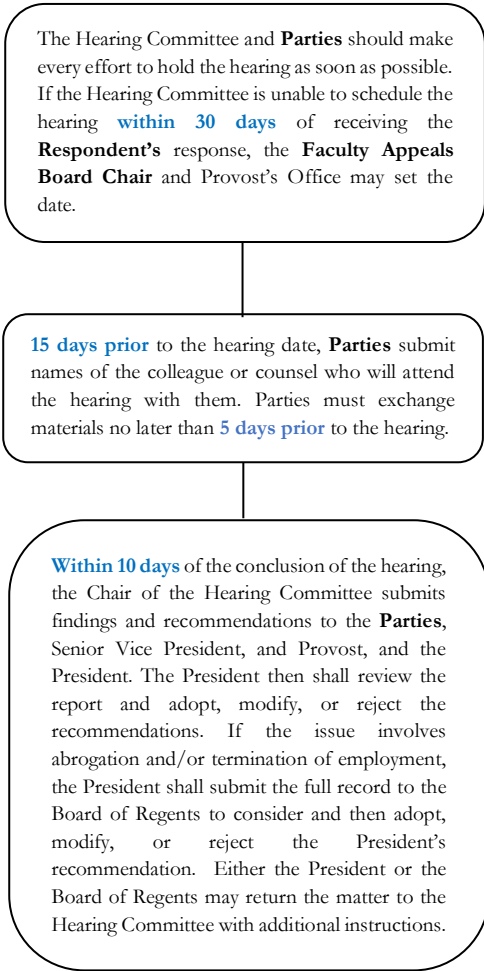


*This is intended to serve only as an outline of the procedures detailed in Section G and H of the Procedures for Abrogation of Tenure, Termination of Employment and Other Sanctions.



POLICY AND PROCEDURE MANUAL

The UNIVERSITY of OKLAHOMA





POLICY AND PROCEDURE MANUAL

The UNIVERSITY of OKLAHOMA

Board of Regents Policy 9.2.1.2 Oversight, Notification, and Review of Alleged Healthcare Professional Misconduct Formerly Policy: Section 3.11

- I. Scope
This policy addresses required reporting of all professional misconduct, as defined below, alleged against a University-employed or volunteer health care provider who works within a clinical practice, including all faculty and staff health care providers.
- II. Policy
Professional Misconduct committed by an employee or volunteer Health Care Professional must be reported to the Healthcare Professional Misconduct Review Group ("Review Group").
- III. Rationale
The University of Oklahoma is committed to protecting its students, employees, patients, and their guests from physical, verbal, and emotionally abusive misconduct, including that by Health Care Professionals in health care settings. All departments who employ or oversee Health Care Professionals shall report all instances of alleged Professional Misconduct as provided below. In addition, any employee who is aware of an instance of alleged Professional Misconduct must timely report the instance to his/her supervisor and as provided below.
- IV. Definitions
Health Care Professional: Any licensed provider who works within a clinical practice of the University of Oklahoma, including OU Physicians ("OUP"), student health clinics, and any college. This definition includes, but is not limited to, physicians, physician assistants, advanced practice nurses, registered nurses, LPNs, licensed clinical social workers, psychologists, dietitians, pharmacists, dentists, allied health providers, and athletic trainers. This also includes any Health Care Professional who is providing services to another facility or entity under a professional services contract between the University and that entity or facility.

Investigating Office: Includes but is not limited to the Institutional Equity Office, OUP-O U Medicine, Inc. ("OUMI") Risk Services, the office of the OUP Chief Medical Officer Oklahoma City or Tulsa ("CMO"), Human Resources, and the appropriate campus Police Department or an external consultant, as may be provided for in this policy. When the alleged professional misconduct occurs in a facility not owned or operated by the University, the University's Investigating Office will collaborate with the facility's investigating office to avoid duplication of effort.

Professional Misconduct: includes, but is not limited to:
 - A. Conduct as outlined in the OU Physicians ("OUP") Deceptive or Impaired Health Care Professional or Staff Policy RM7, <http://ouphysicians.ouhsc.edu/>.



POLICY AND PROCEDURE MANUAL

The UNIVERSITY of OKLAHOMA

- B. Conduct as defined by the Sexual Misconduct, Discrimination, and Harassment Policy or the Non-Discrimination Policy, <http://www.ou.edu/coo>.
 - C. Conduct that is defined as unprofessional by federal, state, or local laws; or by licensure, accreditation, or other regulatory bodies; or is illegal.
- V. Group Membership :
- A. Review Group Membership: The Review Group shall include campus representatives from the Office of Legal Counsel, Human Resources, Institutional Equity, the office of the CMO, and the appropriate campus Police Department.
 - B. Leadership Group Membership: The Leadership Group shall be comprised of leadership from the Health Care Professional's campus, Health Sciences Center, OU Tulsa, and/or Norman Campus, and area of employment. The Leadership Group shall include the campus senior executive officer, the General Counsel, and where applicable, the director of the administrative unit, the CMO, the dean of the college, the department chair, and/or the senior executive of OU Physicians.
 - C. Governing Group Membership: The Governing Group includes the President and the applicable Board of Regents ("BOR") Campus Committee members.
- VI. Complaints
- A. Origination of Complaint: Complaints may originate in any area of the University and may be made by faculty, staff, students, patients, or members of the public. The complaint must be documented by the individual receiving it and forwarded to the appropriate Investigatory Office for action (e.g., Institutional Equity Office, Human Resources, OUP/OUMI Risk Management, the Office of the OUP CMO, University Police).
 - B. Notice: To ensure appropriate notification, if a member of the Review Group receives a complaint, it will be sent to the appropriate Investigatory Office, with a copy to the Office of Legal Counsel. Likewise, the Investigatory Office will send documented complaints to the Office of Legal Counsel and other members of the Review Group.¹

If OU Medicine Inc. ("OUMI") employees or patients are involved, the Review Group will send a copy of the complaint to OUMI's Chief Legal Counsel.

Where the complaint involves allegations of both Professional Misconduct and medical malpractice, OUP-OUM Risk Services shall separately address the medical malpractice claims including all legal rights and protections provided to medical malpractice claims and shall notify the Review Group of the professional misconduct allegations so they may be appropriately investigated as described in this policy.

Upon recommendation from the Leadership Group, outside counsel or consultants may be retained to conduct an independent investigation of the complaint.

¹ In addition, a copy of the complaint should be forwarded immediately to the appropriate campus police department, which will determine whether a timely warning should be issued or whether any of the allegations must be reported as crimes in compliance with the Clery Act.



POLICY AND PROCEDURE MANUAL

The UNIVERSITY of OKLAHOMA

VII. Investigation and Report:

- A. The Investigating Office(s) shall review the complaint and commence an investigation consistent with applicable University policies and utilizing its standard procedures including applicable appeals.
- B. In all instances, investigations shall include a full inquiry of the facts and circumstances and the allegations and responses including identifying and interviewing all relevant witnesses and reviewing all applicable documentation. In some instances, investigations may also require site visits, access to electronically stored information, and review of confidential information. The Investigating Office shall document its investigation and findings in a report, including the allegations considered; the witnesses interviewed; the documents reviewed, the relevant policies, procedures, standards; and proposed corrective action and/or recommended sanctions consistent with the appropriate University policies.
- C. Within five (5) business days of completion of the investigation, the Investigating Office shall send a copy of its report to the Review Group and the Leadership Group. Where appropriate, depending on the nature, severity, and frequency of the alleged misconduct, the report may be forwarded to the Governing Group for review.
- D. Any investigations requested by the Office of Legal Counsel and conducted by outside counsel or consultants shall meet the same investigation and report requirements stated herein, and where appropriate, a copy of the report will be provided to the Leadership Group.

VIII. Leadership Group Action

- A. The Leadership Group will review the investigatory report. In all cases and at its discretion, following its review of the report, the Leadership Group may accept the findings and recommendations as provided or make additional recommendations, request additional investigation, and/or impose additional corrective action or sanctions, as permitted under applicable University policies.
- B. The Leadership Group may, as appropriate, monitor for a reasonable period of time.

IX. Ongoing Risk Monitoring

The General Counsel will maintain a report of complaints received; it will be used to monitor risk to the University from Health Care Professional Misconduct, including the date and description of each complaint, any prior incident(s), the steps taken for each investigation (e.g. witnesses interviewed, document reviewed), the findings of the Investigatory Office(s), and what corrective action and/or sanction was taken, if any. As appropriate, an updated status will be provided to the Leadership Group. A report will be provided annually to the Board of Regents and more frequently if needed.

X. Other Policies

This Regents' policy supersedes any contrary or conflicting language or claim of privilege or confidentiality that may exist or be asserted in other University, College, or Departmental policies.

(RM, 10-23-19, p. 36807)

1. HEALTH SCIENCES CENTER: GENERAL INFORMATION

1.1 HISTORY

The University of Oklahoma was founded upon authority of an act of the first legislature of the Territory of Oklahoma ~~seventeen~~17 years before Oklahoma became a state. Approved in 1890, and adopted in its main provisions by the first legislature of the state in 1907, the act stated the purpose of the University was "to provide the means of acquiring a thorough knowledge of the various branches of learning connected with scientific, industrial, and professional pursuits." Norman was selected as the site for the University. Students were accepted for the first time in the fall of 1892, and the first two graduates of the University received the pharmaceutical chemist diploma in 1896.

At the turn of the Twentieth Century, the College of Medicine was founded as a two-year pre-clinical school. Ten years later in 1910, it was merged with the Epworth Medical College in Oklahoma City and became a four-year degree-granting school. In 1911, the first degree in medicine was awarded.

Under the direction of the College of Medicine, a two-year School of Nursing was organized in 1911. In 1913, the school graduated its first class and became a three-year diploma program. Future physicians and nurses trained primarily in the old Rolater Home and Hospital in Oklahoma City until 1919, when University Hospital was built. Oklahoma Children's Memorial Hospital was completed in 1928, and became the second state-owned University of Oklahoma hospital. Also, construction had begun on a new College of Medicine building, and by 1928, it was possible to centralize all of the College's pre-clinical and medical operations.

During the ensuing years, enrollment climbed steadily, a Graduate College was formed, and new health facilities were added to help meet the comprehensive health care needs of the State. The Veterans' Administration Hospital and the privately sponsored Oklahoma Medical Research Foundation were constructed. In 1957, the School of Nursing was authorized to confer baccalaureate nursing degrees.

In 1967, a School of Health, which was later renamed the College of Health, was established.

A dean was appointed for the College of Dentistry in 1969, and three years later the first class was accepted and began studies.

Established in 1972 as a branch program, the College of Medicine--Tulsa has enabled the University to use hospital training facilities in Tulsa, to establish additional medical residencies, and to provide for expanded health care capabilities in the State. Under this program, selected third- and fourth-year students receive their clinical training in the major Tulsa community hospitals.

In 1973, the Oklahoma Legislature provided for the creation of a Board of Trustees to operate and govern University Hospital and transferred Children's Memorial Hospital to the Department of Institutions, Social and Rehabilitative Services, now known as Department of Human Services. The name of the hospital was first changed to Oklahoma Children's Memorial Hospital, and later to Children's Hospital of Oklahoma.

In 1976, Medicine, Nursing, Health, Dentistry, and the Graduate Colleges were joined in Oklahoma City by the College of Pharmacy, the oldest academic unit at the University.

In 1980, the state legislature transferred the governance of the University Hospital to the Department of Human Services. The University Hospital was renamed the Oklahoma Memorial Hospital. Significant expansion of the hospital facilities was undertaken during the early 1980s, as it became the major component of the Oklahoma Medical Center complex.

In 1981, the College of Health was divided into two colleges; the College of Allied Health and the College of Public Health.

In 1993, in response to the changing health care environment and other factors, the state legislature transferred the teaching hospitals complex to a new governance structure and state agency, The University Hospitals Authority. In this transfer, the name of the adult hospital was restored to its historic title of University Hospital.

In 1997, the state legislature and the Governor approved the teaching hospitals and the University affiliating with a corporate entity in the health sciences center. The Supreme Court also approved this new arrangement. In February, 1998, the University Hospitals (University Hospital and Children's Hospital of Oklahoma) entered into a groundbreaking joint operating agreement with Columbia/HCA to manage the University Hospitals and Presbyterian Hospital located on the campus. At the same time, the University entered into an Academic Affiliation Agreement with Columbia/HCA to continue the support of the hospitals for the various teaching and patient care programs, primarily affecting the College of Medicine but involving all colleges at the center. The ~~three~~-hospitals ~~are~~were managed under the title of OU Medical Center, formerly University Health Partners, but each ~~retains~~retained its ~~own~~ unique identity and special characteristics.

On February 1, 2018, OU Medical Center, The Children's Hospital, and OU Medical Center-Edmond ended their contract with HCA to become a locally owned and -managed nonprofit organization, OU Medicine. The group of hospitals began working under the umbrella brand of OU Health in October of 2020 and were renamed OU Health University of Oklahoma Medical Center, Oklahoma Children's Hospital OU Health, and OU Health Edmond Medical Center. In partnership with the University, OU Health provides the state's only comprehensive academic health system of hospitals, clinics, and centers of excellence focused on delivering evidence-based healthcare. OU Health Physicians, the state's largest and most comprehensive physician practice, cares for OU Health patients, and the majority of providers conduct research and train future physicians as members of the University faculty. Oklahoma Children's Hospital OU Health, Oklahoma's only freestanding children's hospital, provides comprehensive pediatric healthcare to the state and the region. OU Health also includes the only National Cancer Institute (NCI)-Designated Cancer Center – OU Health Stephenson Cancer Center at the University of Oklahoma Health Sciences – and the state's only Level 1 trauma center for both adults and children.

1.2 HEALTH SCIENCES CENTER CAMPUSES

The University of Oklahoma Health Sciences Center is the State's major educational resource for training physicians, dentists, nurses, pharmacists, public health specialists, and a wide range of allied health personnel. The Center has a campus in Oklahoma City and offers programs at the University of Oklahoma--Tulsa campus. It is also instrumental in developing improved methods of health care delivery for Oklahoma.

At the Health Sciences Center, approximately 3,000 students are enrolled in the more than 50 graduate and undergraduate degree programs of the seven colleges: Allied Health, Dentistry, Graduate, Medicine, Nursing, Pharmacy, and Public Health. There are approximately 1,700 faculty and 4,200 staff at work at the Health Sciences Center. These figures do not include over 3,000 volunteer physicians and other health professionals.

Faculty and students at the Health Sciences Center use the clinical, laboratory, and teaching facilities of ~~the~~-OU Health University of Oklahoma Medical Center, OUMC and Surgery Center, OU Physicians Building, OU Oklahoma Children's Physicians Building, Hospital OU Health and clinics, OU Health Stephenson Cancer Center, and at the University of Oklahoma Health Sciences, and OU Health Harold Hamm Diabetes Center. ~~Also, students at the University of Oklahoma Health Sciences. Students also~~ use the facilities of ~~the~~-Veteran's Affairs Medical Center, ~~the~~-Dean A. McGee Eye Institute, ~~the~~ Oklahoma Medical Research Foundation, other affiliated institutions and hospitals in Oklahoma City, the major teaching hospitals in Tulsa, the Veterans Affairs ~~hospital~~Hospital in Muskogee, and various affiliated hospitals and clinics in other locations in Oklahoma.- The University of Oklahoma Health Sciences Center is one of a group of over 16 lead public and private health care and related institutions ~~which~~that make up the Oklahoma Health Center, including, but not limited to, the American Red Cross Central and Southwest Oklahoma County Chapter and Transplantation Services; Board of Medical Legal Investigation; Dean A. McGee Eye Institute; Department of Human Services; Oklahoma Allergy and Asthma Clinic; Sylvan N. Goldman Center Oklahoma Blood Institute; Oklahoma City Clinic; Oklahoma-Medical Research Foundation; Oklahoma School of Science and Mathematics; Oklahoma State Department of Mental Health and Substance Abuse Service; Oklahoma State Department of Health; Veterans Affairs Medical Center; Presbyterian Health Foundation; OU Health University of Oklahoma Medical Center, including Everett Tower; Oklahoma Children's Hospital, and Presbyterian Tower; and Children's Hospital Foundation. (OU Health; University Hospitals Trust); and numerous biotech and research organizations.

The Oklahoma Health Center operates under the basic philosophy that Oklahoma's growing healthcare needs can be met only through the combined efforts of its citizens, practicing health professionals, government, and the Health Sciences Center. Over 35,000 people representing institutional employees, students, patients, and visitors converge

on the Oklahoma Health Center daily, making it one of the Southwest's largest comprehensive academic health centers.

1.3 FACILITIES

The Basic Sciences Education Building, first in a series of construction projects aimed at helping meet the State's need for health care professionals, was completed in 1969 and substantially renovated in 2008. It provides teaching space for undergraduate, graduate, dental, and medical education. It is also used extensively for continuing education of practicing health professionals in Oklahoma.

Companion to the Basic Sciences Education Building, the 10-story Biomedical Sciences Building was completed in 1976. This structure contains 500 rooms, over half of which are used for research by faculty and graduate students. It provides space for the administrative offices of the College of Medicine and the five basic sciences departments of biochemistry and molecular biology, cell biology, microbiology and immunology, physiology, and pathology. The College of Medicine clinical faculty are housed in [the Peggy and CharlesOU Health Stephenson Cancer Center, at the University of Oklahoma Health Sciences, OU Health Harold Hamm Diabetes Center at the University of Oklahoma Health Sciences, OU Physicians'Physicians Building, OU Health Family Medicine Center, Williams Pavilion, OU College of Medicine Academic Office Tower \(Andrews Academic Tower\)\),](#) and other clinical facilities.

The College of Dentistry ~~Building~~[building](#) was completed in 1976. ~~The five-story~~ structure provides teaching, research, clinical practice, and office space. ~~Each of the five clover-shaped~~ clinics [in the College](#), which give the building its unique shape, contains 36 operatories where students provide patient treatment under faculty supervision. In 2015 extensive renovations to the building were done to modernize the operatories, clinical laboratories, and specialty clinics. Clinically-oriented research is conducted in special research operatories and laboratories located near faculty offices. [The College expanded in Spring 2022 to include a teaching and clinic site on the OU Tulsa Campus.](#)

The College of Public Health occupies the Health Sciences Center's original teaching structure. The original medical school facility, completed in 1928, was renamed the College of Health Building and was renovated substantially in 1981. [In September of 2018, the college was renamed OU Hudson College of Public Health. Space is also provided for the Office of Community Partnership and Health Policy.](#)

Construction of a three-story state-of-the-art College of Allied Health Building was completed in 2009. The Allied Health building contains classrooms and class laboratories; distance education and computer facilities, clinical and research space, ~~children's hearing impaired daycare center;~~ [Interprofessional Language Enrichment and Pre-Kindergarten Program \(iLeap\);](#) faculty, staff, and student offices; and building support spaces.

The College of Nursing Building on Stonewall Avenue was dedicated in 1977, and named the [OU Fran and Earl Ziegler College of Nursing](#) in 2015. ~~The four-story~~ building houses student activity space, teaching areas, and administrative and faculty offices. ~~Features of the building include a 184-seat lecture hall, a professional practice area with a nursing station and model patient rooms, a clinical practice space, and a computing area.~~ [The College also operates classroom and simulation spaces in Research Park.](#)

The College of Pharmacy, the University's oldest degree-granting college, moved its base of operations from the Norman campus to the Health Sciences Center in the Fall of 1976. The College moved into its newly completed facility, the Henry D. and Ida Mosier Pharmacy Building, in 1983.

The Robert M. Bird Health Sciences Library was dedicated in 1978. ~~In addition to library services, the building houses the Offices of the President, Senior Vice President and Provost, Legal Counsel, Alumni and Development, Graduate~~

~~College, the University Privacy Official, Institutional Review Board, Vice Provost for Academic Affairs, Academic Technology, Telemedicine, and Academic Media and Digital Services and Academic Affairs and Faculty Development.~~

The OUHSC Technology Center was acquired from the Oklahoma Medical Research Foundation in 1989. The ~~OUHSC~~ Technology Center provides the University with office support spaces. Information Technology occupies the majority of the building.

The Allied Health Practice Center, previously used as the Health Sciences Center's first Family Medicine Clinic, was renovated in 1997, and a technical facility was completed in the same year. These facilities ~~are~~will be used by the Oklahoma Assistive Technology Center and for instruction space in 2023.

~~The offices of Site Support, Operations, and OU Parking and Transportation are located in the Service Center Building. Some of these offices provide administrative support while others have the responsibility for the physical operation and maintenance of the campus.~~

The Family Medicine Center was completed in 1994, at a total project cost of \$7.6 million. This two-story facility contains roughly 72,000 gross square feet, including OU Health Physicians primary care out-patient clinics on the first floor and Department of Family and Preventive Medicine offices and educational facilities on the second floor. The building includes 68 treatment rooms in five clinic modules on the first floor and faculty and staff offices and a multi-media classroom on the second floor. A building addition in 2002 provided a new, modern classroom for Physician Associate Students.

The first two floors of the Student Center ~~was~~were completed in 1996 at a total project cost of \$4 million and contained 26,900 gross square feet, including food service, meeting rooms, and Student Association offices on the first floor and conference and study rooms, and computer facilities on the second floor. A third floor ~~story~~ addition, containing an additional 12,000 gross square feet, was completed in 2002 at a construction cost of \$2.7 million. The third floor consolidates campus student support services, including offices for Student Services, Financial Aid, and the Bursar. Also, ~~available~~ on the third floor is the David L. Boren Lounge, an area to allow for student study and socialization. In 2004, the Student Center was renamed the David L. Boren Student Union.

The Stanton L. Young Biomedical Research Center (BRC North) was completed in 1997 at a total project cost of \$21.5 million. This four-story structure includes 105,300 gross square feet. On the first floor, there are conference and seminar rooms, a bio-safety level-3 core laboratory, and building support spaces. The second, third, and fourth floors include research laboratory neighborhoods, each with eight research laboratories, principal investigator offices, and lab support spaces. In 2005, the second phase of the Stanton L. Young Biomedical Research Center (BRC West) was completed, adding 122,000 square feet of research space, targeted primarily for strategic research plan priority initiatives. The BRC West houses ~~building management offices and several of~~ the campus core facilities. ~~The Johnnie Crutchfield Research Laboratory located on the first floor contains two~~three divisions of the OUHSC ~~Laboratory for Molecular Biology and Cytometry~~Institutional Research (LMBCR) core facilities; Core Facility: the division of DNA sequencing/Genomics ~~and, the Mass Spectrometry/Proteomics divisions, and the Metabolomics division.~~ The other divisions of the IRCF include the Flow and Image Cytometry division of the LMBCR core facility is, located on the third floor ~~of BRC West; the Biosafety Level 3 lab on the first floor of BRC North; and the Macromolecular Crystallography on the fourth floor of BRC North.~~

Acquired in 2009, the Harold Hamm Diabetes Center at the University of Oklahoma serves as a catalyst for eradicating the diabetes epidemic through cutting-edge research focused on progress toward a cure for diabetes and its complications, dramatically improved patient care for those suffering from the disease, and programs aimed at preventing people from developing diabetes before it starts. ~~HHDC has~~OU Health manages the adult and pediatric clinical care at facilities in Oklahoma City and Tulsa, as well as at affiliated sites across the state.

Also acquired in 2009, the University Health Club is a premier health and fitness ~~facilities~~facility that occupies 80,000 square feet of space, incorporating the latest technological advancements in fitness and wellness. The University Health Club is open to OUHSC students, faculty, staff, and the public. The mission of the ~~University of Oklahoma Health Sciences Center~~ University Health Club is to provide the best possible experience for the students, faculty, staff, and community members to achieve their optimal health, improve physical and mental performance, and enhance their lifestyles. The Health Club is located on the University of Oklahoma Health Sciences Center campus,

on the southwest corner of 8th Street and Lincoln Blvd. There is also another location at the University Research Park ~~which~~that occupies 6,500 square feet of space.

A new comprehensive ambulatory care facility for the medical faculty practice, the OU Physicians Building, was opened in November 2001. This five-story facility contains 192,000 gross square feet. The building was designed primarily from a patient perspective and offers many modern conveniences for ease of access. This was the culmination of a plan to bring together most of the medical and surgical specialties and subspecialties outpatient practices in one building. Laboratories and complete radiological services occupy the first floor. The second through fifth floors accommodate all patient examination and care services of the various specialties and subspecialties. The building also houses the OU Health Breast Institute~~Health Network-Central clinic~~.

The ~~Peggy and Charles~~ Stephenson Cancer Center opened in 2011, and is Oklahoma's only comprehensive academic National Cancer Institute-designated cancer center. This seven-story facility contains 213,000 gross square feet. Incorporating a design that promotes multidisciplinary and patient-centered care, the \$128 million building provides Oklahomans with a world-class diagnostic and treatment facility with the latest technology available in an environment of research and education.

The University of Oklahoma Health Sciences Center acquired the PHF Research Park in 2013, renaming it University Research Park. A valuable asset at the Oklahoma Health Center, ~~the University Research Park (formerly the PHF Research Park)~~ is a growing venture that contains seven biotechnology research buildings that support more than 50 private companies, private-public initiatives, and many University activities. ~~The~~ Research Park will continue to be one of Oklahoma's major engines for economic growth and resources for learning, discovery, and innovation in today's knowledge-based, technologically driven, global society.

The OU College of Medicine Academic Office Tower (Andrews Academic Tower) ~~is~~, a nine-story building completed in late 2016, is ~~the new~~ home to several academic departments and administrative offices of the ~~OU~~ College of Medicine.

~~The~~ offices of the departments of Medicine, Surgery, Obstetrics and Gynecology, Orthopedic Surgery and Rehabilitation, and Otorhinolaryngology-Head and Neck Surgery are all housed in the new building. The Dean's Office staff ~~also will relocate, as will the College of Medicine's Admissions Office,~~ and the Office of Continuing Professional Development. ~~The staff of College of Medicine Student Services also will have a presence~~ are also located in the building.

The University of Oklahoma Health Sciences Center's purchase of the OU Health Partners Building (formerly Oklahoma City Clinic) was completed in 2016. The clinical building contains 147,439 ~~SF~~square feet to include a 13,700 ~~SF~~square feet surgery center on four acres ~~which are~~, strategically located in the central core center of the OUHSC Campus~~campus~~.

The Schusterman Center, University of Oklahoma-Tulsa Campus~~campus~~, was acquired in 1999. The campus is a 60-acre site with 16 buildings and ~~378,343~~343,000 gross square feet. The Schusterman Center campus houses academic and research programs ~~based in Tulsa, and some~~ from the Norman and the Oklahoma City campuses. Current OU Health Sciences Center professional and graduate programs offered in Tulsa are the Colleges of Allied Health, Medicine, Nursing, and Public Health. The Tandy Education Center, containing an additional 16,000 gross square feet, was added in 2016 ~~will feature,~~ featuring the latest advances in medical simulation, and a training and feedback method in which students practice in lifelike circumstances using models or virtual reality. It includes exam rooms, inpatient intensive care unit/emergency rooms, interview consultation rooms, ~~and~~ one apartment model for in-home situations, debriefing rooms, and a multipurpose training room with separate area for training standardized patients.

In 2005, the 62,000 gross square feet Hillcrest Family Medicine Center was constructed. In 2007, the OU Physicians-Tulsa Research and Medical Schusterman Center Clinic was completed on the Schusterman Center OU-Tulsa campus. The 100,000 gross square feet clinical facility houses a variety of clinical services, ~~including the clinics previously located at the Sheridan campus.~~ Additional clinical facilities, including University clinics and private hospitals, are located throughout the City of Tulsa.

OU Physicians Wayman Tisdale Specialty Health Clinic opened in 2013. Located at 36th Street North and Hartford Ave~~Avenue~~, in Tulsa, the clinic, was named in memory of the late OU and NBA basketball star, Olympic gold medalist, and musician Wayman Tisdale. It was built in response to a study showing a considerable lower life expectancy rate in north Tulsa compared to south Tulsa. ~~Today, 17 health care specialties are offered at the Tisdale~~

~~Clinic. Specialties include: adult endocrinology, pulmonology, neurology, nephrology, psychiatry, pediatric psychiatry, pediatric cardiology, pediatric nephrology, pediatric gastroenterology, internal medicine/pediatrics, pain addiction, sports medicine, pediatric infectious disease, adolescent medicine, pediatric behavior specialist, pediatric development specialist and pediatric endocrinology.~~

One of the most important ~~benefit~~benefits of the clinic is ~~it has given~~the access it provides to ~~these~~primary care and specialty health services for the residents ~~residing~~ in north Tulsa and surrounding communities.

2. UNIVERSITY GOVERNMENT AND ADMINISTRATION

2.1 OKLAHOMA STATE REGENTS FOR HIGHER EDUCATION

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

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

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

2.2 UNIVERSITY OF OKLAHOMA BOARD OF REGENTS

By constitutional enactment, the governance of the University is vested in the Board of Regents of the University of Oklahoma. The Board is composed of seven members appointed by the Governor with the advice and consent of the Oklahoma Senate. Each member is appointed to serve for seven years, unless appointed to fill an unexpired term. Meetings are held approximately ~~ten~~five times per year and are open to the public. The ~~Vice President for University Governance and Executive~~ Secretary of the University reports to the Board. The powers and duties of the Board are set out in Article XIII, Section 8, *Constitution of Oklahoma*; Title 70, Section 3301, *Oklahoma Statutes*.

2.3 ADMINISTRATIVE ORGANIZATION

The administrative organization of the University exists for the purposes of providing leadership and facilitating the academic programs. Fulfillment of these ends can best be achieved in an atmosphere of shared governance, mutual planning and implementation of decisions, and the recognition and encouragement of contributions of members of the University community. An organizational chart for the Health Sciences Center is available at www.ouhsc.edu/Provost.

2.3.1 President

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

The University officers who report to the President include the Senior Vice President and Provost, Norman Campus; Senior Vice President and Provost, Health Sciences Center; the ~~Vice Senior Vice President and Chief Financial Officer; the Vice Presidents for Executive Affairs, Administration and Finance and Chief of Staff, Campus Operations, Diversity Equity, and Inclusion and Chief Diversity Officer, Enrollment Management, Human Resources and Chief Human Resources Officer, Intercollegiate Athletics Programs and Director of Athletics, Online Learning, Research, Development, Technology Development, and Partnerships, , and Student Affairs, and Public Affairs; the Vice President and General Counsel; the Director of State and Legislative Affairs; the University Equal Opportunity Chief Government Affairs Officer; Chief Strategy Officer; the Institutional Equity and Title IX Officer; the Vice President for University Governance and Secretary of the University; the Internal Auditor; Director of Athletics, Officer; Chief Communications Officer;; the Chief Audit Executive; and the Vice-President of OU-Tulsa.~~

(President, 9-28-83, 7-20-95, 8-3-98, 3-29-00, 1-24-12)

2.3.2 Acting President

In the temporary absence of the President, the following officers are authorized to serve as Acting President of the University in the order listed:

Senior Vice President and Provost, Norman Campus
 Senior Vice President and Provost, Health Sciences Center
~~Senior Vice President and Chief Financial Officer~~
 Vice President and General Counsel
~~Vice President for Administration and Finance, Norman Campus~~
~~Vice President for Development~~
~~Vice President for Administration and Finance, Health Sciences Center~~
~~Vice President for Student of Executive Affairs~~

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

In the event the President ~~of the University resigns, is shall resign, be~~ incapacitated, ~~is be~~ on an extended leave of absence, or otherwise ~~is be~~ unable to perform the duties ~~of President~~ for a period in excess of 30 days, an Acting or Interim President shall be designated by the Board of Regents.

~~The Acting or Interim President shall have all powers, duties, and responsibilities normally held by the President of the University.~~ Until such time as such Acting or Interim President is designated, the above order of succession shall be applicable.

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

2.3.3 Senior Vice President and Provost, Health Sciences Center

The Senior Vice President and Provost of the Health Sciences Center is responsible to the President as the chief executive officer for this campus: and its programs. As the chief academic and administrative officer, the Senior Vice President and Provost is the ranking officer of the University on this campus. The Senior Vice President and Provost is responsible for the complete administration including the academic programs, strategic planning and budgeting, policies and procedures, the employment of faculty and staff, and research administration.

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

The ~~Deans' Council Leadership Committee~~ is composed of the deans, the principal staff, and the Senior Vice President and Provost, who serves as Chair. ~~The Council~~ The Senior Vice President and Provost may appoint other campus leaders as appropriate. The Leadership Committee meets periodically to discuss common interests and to make recommendations as appropriate.

(President, 7-21-81, 8-1-92, 12-3-02)

2.3.4 Vice President for Administration and Finance, Health Sciences Center

~~The Vice President for Administration and Finance is responsible for leading 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 University's financial planning, and providing strategic management of accounting and finance functions, record-keeping and directing the activities of the Controller financial reporting. Areas of oversight are Budget and Financial Planning, Bursar Services, Enterprise Risk Management, Financial Services/Controller, Human Resources, Police Information Technology, Payroll and Public Safety, Operations, Facilities Management, Budget, Purchasing, Faculty House Employee Services, Research Financial Services, and Parking and Transportation Shared Business Services Center.~~

(Vice President for Administrative Affairs, 8-17-98, 12-3-02)

2.3.5 Vice President for Research, Health Sciences Center

The Vice President for Research is responsible for the development and/or dissemination of official policies in the research and creative activity ~~area~~ areas. 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 works in conjunction with~~ oversees the ~~Vice President for~~ Office of Technology Commercialization to promote and facilitate the development of commercializable commercialization intellectual property relating to health care. The Vice President for Research also has responsibility for and oversight of the Core Laboratory Services, Research Informatics Applications, Office of Export Controls, Division of Comparative Medicine, Office of Research Administration, Laboratory Office of Human Research Participant Protection (HRPP), Institutional Animal Resources, Care and Use Committee (IACUC), and the Institutional Biosafety Review Committee- (IBC).

(Vice President for Research, 8-17-98, 12-3-02)

2.3.6 Vice President, OU Tulsa

The Vice President, OU Tulsa, is a senior leader for the University of Oklahoma –Tulsa

~~The President of The~~ who reports to the University of Oklahoma –Tulsa is the chief executive officer of the University of Oklahoma –President and is a member of the President's team of Executive Officer. The Vice President, OU Tulsa, leads initiatives for OU-Tulsa that build an execute brand; strengthens marketing and communications; fosters strategic partnerships; and expands relationships with policy makers, industry leaders, influencers, and stakeholders. While all issues regarding academics and research on the OU Tulsa campus. The Tulsa are within the sole authority of the appropriate Senior Vice President is responsible to and Provost, the Vice President of, OU and coordinates Tulsa, collaborates with the Provosts of the Norman and the Health Sciences Center campuses and their designated ~~staffs~~ staff members in ~~developing and administering~~ supporting and furthering the missions and priorities of the Norman and HSC academic and research 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 working relationships with Tulsa's high growth businesses. represented at OU Tulsa.

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

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

At the time of appointment to the position of Interim President, Interim Senior Vice President and Provost, Interim Vice President, or Interim Academic Dean, it will be stated whether or not the appointee is a candidate for the permanent position.

(Regents, 1-20-86, 3-21-95, 12-3-02, 12-2-03)

2.4 FACULTY SENATE, HEALTH SCIENCES CENTER

The Faculty Senate, at the Health Sciences Center, is composed of members of the RegularGeneral Faculty of the University of Oklahoma Health Sciences Center. Each college on the campus is represented in the Senate according to a formula defined in the Charter of the RegularGeneral Faculty and Faculty Senate. Election of members Representatives of the Faculty Senate shall be elected by and from each College of the Health Sciences Center. They shall be elected for a three-- (3) year terms is by vote of the Regular Faculty of each college term.

The Senate exercises the powers of the General faculty of the Health Sciences Center as delegated by the RegularGeneral Faculty. ~~It has the power to initiate any legislation requiring approval of the Board of Regents.~~ (see Appendix A).

(Derived from the *Charter of the Regular Faculty and the Faculty Senate, Health Sciences Center*)

2.5 STUDENT GOVERNMENT GROUPS

Each of the seven health professional colleges has one or more

2.5 STUDENT GOVERNMENT ASSOCIATION & STUDENT ORGANIZATIONS

~~Every enrolled Health Sciences Center (HSC) program student organizations, each of which is governed by a student council. Student organizations vary by college and is delineated in each organization's constitution. Each organization receives a portion of the student activities fees of the students it represents to use for various student activities and benefits.~~

~~The OUHSC member of the HSC Student Government Association (HSC SGA) and is encouraged to participate in campus programming and engagement designed for a comprehensive academic health center. The HSC SGA is comprised/composed of an Executive Board, Executive Council, and Student Senate. Executive Board members are annually elected by the HSC Student Senate in April. Legislative powers of the OUHSC/HSC Student Government Association shall be vested in the HSC Student Senate. Representation to the OUHSC/HSC Student Government Association Student Senate is on a basis of one voting member per 100 students enrolled, with each college's constituency guaranteed at least three voting members to ensure the student voice in the campus community. The OUHSC Student Government Association HSC SGA receives 10 percent of the student activity fee funding for disbursement to student organizations who/that are recognized by the University through registration and affiliation via HSC & OU-Tulsa Student Affairs. The activities of Registered Student Organizations are not sponsored or endorsed by OUHSC/the University.~~

~~Each of the seven health professions colleges has one or more student-led organizations, which are supported by a college's student council/association. Academic and student organizations vary by college and are delineated in each organization's constitution. Each Registered Student Organization can apply for a portion of the student activity fees from the students it represents to use for various student activities and benefits.~~

~~HSC program students geographically assigned to OU-Tulsa can participate in OU-Tulsa Student Government Association (OUTSA). Faculty and staff members can serve as advisers to registered student organizations with support from HSC & OU-Tulsa Student Affairs~~

2.6 STAFF SENATES

The Health Sciences Center Staff Senate was organized to serve as a representative body for the staff of the Health Sciences Center. The Tulsa Staff Senate was organized to serve the same purpose for staff on the Tulsa Campus. The Senates shall function for the welfare of the University and for the staff they represent. Each shall function as an advisory body and policy referral body to the President through the Senior Vice President and Provost on policy matters as may directly affect staff.

(Constitution and By-Laws of the Staff Senate, Health Sciences Center, approved by the Regents, 1974, 5-8-80; President 12-7-95, 12-05; Tulsa Campus 3-29-07)

2.7 COUNCILS AND COMMITTEES

2.7.1 Introduction

An effectively organized system of councils and committees is essential to the operation of the University. Councils and committees serve a variety of functions which contribute to the achievement of the goals of the University. Councils and Committees:

- (a) keep the several elements of the University informed of the conditions, policies, and decisions ~~which~~that affect their responsibilities and welfare.
- (b) are a means of marshalling the wide range of knowledge and expertise on all subjects available to the University ~~so that it can~~to contribute to decision-making.
- (c) provide a liaison between officers of the University and other areas of the University, especially the faculty. Through consultation, policy review, and exploration of disagreements, a sound operating relationship can be maintained among all members of the University community.

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

To achieve full effectiveness, councils and committees must be:

- (a) ~~Representative~~representative of the groups appropriate to their particular functions;
- (b) ~~Consulted~~consulted regularly on a schedule that allows time for participation;
- (c) ~~Afforded~~afforded full and immediate access to the information relevant to their interest;
- (d) ~~Able~~able to exercise initiative and review actions as well as respond to proposals put before them; and
- (e) ~~Provided~~provided benefit of a formal response from the appropriate academic and administrative offices to proposed recommendations or actions.

All councils and committees are given clearly stated charges in writing, and they are asked to make periodic reports to their constituent bodies. All appointments to University councils and committees by the Faculty Senate are direct appointments and are forwarded to the President for official notification.

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

2.7.2 Councils

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

Athletics Council (University)
 Council on Faculty Awards and Honors (University)
 Continuing Education Council (University)
~~Publications Board (University)~~

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

Academic Programs Council
 Research Council

These councils operate according to the following guidelines:

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

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

2.7.3 Standing Committees

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

The membership of a standing committee varies with its function, but faculty participation is desired on all standing committees. The terms of membership are stated when a committee is established. Membership selection and appointment to the following standing committees are made by the President. These standing committees include:

~~_____~~ Campus Tenure Committee, HSC
~~_____~~ Commencement Committee
~~_____~~ Committee on Discrimination and Harassment, HSC
~~_____~~ Employment Benefits Committee
 Faculty Appeals Board, HSC
 Honorary Degrees Screening Committee
 Library Advisory Committee, HSC
 Presidential Professorship Selection Committee, HSC
 Retirement Plans Management Committee
 Scholars Selection Committee
~~University~~ Copyright Committee
~~Patent Advisory~~ Committee

2.7.4 Other University Committees

- (a) **Administrative Advisory Committees.** Officers of the University are authorized to establish special advisory committees for subjects not covered by the Council or Standing Committee structure, so long as they do not duplicate the work of the councils and standing committees. These committees are composed of members selected in a way determined by the establishing official. The number and purposes of these committees are regularly reviewed by the President and as appropriate, the Faculty Senate.
- (b) **Task Forces.** A task force is an *ad hoc* committee designed to accomplish a specific written charge. Members of the task force are selected by the appointing body or officer. Dissolution occurs when the task is completed or at the discretion of the appointing body or officer.
- (c) **Designated Scholarship Committees.** These committee members are appointed by the President.

~~For more information refer to Structure of University Councils, Committees and Boards, and Charters, Appointed by the President of the University available from the Office of the President.~~

2.7.5 Attendance Requirements for ~~Faculty~~ Members of a University Council or Committee

Except as otherwise provided by Regents' policy, each faculty, staff, and student member is permitted to miss only three regularly scheduled meetings of a University council, committee, or board during an academic year. Absence at more than three regularly scheduled meetings is grounds for removing faculty, staff, or student member from a University council, committee, or board at the discretion of the chair.

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

2.7.6 Resignation of Faculty Members from Council and Committee Membership During Leaves of Absence

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

2.7.7 Administrative Search Committees

The selection of the President and other administrators is the responsibility of the Board of Regents, and any process leading to that selection is the prerogative of the particular Board in office at the time the selection process is to be initiated. It is suggested that administrative search committees make nominations and recommendations concerning candidates and that the President of the University and the University Regents be guided by them in most instances, but it is understood that the President and the 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 2.3.7](#)). 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, student(s), and staff. The Board of Regents appoints these members from nominees selected by the official faculty, staff, and student governance organizations on each campus. Faculty members shall constitute a majority of search committee members chosen from the faculty, staff, and students.

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

(b) Senior Vice President and Provosts, Vice Presidents, and Vice Provosts

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

(c) Deans

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

(Regents, 5-12-83, 3-21-95, 3-29-00, 12-2-03)

2.8 COLLEGE AND DEPARTMENTAL ORGANIZATION

2.8.1 College Administration

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 2.7.7(c)), and serves at the discretion of the Senior Vice President and Provost.

- (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 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 apprises 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 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 F and G).

- (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, the staff, students, and appropriate external constituencies of the college.
- (e) **Vacancy.** Whenever a vacancy occurs in the 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 2.3.7).

- (f) **Termination.** The Senior Vice President and Provost 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, 12-3-02, 6-25-08)

2.8.2 Departmental Administration

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, 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 department chair serves at the discretion of the Dean. 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 typically 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 regular faculty of the College.
 - 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) 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 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, as well as the Senior Vice President and Provost, to obtain advice on an appropriate candidate for the interim chair.
- 7) **Termination.** A dean may decide to remove a chair if it is determined to be in the best interest of the department, the college, and the University. The dean shall confer with the Senior Vice President and Provost, and shall inform the faculty of such a decision.

(Regents, 1-26-99, 12-3-02, 6-25-08)

3. FACULTY PERSONNEL POLICIES AND GENERAL INFORMATION

FACULTY PERSONNEL POLICY

It is the policy of the University to recognize and implement the functions assigned to it by the Oklahoma State Regents for Higher Education. These functions are teaching, research and creative/scholarly activity, and professional and University service and public outreach. The responsibility for carrying out this policy is shared by the Board of Regents, administrative officers, and General Faculty. The University recognizes the specific involvement of the faculty in the performance of these functions and, to this end, is committed to fostering a superior faculty.

Since 1942, the Regular Faculty has actively participated in the organization, formulation, and implementation of University policies through a democratically elected Faculty Senate. Today, there are two Faculty Senates, one for the Health Sciences Center and one for the Norman Campus. The charters of these two Faculty Senates can be found in the Appendices of the respective campus' Faculty Handbook.

(Regents, 1-26-99, 12-3-02)

3.1 ~~THE GENERAL AND REGULAR FACULTY~~ FACULTY APPOINTMENTS AND INFORMATION

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 who hold tenured, tenure track, or consecutive term appointments with the unmodified academic titles of assistant professor, associate professor, or professor. Regular Faculty may be paid all or in part by an approved external entity such as OU Health (OUH)/OU Health Partners, Inc., (OUHPI), the Veterans Affairs Medical Center, (VAMC), or the Oklahoma Medical Research Foundation. (OMRF).~~

Faculty appointment types may be tenured, tenure track, consecutive term, limited term, or volunteer (see [Sections 3.2.1.1 – 3.1.6](#)). The type of appointment will be determined by the primary academic unit in consultation with the appointee and with the approval of the dean, the Senior Vice President and Provost, and if required, the President, and if required and, Board of Regents. The appointment must indicate the primary academic unit to which the faculty member is appointed.

For purposes of this Section 3, full-time FTE equivalent shall include those faculty whose combined OUHSC and approved external entity appointments total 1.0, as well as those faculty who hold a 1.0 FTE at OUH/OUHPI and with an academic appointment at OUHSC but without an assigned FTE or remuneration. Dually-appointed faculty hired on or after January 1, 2023, may hold a consecutive term, tenure track, or limited term appointment, at the discretion of the department and college and subject to the proscribed appointment approval processes.

Faculty at the Health Sciences Center are appointed on a 12-, 10-, or 9-month basis. An appointment is not a promise or guarantee to faculty of employment for or through any particular period of time. Continued employment and/or renewal are contingent upon various factors, such as a faculty member's satisfactory performance and/or the academic unit's needs. Termination of employment may become effective at any time, subject to notification requirements in [Section 3.2.7](#).

~~Dual employees/appointees are members of the General Faculty and may also be considered full time, Regular Faculty, as more fully described in Section 3.2 below.~~

~~Dual employees, dually employed, and dual employment shall mean those faculty who hold a paid academic appointment at HSC.~~

~~Dual appointees, dually appointed, or dual appointment shall mean those faculty who hold an unpaid (0.0 FTE) academic appointment at HSC.~~

~~References to "dual employee/appointee," "dually employed/appointed," or "dual employment/appointment" shall apply to both paid and unpaid members of the General Faculty.~~

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

3.2 FACULTY APPOINTMENT TYPES

~~Faculty appointment types may be tenured, tenure track, consecutive term, limited term, or volunteer (see Section 3.2.4). The type of appointment will be determined by the primary academic unit in consultation with the appointee and with the approval of the dean, the Senior Vice President and Provost, the President, and if required, Board of Regents. The appointment must indicate the primary academic unit to which the faculty member is appointed.~~

~~For purposes of this Section 3, full-time FTE equivalent shall include those faculty whose combined HSC and approved external entity appointments total 1.0, as well as those faculty who hold a 1.0 FTE at OUH/OUHPI and an academic appointment at HSC without an assigned FTE or remuneration. Dually-appointed faculty hired on or after January 1, 2022, may hold a consecutive term, tenure track, or limited term appointment, at the discretion of the department and college and subject to the proscribed appointment approval processes.~~

~~Faculty at the Health Sciences Center are appointed on a 12-, 10-, or 9-month basis. An appointment is not a promise or guarantee to faculty of employment for or through any particular period of time. Continued employment and/or renewal are contingent upon various factors, such as a faculty member's satisfactory performance and/or the academic unit's needs. Termination of employment may become effective at any time, subject to notification requirements in Section 3.2.7.~~

3.1.1 Regular Faculty

A subset of the General Faculty is Regular Faculty. The Regular Faculty is composed of all full-time faculty with unmodified academic titles (assistant professor, associate professor, and professor) and shall be limited to those who hold tenured, tenure track, or consecutive term appointments who devote their full-time professional effort to University activities, including through dual employment/appointment at approved external entities. with the unmodified academic titles of assistant professor, associate professor, or professor. Regular Faculty may be paid all or in part by an approved external entity such as OU Health (OUH)/OU Health Partners, Inc., (OUHPI), the Veterans Affairs Medical Center, (VAMC), or the Oklahoma Medical Research Foundation, (OMRF) (see, Section 3.1.3) or other University approved sources.

(a) Tenured appointments are automatically renewed.

~~(a)~~(b) Tenure track appointments are automatically renewed for the next fiscal year unless notification of non-renewal or termination is given in accordance with Section 3.2.73.

~~(b)~~(c) Consecutive term appointments are not tenure-track. Consecutive term appointments are automatically renewed for the next fiscal year unless notification of non-renewal or termination is given in accordance with Section 3.2.73.

3.1.2 Limited Term Faculty

Another subset of the General Faculty is Limited Term Faculty. (b) Limited Term Faculty may be full-time or part-time and shall have academic titles such as instructor or lecturer, or associate, or titles modified by prefixes such as visiting, adjunct, instructional, or clinical. ~~In the instance of limited term research appointments, the suffix "of Research" (see 1 below) shall be used.~~

Limited term Faculty may be paid all or in part by an approved external entity such as OU Health (OUH)/OU Health Partners, Inc. (OUHPI), the Veterans Affairs Medical Center (VAMC), or the Oklahoma Medical Research Foundation (OMRF) (see, Section 3.1.3) or other University approved sources.

- a) **Research** – Faculty holding limited term research appointments typically have titles of assistant professor of research, associate professor of research, or professor of research.
- b) **Other** –
 - i) Instructor and associate faculty titles are intended to designate a rank below that of assistant professors.
 - ii) The title of lecturer can be used for individuals of academic achievement and standing comparable to any academic rank, including assistant professor, associate professor, and professor, regardless of rank.

Limited term appointments are not Regular Faculty appointments. Changes in Limited Term appointments can be requested in accordance with Section 3.2.2. Limited term appointments may not be changed to Regular Faculty appointments until all Affirmative Action requirements have been completed (i.e., national search, appropriate advertisements) unless a waiver has been approved by the Senior Vice President and Provost and the Equal Opportunity Office.

Individuals serving in limited term appointments serve at the discretion of the chair with concurrence by the dean. Limited term appointments can be terminated during the academic year with no less than 60 days written notice. An exception to the 60-day written notice requirement may be made by the dean 1) for faculty hired primarily to spend their time in clinical practice or practice-related activities, where termination is recommended due to poor clinical performance, unprofessional behavior, or conduct that jeopardizes patient safety, as well as 2) for dual employees/appointees who no longer hold an appointment with OU Health or the approved external entity, or 3) for faculty who have admitted to, or have been found by the Deciding Official to be responsible for, violations of the University's Ethics in Research Policy, where the Deciding Official determined that termination is an appropriate sanction. In such cases, termination may be effective immediately.

Limited term faculty are not permitted to appeal termination to the Faculty Appeals Board.

3.1.3 Dually-Employed/Appointed Faculty

Dually-employed/appointed faculty are in paid or unpaid regular or limited term faculty appointments as defined below. Unless specified otherwise in the Proposed Terms of Faculty Appointment or Official Offer of Faculty Appointment Letter from the University, as many of the academic duties of dually-employed/appointed faculty occur in the hospital or clinical setting, dually-employed/appointed faculty members are required to maintain an employment relationship with the approved external entity, as a condition of their continued University appointment.

- a) Dual employees/appointees are members of the General Faculty and may also be considered full-time, Regular Faculty, as more fully described in Section 3.2 below.
- b) Dual employees, dually-employed, and dual employment shall mean those faculty who hold a paid academic appointment at OUHSC and a paid clinical position with OUHPI.
- c) Dual appointees, dually-appointed, or dual appointment shall mean those faculty who hold an unpaid (0.0 FTE) academic appointment at OUHSC.

References to “dual employee/appointee,” “dually-employed/appointed,” or “dual employment/appointment” shall apply to both paid and unpaid members of the General Faculty.

Dually-Employed/Appointed Faculty—These faculty in paid or unpaid faculty appointments may have the following titles:

- a) 1) Regular Faculty Appointments - Assistant Professor, Associate Professor, and Professor
- B) 2) Limited Term Faculty Appointments - Instructor, Clinical Instructor, Clinical Assistant Professor, Clinical Associate Professor, Clinical Professor, Instructional Assistant Professor, Instructional Associate Professor, and Instructional Professor or similar, as approved by the Senior Vice President and Provost.

3.1.4 Volunteer Faculty

- ~~(d) Volunteer Faculty~~—Another subset of the General Faculty is Limited Term Faculty. Volunteer faculty serve without remuneration and shall be given the same modified academic titles as limited term faculty. The title of preceptor may also be used for volunteer faculty.

Volunteer positions faculty must receive an Official Offer of Volunteer Faculty Appointment Letter, as approved by the Office of the Senior Vice President and Provost. The letter must outline the terms of the individual's responsibilities and conditions pertaining to the appointment. All volunteer faculty appointments and must be entered into the University's appointment system. Volunteer faculty must take required University training.

(Regents, 1-26-99, 12-3-02, 6-25-08, 12-7-12, 9-14-17, 3-9-22)

3.1.5 Emeritus Faculty

- ~~(e)~~ The Emeritus title is granted only by the Board of Regents upon recommendation by the President of the University. The President may recommend that the title "Professor Emeritus" be granted upon the retirement of regular faculty members when so proposed by their chair and dean. 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 Emeritus be added to the limited term, dual employee/appointee, or volunteer faculty title upon the retirement of limited term, dual employee/appointee, or volunteer faculty when proposed by their chair, dean, and the Senior Vice President and Provost.

The Board of Regents may grant the title "Emeritus" to former executive officers and deans/academic officers upon retirement or resignation from the position.

Emeritus faculty with continued access to University resources must take required University training.

(President, 9-10-85, Regents 12-7-12, 9-14-17)
(Regents, 1-26-99, 12-3-02, 12-7-12, 3-9-22)
(Regents, 1-26-99, 12-3-02, 6-25-08, 12-7-12, 9-14-17, 3-9-22)

3.1.6 Health Professions Educators

Health Profession Educators (HPEs) are considered academic employees who serve in a limited and temporary capacity as an instructor. They are not eligible for benefits or any type of paid leave. Their only academic title is Health Professions Educator and they are not considered part of the General Faculty. HPEs serve in appointments at the discretion of the chair with concurrence of the dean. HPE appointments can be terminated at any time upon written notice to the HPE. HPEs are not permitted to appeal termination to the Faculty Appeals Board.

HPE appointees must be provided an Official Offer of HPE appointment letter, as approved by the Office of the Senior Vice President and Provost. The letter must outline the terms of the individual's responsibilities and conditions pertaining to the appointment. All HPE appointments and must be entered into the University's appointment system.

3.2.1 Tenured, Tenure Track, Consecutive Term, and Limited Term Appointments

~~(c)(d)~~ — Full-time tenured, tenure track, or consecutive term appointments are Regular Faculty appointments.

~~(d)(e)~~ Limited term appointments are not Regular Faculty appointments:

~~1) Limited term appointments may not be changed to Regular Faculty appointments until all Affirmative Action requirements have been completed (i.e., national search, appropriate advertisements) unless a waiver has been approved by the Senior Vice President and Provost and the Equal Opportunity Office.~~

~~2)1) Internal candidates applying for open Regular Faculty positions must meet the promotion and advancement criteria stated in Section 3.9.~~

~~3)1) Individuals serving in limited term appointments serve at the discretion of the chair with concurrence by the dean.~~

- ~~• Limited term appointments can be terminated during the academic year with no less than 60 days written notice. An exception to the 60 day written notice requirement may be made by the dean for faculty hired primarily to spend their time in clinical practice or practice related activities, where termination is recommended due to poor clinical performance, unprofessional behavior, or conduct that jeopardizes patient safety, as well as for dual employees/appointees who no longer hold an appointment with OU Health or the approved external entity. In such cases, termination may be effective immediately.~~

- ~~• Limited term faculty are not permitted to appeal termination to the Faculty Appeals Board.~~

(Regents, 7-15-96, 1-26-99, 12-3-02, 6-25-08, 12-7-12, 9-14-17)

3.21.72 Part-Time Appointments

A part-time appointment is one at less than 1.0 Full-Time Equivalent (FTE) (including dual employment/appointments with a combined FTE of less than 1.0), and has a modified title. It is considered limited term (see 3.2.1.42(d)).

~~At the time ofIn advance of offering~~ any part-time appointment, the ~~academic unit faculty member~~ and the ~~faculty member academic unit~~ must reach a clear understanding of the terms of the part-time appointment. This understanding shall be in writing and the faculty member shall be given a copy. For new part-time faculty appointments, the terms of the appointment should be included in a Proposed Terms of Faculty Appointment letter. For a modification of a current faculty appointment, the terms should be included in a Faculty Appointment Change Memo (see 3.2.1 and 3.2.2).

(Regents, 7-15-96, 12-3-02, 12-7-12, 9-14-17, 3-9-22)

3.21.38 Primary, Joint, and Secondary Appointments

~~(a)~~ **Primary Appointment** – A faculty member must have a primary appointment in an academic unit of a college, usually called a department. A primary appointment must be in an academic unit only, not in a Center or Institute or similar entity. For new primary appointment, the terms of the appointment must be included in a Proposed Terms of Faculty Appointment letter. For a modification of a current primary faculty appointment, the terms must be included in a Faculty Appointment Change Memo (see 3.2.1 and 3.2.2).

~~(a)(b)~~ **Joint Appointments** – Appointments in two academic units or colleges (joint appointments) are permissible. Joint appointments must be in academic units only, not in a Center or Institute or similar entity. Joint appointments consist of a primary appointment in two academic units or colleges and cannot total more than 1.0 Full-Time Equivalent (FTE). A joint appointment may be offered to a new or current faculty member who will participate on an ongoing basis in both academic units' activities at a level significant

enough to justify compensation and satisfy the Promotion are Tenure requirements of both academic units. The faculty member is appointed with the same title in each academic unit. A faculty member holding a joint appointment is expected to perform the same general responsibilities as the other faculty in each academic unit. Joint appointments must be approved by both academic units and colleges involved, and the Senior Vice President and Provost, and where required the President, and the Board of Regents, consistent with the criteria below.

- (c) Before a faculty member receives a joint appointment, the appropriate academic units must mutually determine, record in writing, and secure administrative approval for the applicable length of the pre-tenure period, criteria for tenure and promotion, and conditions for reappointment or non-reappointment. For new joint appointment, the terms of the appointment must be included in a Proposed Terms of Faculty Appointment letter. For a modification of a current joint faculty appointment, the terms must be included in a Faculty Appointment Change Memo (see 3.2.1 and 3.2.2).

(Regents, 7-15-96, 12-3-02, 6-25-08, 12-7-12, 9-14-17)

- ~~(b)~~(d) **Secondary Appointments** – In recognition of teaching, research, or service contributions outside their primary academic unit, faculty members may have one or more secondary appointments in other academic units, subject to approval of the chair of the primary department and the chair(s) of the other academic unit(s). A secondary appointment is recommended for a faculty member who holds a primary appointment in one Academic Unit and who participates in the activities of another academic unit, but at a level that is not equivalent to faculty holding primary appointments of that academic unit. The secondary appointment gives the faculty member recognition for work performed in the secondary academic unit but does not but does not include faculty privileges provided to faculty with a primary appointment in the academic unit. Multiple secondary appointments are permitted, as determine appropriate by each Dean. Secondary appointments are modified by ~~such~~-prefixes such as adjunct or clinical.

(Regents, 9-14-17)

- (e) **Center Memberships** – Faculty must have a primary appointment in an academic unit to hold a membership in a center. Memberships to Centers require approve of the primary academic unit but are not academic appointment. For Center membership criteria, contact the center director.

3.2.4.1 Appointment of New Regular or Limited Term ~~New~~-Faculty

In the appointment of new Regular or Limited Term ~~Regular or Limited Term~~ faculty, action is initiated by the primary academic unit through the respective dean to the Senior Vice President and Provost, and where required, the President, in accord with the prevailing policies of the Board of Regents.

- (a) **Proposed Terms of Faculty Appointment (PTFA)** – ~~The PTFA is the individual may initially receive a initial~~ written statement provided to a newly appointed faculty member by the department chair or dean that defining describes the proposed terms of the individual's initial teaching, research, professional/clinical service¹ and administrative responsibilities and other special conditions pertaining to the appointment. The proposal does not represent a contract for employment. Initial responsibilities and/or duties as set forth in the department's ~~PTFA proposed terms of faculty appointment~~ do not constitute a guarantee or promise that the responsibilities will remain the same throughout the faculty member's employment. The department chair will ~~also~~ provide, or provide access to, copies of the department and/or college tenure and promotion criteria where applicable to the type of appointment. All PTFAs require prior review and approval by the Senior Vice President and Provost.
- (b) **Official Offer of Faculty Appointment (OFA)** – ~~The OFA official offer of faculty appointment for regular faculty~~ must come from the Senior Vice President and Provost or the President, ~~or in the case of limited term appointments with a 1.0 FTE salary less than \$100150,000, from the dean,~~ and will include, when applicable, the statement that appointment is contingent upon the approval of the Board of Regents. The

¹ College of Medicine – ~~OKC~~ dual employees/appointees' clinical service responsibilities are outlined in the OUH/OUHPI approved external entity employment agreement.

OFA For limited term appointments must come from the Dean. The official offer of faculty appointment will specify academic rank, appointment type (limited term, consecutive term, tenure track), beginning date of employment, base salary/clinical plan, full-time equivalent, length of pre-tenure period if tenure track (see [Section 3.8.1\(c\)](#)), and any special conditions pertaining to employment, including reference to dual employment/appointments and administrative roles and supplements. ~~It is the OFA official offer of faculty appointment~~ is separate from offers made by approved external entities. The official offer of faculty appointment ~~shall~~ will also include information to access an on-line copy of the *Faculty Handbook* and contact information for faculty benefits. If the appointment is contingent upon the approval of the Board of Regents, the faculty member will be notified when such approval is in place.

~~(c)~~ **Contract** – If the appointment is approved by the Board of Regents, Regular Faculty will be furnished with a Contract of Employment with the University for signature. Included in this contract will be the approved rank and salary. The Contract will contain a statement indicating that the individual has read the *Faculty Handbook* and accepts employment in accord with the policies specified, with the understanding that policies of the University are subject to change by the Board of Regents or the University administration. ~~The University of Oklahoma employment contract is separate from the contract for employment that dual employees receive from approved external entities. Limited Term faculty will receive a letter from the dean or the Senior Vice President and Provost, as appropriate. Any exceptions to these policies that pertain to the appointment must be described in the official offer of faculty appointment.~~

~~(d)~~(c) **Compensation** – The University recognizes that the professional effort of the faculty member may result in compensation in addition to the University base salary or compensation provided by the University. The conditions of such compensation are set out in each college's Professional Practice Plan, Compensation Plan, and/or Faculty Compensation Plan.

(Regents, 7-15-96, 12-3-02, 6-25-08, 12-7-12, 9-14-17, 6-27-19, 9-11-19, 3-9-22)

3.2.5.2 Changes in Status – ~~Tenure Track and Consecutive Term Appointments~~

~~(a)~~ Internal candidates applying for open Regular Faculty positions must meet the promotion and advancement criteria stated in [Section 3.9](#) for the level of position sought.

~~(b)~~ **Limited Term to Regular Faculty Positions** - At the request of the faculty member and with the approval of the chair of the academic unit, the dean, and the Senior Vice President and Provost, faculty members initially appointed to limited term appointments may be moved to regular faculty appointments. Limited term appointments may not be changed to Regular Faculty appointments until all Affirmative Action requirements have been completed (i.e., national search, appropriate advertisements) unless a waiver has been approved by the Senior Vice President and Provost and the Institutional Equity Office.

~~(a)~~(c) **Tenure Track to Consecutive Term** – At the request of the faculty member and with the approval of the chair of the academic unit, dean, and Senior Vice President and Provost, faculty members who are ~~in~~ on the tenure track may be changed to a consecutive term appointment at any time during the pre-tenure period, but prior to submission of the faculty member's tenure documentation to the Campus Tenure Committee (see [Section 3.8.5 \(j\)](#)). However, a faculty member may not return to a tenure track appointment after such change to a consecutive term appointment.

~~(d)~~ **Consecutive Term to Tenure Track** – At the request of the faculty member and with the approval of the chair of the academic unit, the dean, and the Senior Vice President and Provost, faculty members initially appointed to consecutive term appointments may be changed to the tenure track, in which case all University policies relating to tenure shall apply. Upon written request from the faculty member and with the approval of the chair of the academic unit, dean, and Senior Vice President and Provost, up to three (3) years served in a consecutive term appointment may be credited toward the pre-tenure period, and all University policies relating to tenure shall apply (see [Section 3.8.1\(c\)](#)).

~~(e)~~ **Tenured Appointments**

~~(1)~~ 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.

~~(2)~~ 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 ~~(e)~~(3) and ~~(f)~~ below). A faculty member granted tenure who changes from a full-time appointment to a volunteer appointment automatically forfeits tenure status. For clarity, faculty with a dual employment/appointment are considered part-time when their combined FTE is less than 1.0.

~~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 cases, (e.g., SBIR awards) when it is recommended that a tenured faculty member be permitted to reduce his or her employment to less than full time for a period of six months or more, and maintain a tenured status, specific approval by the Board of Regents is necessary. In either instance, tenured faculty with a dual employment/appointment must maintain an appointment at the University and the approved external entity totaling 1.0 FTE.~~

(3) A tenured faculty member retains tenure during University phased retirement.

~~(b)~~(f) **Temporary Reduction in Employment** - Upon the recommendation of the chair of the academic unit and dean, the Senior Vice President and Provost may approve a tenured, tenure-track, or consecutive term faculty member's written request for temporary reduction in employment from full-time to part-time, if the reduction is for less than six months. In those cases (e.g., Small Business Innovative Research (SBIR) awards) when it is recommended that a consecutive term tenured or tenure track faculty member be permitted to reduce employment to less than full-time for a period of six months or more and maintain a tenured or tenure-track status, specific approval by the Board of Regents is necessary if the faculty member's full-time compensation exceeds \$150,000. A written agreement must be reached among ~~the a~~ tenure-track faculty member, the chair of the academic unit, and the dean indicating how the reduction to part-time will affect the length of the faculty member's pre-tenure period, if applicable. For more information on SBIR/Small Business Technology Transfer (STTR) reductions, see Section 8.13.

~~(c)~~(g) **Primarily Administrative Duties** - Before a tenure track faculty member assumes primarily administrative duties during the pre-tenure period, a written agreement must be reached among the faculty member, the chair of the academic unit, the dean, and the Senior Vice President and Provost as to whether the faculty member will remain on the tenure track, at what time they would be reviewed for tenure, and under what conditions.

~~(Regents, 12-7-12, 9-14-17, 3-9-22)~~

(f) **Faculty Appointment Change Memo (Change Memo)** – Any changes in faculty status must be documented in a Change Memo. The written statement should will be provided to the faculty member by the department chair or dean after the change has been approved by the Senior Vice President and Provost. The Change Memo will describes the appointment change including any modifications to the individual's salary; title; rank; appointment type; the faculty member's teaching, research, professional/clinical service and administrative responsibilities; and other special conditions pertaining to the appointment. Modified responsibilities and/or duties as set forth in the Change Memo do not constitute a guarantee or promise that the responsibilities will remain the same throughout the faculty member's employment. The department chair will provide, or provide access to, copies of the department and/or college tenure and promotion criteria where applicable to the type of appointment. If the appointment change is contingent upon the approval of the Board of Regents, the Faculty member will be notified of approval via email following the meeting.

~~(Regents, 12-7-12, 9-14-17, 3-9-22)~~

~~3.2.6~~ **Changes in Status – Tenured Appointments**

~~(1)~~ 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.

~~(2)~~(1) A faculty member granted tenure who changes from a full-time appointment to a part-time appointment automatically forfeits tenure status (except as noted in (c) and (d) below). A faculty member granted tenure who changes from a full-time appointment to a volunteer appointment automatically forfeits tenure status.

~~For clarity, faculty with a dual employment/appointment are considered part time when their combined FTE is less than 1.0.~~

~~(3)(1) 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 cases, (e.g., SBIR awards) when it is recommended that a tenured faculty member be permitted to reduce his or her employment to less than full time for a period of six months or more, and maintain a tenured status, specific approval by the Board of Regents is necessary. In either instance, tenured faculty with a dual employment/appointment must maintain an appointment at the University and the approved external entity totaling 1.0 FTE.~~

~~(4)(1) A tenured faculty member retains tenure during University phased retirement.~~

(Regents, 12-3-02, 12-7-12, 9-14-17,3-9-22)

3.2.73 Notifications of Non-Renewal or Termination of Tenure Track or Consecutive Term Appointment²

Action on the non-renewal or termination of individuals having a tenure track or consecutive term appointment is initiated by the chair of the academic unit through the respective dean to the Senior Vice President and Provost, President, and Board of Regents. ~~In accordance with the official letter of offer, d~~ual employment/appointments at OUHSC are contingent on maintaining an employment/appointment with OU HealthOUH/OUHPI or an approved external entity; no further notice of non-renewal or termination is required when a dual employee/appointee no longer holds an appointment at OU HealthOUH/OUHPI or the approved external entity.

Tenure track or consecutive term appointments can be terminated effective at any time and for any lawful reason, including but not limited to those in [Section 3.16.1\(i\)](#) with the required notice as indicated in (a), (b), (c), and (d) below. All notifications of non-renewal or termination shall be given in writing by the Senior Vice President and Provost.

Notification ~~*~~ (~~* See see (e) below~~) to tenure track or consecutive term faculty of non-renewal or termination:

- (a) Non-renewal or termination within first year of employment-~~*~~ (to be effective on or before the 365th calendar day of employment) requires 90 calendar days' notice
- (b) Non-renewal or termination within second year of employment-~~*~~ (to be effective from calendar day 366 of employment through day 730) requires 180 calendar days' notice
- (c) Non-renewal or termination within third year of employment-~~*~~ (to be effective from calendar day 731 of employment through day 1,095) requires 270 calendar days' notice.
- (d) Non-renewal or termination within fourth year of employment-~~*~~ (to be effective from calendar day 1,096 or beyond) requires 365 calendar days' notice.
- (e) * The notification period for a faculty member who changes from a limited term faculty appointment to a tenure track or consecutive term appointment will be counted from the date of the change in status and not from the date of initial employment as a limited term faculty member.

~~*These provisions do not apply to dual employees/appointees. Only to the extent they retain an appointment with OU Health or an approved external entity and are being non renewed or terminated from the University during that appointment. These provisions do not apply to dual appointees.~~

The tenure track or consecutive term faculty member may appeal non-renewal of employment to the Faculty Appeals Board only if notification practices prescribed in the foregoing paragraphs of this section are not followed. The tenured, tenure track, or consecutive term faculty member may appeal termination of employment to the Faculty Appeals Board if notification practices in the foregoing paragraphs of this section are not followed or if the termination is pursuant to [3.16.1\(a\)-\(dc\)](#).

² For notifications of non-renewal or terminations of Limited Term Appointments, see 3.1.2

(Regents, 7-15-96, 1-26-99, 12-3-02, 6-25-08, 12-7-12, 9-14-17)

3.2.84 Resignation

A faculty member who elects to resign is expected to give at least 30 days' written notice to the department chair and to the dean.

(Regents, 7-15-96, 12-3-02, 6-25-08, 12-7-12)

3.2.95 Administrative Titles

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

- University and Campus Level: President and Senior Vice President and Provost
- Center or Institute Level: Director
- College Level: Dean
- Department: Chair

Academic leaders within departments (e.g., vice chairs) are appointed by the dean on recommendation of the chair and approved by the Senior Vice President and Provost and do not require President or Board of Regents' approval, unless the faculty member's full-time compensation exceeds \$150,000.

The prefixes Executive, Deputy, Vice, Associate, and Assistant are established by the Board of Regents to modify these titles. The name of the college, department, section, or division is designated in the title as a suffix.

(b) **Non-Academic Administrative Titles** – The titles Vice President, Senior Associate Vice President, Associate Vice President, Assistant Vice President, Vice Provost, Associate Vice Provost, Assistant Vice Provost, Senior Associate Dean, Associate Dean, and Assistant Dean may also be used as administrative titles for staff appointed to these positions at the Health Sciences Center, as established by the Senior Vice President and Provost.

Administrative departments, sections, and divisions are led by Directors, Heads, or Chiefs; are appointed by the dean on recommendation of the chair and approved by the Vice President; and do not require Board of Regents' approval, unless the staff member's full-time compensation exceeds \$150,000 as appointed by the Board of Regents. The usage of the prefixes Vice, Deputy, Senior, Associate, Assistant, Interim, and Acting is the same as with academic administrative titles.

(c) **Interim and Acting Titles** – The term "interim" may be designated by the Board of Regents when no regularly appointed individual is in office. The term "acting" may be designated by the regularly appointed individual holding the administrative title to the individual who will fulfill that role during the appointed individual's absence from the campus, subject to approval by the appointed individual's supervisor or dean and, if applicable, the Senior Vice President and Provost. The Senior Vice President and Provost may also designate "acting" titles.

(Regents 12-7-12, 9-14-17, 3-9-22)

3.3 ACADEMIC FREEDOM AND RESPONSIBILITY**3.3.1 Institutional Academic Freedom**

The accumulation and exchange of knowledge are among the preeminent purposes of the University, and the acknowledgement of individual academic freedom is one of the cornerstones to ensure such purposes are achieved. Equally important in meeting these goals is the recognition of the right inherent in the responsibility of the Board of Regents to govern the University. "[I]t is the business of a university to provide that atmosphere which is most conducive to speculation, experiment, and creation. It is an atmosphere in which there prevail 'the four essential freedoms' of a university—to determine for itself on academic grounds who may teach, what may be taught, how it shall be taught, and who may be admitted to study." Sweezy v. New Hampshire, 354 U.S. 234, 263; 77 S.Ct. 1203; 1 L.Ed.2d 1311 (1957).

3.3.2 Academic Freedom

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

- (a) Faculty members are entitled to full freedom in research and publication, subject to any restrictions set by law or by applicable codes of professional ethics, and subject to adequate performance of their other academic duties and to stated University policy on outside employment;* but, except under conditions of national emergency, a faculty member should not undertake to do research on University time or using University facilities or funds under any agreement which would (except for a definitely and reasonably limited time) prohibit open communication of the results. * NOTE: Dual employment/appointment at OU Health/[OU Health Partners, Inc.](#) is not considered to be employment outside of the University.
- (b) Faculty members are entitled to freedom in the classroom in discussing their subject, but it is inappropriate for a teacher persistently to intrude material which has no relation to the subject of instruction.
- (c) As members of the community, university teachers have the rights and obligations of any citizen. They measure the urgency of these obligations in the light of their responsibilities to their subject, to their students, to their profession, and to their institution. In speaking or acting as private persons, faculty members should avoid creating the impression of speaking or acting for their college or university. As a citizen engaged in a profession that depends upon freedom for its health and integrity, the university teacher has a particular obligation to promote conditions of free inquiry and to further public understanding of academic freedom.
- (d) As citizens, university teachers should be free to engage in political activities consistent with their obligations as teachers and scholars. Subject to University policy ([See Section 3.23](#)) some activities, such as seeking election to an office for which extensive campaigning is not required, or service in a part-time political office, may be consistent with effective service as a member of the faculty.
- (e) Since freedom of access to recorded knowledge is essential to learning and research in a democracy, the university's right and obligation to provide a full range of materials on any subject, even though some views might be currently unpopular or controversial, or appear incorrect, shall not be infringed. The principles of academic freedom shall apply to the presence of materials and also to those who provide and those who use them.
- (f) The University endorses the *1967 Joint Statement on Rights and Freedoms of Students with 1990 Revisions* which "...asserts the right of college and university students to listen to anyone whom they wish to hear...affirms its own belief that it is educationally desirable that students be confronted with diverse opinions of all kinds, (and) therefore holds that any person who is presented by a recognized student or faculty organization should be allowed to speak on a college or university campus." Duly constituted organizations at the University may invite speakers without fear of sanctions. However, in the exercise of these rights, it is clearly recognized that:

(Regents 3-9-22)

"Membership in the academic community imposes on students, faculty members, administrators, and trustees an obligation to respect the dignity of others, to acknowledge their right to express differing opinions, and to foster and defend intellectual honesty, freedom of inquiry and instruction, and free expression on and off the campus. The expression of dissent and the attempt to produce change, therefore, may not be carried out in ways which injure individuals or damage institutional facilities or disrupt the classes of one's teachers or colleagues. Speakers on campus must not only be protected from violence but must be given an opportunity to be heard. Those who seek to call attention to grievances must not do so in ways that significantly impede the functions of the institution." (*1970 Declaration of the AAUP Council with 1990 Revisions*).

3.3.3 Academic Responsibility

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

Faculty members have responsibilities to their students. They shall encourage in students the free pursuit of learning and independence of mind, while holding before them the highest scholarly and professional standards. Faculty members shall show respect for the student as an individual and adhere to their proper role as intellectual guides and counselors. They shall endeavor to define the objectives of their courses and to devote their teaching to the realization of those objectives; this requires judicious use of controversial material and an avoidance of material which has no relationship to the objectives of a course.

Faculty members shall make every reasonable effort to foster honest academic conduct and to assure that their evaluations reflect, as nearly as possible, the true merit of the performance of their students, regardless of their race, color, national origin, sex, sexual orientation, genetic information, gender identity, gender expression, age (40 or older), religion, disability, political beliefs, or status as a veteran. Faculty members shall avoid any exploitation of students for private advantage and shall acknowledge significant assistance in scholarly pursuits from them.

Faculty members have responsibilities to their colleagues, deriving from common membership in a community of scholars. They shall respect and defend the free inquiry of their associates. In the exchange of criticism and ideas, they should show due respect for the opinions of others. They shall acknowledge their academic debts and strive to be objective in the professional judgment of their colleagues. Although service must be voluntary, faculty members should accept a reasonable share of the responsibility for the governance of their institution. If driven by ~~his or her~~their 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 OU Health Sciences Center is governed by the Professional Practice or Compensation Plans of the various colleges.

(Regents, 12-3-02, 6-25-08, 12-7-12, 6-24-15)(Regents 12-7-12, 9-14-17,3-9-22)

3.4 FACULTY ACCOUNTABILITY

A faculty member is held accountable for ~~his or her~~their performance in fulfilling faculty duties (Section 3.5) and in meeting the requirements of academic responsibility (Section 3.3) and University policies.

- (a) Faculty who accept full-time employment at the University, ~~including through dual employment/appointment with an approved external entity,~~ owe their first faculty duty to the University. Any other employment or enterprise related to the profession for which they are employed at the University must be secondary to their University ~~and dual employment/appointment~~ duties. During the appointment period, all outside work* related to the profession for which they are employed at the University must be conducted through a University contract, and all funds generated, if any, must be deposited into University accounts, per the respective colleges' Professional Practice or Compensation Plans. Unless the Plan provides otherwise, agreements to review scholarly publications and grant submissions for which no contract or compensation is provided are not considered to be outside work. Failure to comply with the Plan may result in sanctions and disciplinary actions. See Section 3.16 (e).

*Work performed by dually-employed/appointed faculty at an approved external entity is not considered to be outside work, so long as the work is within the duties for which the approved external entity regularly compensates the faculty member.

- (b) 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 and being available to students; conducting research or scholarly activity; meeting clinical assignments; providing patient care and supervising students and/or trainees; reading and remaining professionally competent; attending professional meetings; and participating in meetings and essential committee work of the department, the college, and the University as a whole. Faculty positions are not considered remote or hybrid, absent compelling temporary circumstances and appropriate written approvals. Deans and chairs will set expectations for faculty obligations, including office hours and expected and on-campus work day schedules, which may vary depending on semester teaching load, research awards, clinical obligations, and the like.
- (c) The most immediate agent of faculty accountability is the faculty member's chair or direct supervisor, who should maintain close and regular communication with the faculty member. Among the various mechanisms for ensuring faculty accountability, the most important include annual evaluations and such periodic evaluations as those for advancement in rank. These processes should serve to identify and reward meritorious performance as well as to identify areas that need improvement.
- (d) Meritorious, proficient, and responsible faculty performance is first and foremost an individual professional obligation. Responsible performance ~~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 marginal or needs improvement. 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. Career development remains primarily the responsibility of the faculty member.
- (e) Regular and frequent collegial interactions among students, staff, and faculty are essential to maintaining the integrity of the University as a scholarly community, developing a healthy institutional culture, and ensuring the success of the Health Sciences Center. To meet these goals and effectively perform one's duties and obligations to the University, faculty accountability is expected.
- (f) Concerns regarding a faculty member's performance may originate from the students, faculty colleagues, staff, or administrative personnel. Whenever such a concern 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 by the individual initiating the action or administrative remedy, consistent with applicable policy.
- (g) Administrative remedies, including counseling, career development support, reprimands, and other minor sanctions, are available to academic units as a means of attempting to remediate inadequate professional performance or breaches of academic responsibility. If a faculty member's inadequate professional performance or breach of academic responsibility continues, then the dean or Senior Vice President and Provost may consider applying a minor sanction, such as a formal reprimand. For those cases where they are needed, the University has at its disposal the more drastic measures of abrogation of tenure, ~~termination~~, severe sanctions, ~~or~~ summary suspension, or termination. (Section 3.16)

(Regents, 1-26-99, 12-3-02, 6-25-08, 12-7-12, 9-14-17, 12-7-12, 9-14-17, 3-9-22)

3.5 PROFESSIONAL ACTIVITIES OF THE FACULTY

Above all else, the University exists for learning and scholarship of a breadth and depth that result in excellence in all of the University's major functions: teaching, research and creative/scholarly activity, and professional and University service and public outreach. As such, learning and scholarship may be discipline-centered, multi-disciplinary, or interdisciplinary and inter-professional. Each academic unit has an obligation to contribute to each of the functions

of the University. Faculty members play a central role in the realization of these functions and fulfill the obligations of the academic unit by contributing their unique expertise and competence. Decisions regarding tenure, promotions, and University salary increases are based upon an assessment of the faculty member's performance and contribution to the total mission of the University ([Section 3.2, 3.6, 3.8, and 3.9](#)).

(Regents, 12-7-12, 3-9-22)

3.5.1 Teaching

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

Faculty members should excel in teaching and exhibit their command over the subject matter in classroom discussions, lectures, [online instruction, laboratory or simulation-based instruction](#), or clinical supervision. They should present material in an objective, organized way that promotes the learning process. They should be recognized by their students, trainees, and University colleagues as persons who guide and inspire learning. They should strive continuously to broaden and deepen their knowledge and understanding of their discipline; [and stay informed about new developments in their field. They should](#) seek to improve the methods of teaching their subject, use appropriate instructional [methods and](#) technologies, and prepare educational materials that are up-to-date and well-written.

Their influence and reputation as teachers may be evidenced by student, trainee, and peer evaluation as well as by authoring textbooks and by lectures and publications. Additionally, reputation may be evidenced by the publication of such instructional materials as laboratory, [simulation](#), or instructional manuals; teaching cases for classroom; simulation or standardized patients; and development and use of video or audio instruction such as podcasting, [online or distance education tools](#), or multimedia instructional materials and computer-assisted learning [that leverages the use of artificial intelligence tools to augment learning](#), or assessment [tools or](#) techniques. Publication is noted to include peer review and dissemination via traditional or digital means.

(Regents, 7-15-96, 1-26-99, 12-3-02, 12-7-12, 9-14-17)

3.5.2 Research and Creative/Scholarly Activity

Research, which is the development, validation, and dissemination of new knowledge, focuses upon faculty participation in the extension of knowledge and maintenance of professional development and vitality. The term *research* as used here is understood to mean systematic, original investigation directed toward the expansion of human knowledge or the solution of contemporary problems. *Creative/Scholarly activity* is understood to mean significantly original or imaginative accomplishment within the framework of the academic unit(s). Examples of scholarly activity might also include synthesis of new ideas as gleaned from published data, team science, individual or team-based technology transfer successes, patent awards, health system research, [implementation research](#), new application of information technology [or artificial intelligence](#) to improve education or health care, community-engaged scholarship, etc. The criteria for judging the original or imaginative nature of research or creative/scholarly activity must be the generally accepted standards prevailing in the applicable discipline or professional area. To qualify as research or creative/scholarly activity, the results of the endeavor must be disseminated either through publication in peer-reviewed journals or presentation at national or international symposia, conferences, and professional meetings and must be subject to critical peer evaluation by established authorities outside the University in a manner appropriate to the discipline or professional area. It is expected that the significance of the research or creative/scholarly activity will be evaluated at ~~the~~ national and international levels. One element of such an evaluation would be the ability of the faculty member to successfully compete for, and acquire, peer-reviewed, extramural grant or contract funding.

(Regents, 7-15-96, 12-3-02, 9-14-17)

3.5.3 Professional and University Service and Public Outreach

- (a) Professional and University service and public outreach, which require the application of knowledge gained through research or creative/scholarly activity, or the design and implementation of evidence-based practices in clinical or health care provision, or population health interventions, focus 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 service are such activities as continuing education; artistic or humanistic presentations; official service in relevant commissions, advisory boards, or agencies (public or private) related to the faculty member's discipline or profession; service to professional communities outside the University; consultation; and participation in a specialized professional capacity in programs sponsored by student, faculty, or community groups, including interdisciplinary and interprofessional programs.

Professional service also includes leading core research support services, editing professional journals or other publications; writing book reviews in professional journals; and reviewing research papers and manuscripts submitted for publication.

Other examples of professional service can include clinical service contributions such as health care delivery; clinical leadership as evidenced by serving as head of a division, department, or specific clinic service; acquisition and introduction or development of new health care techniques, procedures, or clinical approaches; demonstrable improvement (quality, utilization, access) in delivery of health care; dissemination and implementation in community practice; and contribution to clinical service lines.

Examples of public outreach include such activities as development of community health-related outreach programs; participation in approved, non-compensated, community health related public outreach efforts; improvement in clinical management; and management of facility-based functions such as quality improvement, infection control, utilization review.

- (b) The nature of the academic enterprise is such that the faculty properly shares in responsibilities involving the formulation of the University's policies by participation in University governance. The faculty has a major responsibility in making and carrying out decisions affecting the educational and scholarly life of the University. Faculty members have a responsibility to contribute to the governance of the University through timely participation on committees, councils, or other advisory groups at the department, college, or University level, and through service within the University that reflects an application of specialized knowledge or skill to the University's affairs.
- (c) Other areas of activity in which faculty members may have assignments include:
- 1) **Administration.** Many faculty members are called upon to perform administrative tasks. These include service in such positions as department chair, associate or assistant dean, or director of a program, core facility, center, or institute.
 - 2) **Public Relations.** On occasion, the University's interests are served by requesting faculty members to perform public relations tasks that might not necessarily involve the faculty member's discipline. These may include participation in a professional capacity in programs sponsored by student, faculty, or community groups or appearances as a University representative before government bodies or citizen groups.

(Regents, 12-7-12, 9-14-17)

3.5.4 Public Outreach Policy**(a) Public Outreach Defined**

As part of its overall mission, the OUHSC is committed to improving the health of the citizens of Oklahoma, the nation, and the world. This includes the faculty members' professional service efforts via the colleges' group practice and compensation plans, as well as their approved, non-compensated, community health

related public outreach efforts ("Public Outreach"). Faculty participation in civic activities such as serving on an art museum board, or school board, or on church related activities is (i.e., activities not associated with intentional efforts to build pathways into the health professions and biomedical sciences) are not included in this definition of Public Outreach, and as such is not governed by this policy.

Public Outreach creates opportunities for OUHSC faculty and students to provide better, more culturally competent health care in the community and/or to share their scientific research knowledge with the community toward this end. Public Outreach also helps OUHSC faculty and students learn to be aware of, engaged in, and responsive to the needs of our diverse population.

(b) Criteria Governing Public Outreach Activities

Faculty members may be permitted to dedicate University time and professional service to Public Outreach if they (a) demonstrate that the proposed Public Outreach effort furthers the mission of the OU Health Sciences Center; b) demonstrate that the proposed Public Outreach effort meets each of the following three criteria; and c) obtain approval from the department chair:

- 1) is not compensated
- 2) if applicable, is covered by the faculty member's malpractice insurance.
- 3) does not conflict with a faculty member's primary responsibilities as a University employee or negatively impact ~~that~~the needs or resources of the department

(c) PPP/Compensation Plan Exception for Certain Public Outreach Activities

~~A~~Faculty members who is-are subject to his/her/their college's Professional Practice Plan (PPP) or Compensation Plan may be permitted to dedicate, for the purpose of Public Outreach, time and professional service, as defined under the Plan, with approval by the department chair, if the proposed Public Outreach effort meets each of the following:

- 1) is not compensated
- 2) if application, is covered by the faculty member's malpractice insurance
- 3) does not conflict with a faculty member's primary responsibilities as a University employee or negatively impact the needs or resources of the department

The faculty member must comply with all other requirements of the PPP or Compensation Plan and the faculty member's appointment.

(d) Template Agreement

It is a University requirement that an written agreement be in place for professional and Public Outreach services of OUHSC employees with outside entities.* A template for Public Outreach activities has been prepared. ~~The template can be found at the respective college's web site and is available through Vice President of Research Office and the Office of Legal Counsel.~~ Faculty desiring to participate in Public Outreach activities that meet the criteria listed above must complete the template and obtain the appropriate signatures indicated on the template prior to beginning the activity. A signed copy of the template must be forwarded to the Dean's Office and to the department for retention.

* NOTE: Dual employment/appointment at OU Health is not considered to be employment outside of the University.

(Administrative policy of the Senior Vice President and Provost – Revised September 2011; Regents 3-9-22)

3.6 FACULTY EVALUATION

The evaluation of faculty performance is a continuous process. 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 performance review of each Regular or Limited Term faculty and Emeritus faculty holding an FTE as well as Health Professions Educators~~faculty member's~~

performance³ 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, balanced, and thorough feedback in writing to the faculty member relative to the faculty performance evaluation each year. The evaluation should contain sufficient specificity to identify areas of strength and those areas where improvement is needed. A systematic procedure for accomplishing such evaluations shall be developed in each academic unit, consistent with the direction with the participation and approval of the dean and Senior Vice President and Provost.

The criteria for evaluation shall be carefully and clearly stated and must be in accord with **Sections 3.4 and 3.5**. Specific faculty assignments within an academic unit and the specific mission of a particular academic unit may modify the relative weight given to any specific area of professional activity from time to time depending on University or academic unit needs. Such modifications should be conveyed in writing by the head of the academic unit prior to implementation.

Tenure decisions, non-renewal of tenure track and/or consecutive term appointments, salary adjustments, and promotions in rank shall be based on systematic evaluations of faculty performance in the areas specified by the department chair and will include teaching, research and creative/scholarly activity, and professional and University service and public outreach, as well as the needs of the department and college. An assessment of the faculty member's overall contribution to the college and the mission of the University, as well as that person's adherence to the standards of faculty accountability as noted in **Section 3.4**, must be included in any faculty evaluations.

(Regents, 12-3-02, 6-25-08, 12-7-12, 9-14-17)

3.7 SALARY ADJUSTMENTS

- (a) The most frequent reflection of a continuing faculty evaluation system is in the annual recommendations for merit salary increases. Deserving faculty should be rewarded, within the limits of the financial resources of the University and policies of the University, for excellent performance as set out in the specific criteria for evaluation of faculty performance (**Sections 3.4 and 3.5**).
- (b) In certain circumstances salary increases may cause the salary of a faculty member to equal or exceed the salary of faculty in higher ranks.
- (c) Faculty assignment of additional administrative or managerial responsibilities may require-necessitate additional salary adjustment through an administrative supplement commensurate with assigned duties.
- (d) Under no circumstances will increases in salary be based upon race, color, national origin, sex, sexual orientation, genetic information, gender identity, gender expression, age (40 or older), religion, disability, political beliefs, or status as a veteran.

(Regents, 12-7-12, 6-24-15, 9-14-17)

3.7.1 Procedures for Salary Adjustments

- (a) The chair of the academic unit will annually collect (1) achievement data from all academic unit faculty and (2) evaluations of each faculty member's performance from those who are in supervisory positions and from other sources.
- (b) For each recommended salary adjustment, the chair will prepare a justification for the recommendation based on the faculty member's performance of their education, research and creative/scholarly activity, professional associations, -University service and public outreach, and administrative responsibilities, as well as on the faculty member's clinical service contributions based on the College's Professional Practice or Compensation Plan and forward to the dean.
- (c) The dean will review each recommendation and notify the chair of any changes or adjustments made to the recommendation.

³ Annual Evaluation of Volunteer faculty is expected but need not be on the same timeline or use the same evaluation tool as that used for Regular or Limited Term Faculty, Health Professions Educators and Emeritus faculty members who hold an FTE.

- (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 be available to discuss with each faculty member the reasons for the salary recommendation that was made-as soon as feasible following final approval.
- (f) 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 recommending 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 in all cases, adjustments should be made only as funds are available and within the current programs and procedures for increases.
- (f)(g) If approved, any salary adjustments must be documented in a Change Memo (see Section 3.2.2 (f)). If the faculty member's full-time compensation exceeds \$150,000, the salary adjustment will be contingent upon Board of Regents' approval.

(Regents, 12-3-02, 6-25-08, 9-14-17, 3-9-22)

3.8 FACULTY TENURE

The granting of tenure implies a mutual responsibility on the part of the University and the tenured faculty member. Tenure is designed as a means to protect the academic freedom of faculty members and to assure freedom of scholarship and teaching by professional scholars and teachers. The right to academic freedom does not diminish the faculty member's responsibilities under **Section 3.4**, Faculty Accountability. In granting tenure to a faculty member, the University makes a commitment to the faculty member's continued employment subject to certain qualifications (**Section 3.16**). The University expects that tenured faculty members will maintain the level of performance by which they initially earned tenure. Only the portion of annual base salary or compensation (for example, in the College of Medicine, the University base [X1]) paid by the University is committed in the granting of tenure unless otherwise agreed to in writing by the chair of the academic unit, the dean of the college, the Senior Vice President and Provost, the President, and the Board of Regents.

(Regents, 3-9-22)

3.8.1 Definitions

- (a) The term **academic year** refers to the period July 1 through June 30.
- (b) The term **tenure** means continuous reappointment to an achieved academic rank. Tenure must be granted or denied by specific action of the Board of Regents.
- (c) The term **pre-tenure period** refers to the period of employment at the University in a tenure track appointment prior to the time the faculty member is evaluated for the granting of tenure. Full-time tenure track faculty will generally have a pre-tenure period of six (6) years. Thus, the tenure application will be submitted no later than the fall of the seventh academic year. In certain circumstances, and in consultation with the faculty member, the chair of the academic unit and dean may request an extension of the pre-tenure period not to exceed three (3) years. If a pre-tenure extension is granted, the tenure application must be submitted no later than the fall of the last extension year.
- (d) The term **prior service** means academic employment at an institution of higher education (including the University of Oklahoma).

3.8.2 Fiscal Responsibility

In each case where a tenure-track position is proposed, there must be assurance from the chair of the academic unit to the dean that continuing financial support is identified to fund the salary line. The Senior Vice President and

Provost, in conjunction with the respective deans, shall determine whether funds are sufficiently secure to support the awarding of tenure.

3.8.3 Pre-tenure Period

- (a) Full-time tenure track faculty will generally have a pre-tenure period of six (6) years. Thus, the tenure application will be submitted no later than the fall of the seventh academic year. In certain circumstances, and in consultation with the faculty member, the chair of the academic unit and dean may request an extension of the pre-tenure period not to exceed three (3) years. If a pre-tenure extension is granted, the tenure application must be submitted no later than the fall of the last extension year.
- (b) The first year of the pre-tenure period for a faculty member whose effective date of service is between July 1 and December 31 will be that academic year. If the effective date of service is between January 1 and June 30, the first year of the pre-tenure period will begin with the next academic year.
- (c) For assistant professors, the pre-tenure period may include up to a total of three years in prior full-time service in a consecutive term or tenure track appointment at the University or in comparable professorial ranks at another institution. For associate professors and professors, up to a total of four years of prior service at the University or in professorial rank at another institution may be included. The faculty member must request in writing at the time of the first regular tenure track appointment that prior service be included. Inclusion of prior service requires approval by the chair of the academic unit, the dean, and the Senior Vice President and Provost.
- (d) A new faculty member appointed at the rank of associate professor or professor may be considered for tenure from the date of appointment provided the faculty member prepares and timely submits the appropriate documentation, per [Section 3.8.5](#), no later than the next annual tenure and promotion cycle. The determination of tenure shall be made as specified in [Section 3.8.4](#) and [Section 3.8.5 \(b\) through \(r\)](#).
- (e) Tenure may be recommended by an academic unit for faculty members of high merit prior to the end of the pre-tenure period. An academic unit's recommendation to grant early tenure should be based on exceptional performance for at least two years at the University. If early tenure is not granted the faculty member may, subject to contract continuation or renewal, continue to serve in the pre-tenure period and be considered for tenure at the end of the pre-tenure period without prejudice.
- (f) When a non-tenured part-time faculty member changes from part-time to full-time tenure track status, specific written understanding among the faculty member, chair, and dean must be approved by the Senior Vice President and Provost at the time of the change as to how, if at all, the period of part-time service may be counted toward satisfying the pre-tenure period.
- (g) A maximum of one year of leave of absence without pay may be counted as part of the pre-tenure period, provided the chair of the academic unit records in advance of the leave in writing the agreement with the faculty member as to 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.
- (h) If a tenure track faculty member takes extended leave for six or more consecutive months, the pre-tenure period prior to a tenure decision may be extended for one year at the written request of the faculty member with the approval of the chair of the academic unit, dean, and Senior Vice President and Provost.
- (i) A faculty member at any rank who is denied tenure shall be retained until the end of the academic year following that year in which tenure was denied (i.e., the terminal year) unless the faculty member is dismissed according to [Section 3.16](#). An appeal of denial of tenure shall not have the effect of extending the faculty member's terminal year.

Under certain extraordinary circumstances due to the University's clinical care, service, or teaching obligations, a faculty member who has been denied tenure may be granted a consecutive term or temporary appointment upon recommendation by the chair of the academic unit, dean, and Senior Vice President and Provost and approved by the Board of Regents.

- (j) Faculty members granted tenure will normally commence their tenured appointments in the academic year immediately following the Board of Regents' action.

3.8.4 Criteria for the Tenure Decision

- (a) The decision that the University makes in granting tenure is 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.
- (b) The tenure decision shall be based on a thorough evaluation of the candidate's total contribution to the college and the mission of the University and of the candidate's adherence to the fundamentals of faculty accountability as noted in [Section 3.4](#). While specific responsibilities of faculty members may vary because of special assignments or the particular mission of the academic unit, all evaluations for tenure shall address the manner in which each candidate has performed in:
- (1) Teaching [Section 3.5.1](#)
 - (2) Research and Creative/Scholarly Activity [Section 3.5.2](#)
 - (3) Professional and University Service and Public Outreach [Section 3.5.3](#)
- (c) All candidates for tenure must have demonstrated a record of substantial accomplishment in each of the three areas (teaching, research and creative/scholarly activity, and professional and University service and public outreach) and evidence of excellence in two areas. In order for tenure to be granted, the faculty member must document a record of scholarly attainment in teaching, research and creative/scholarly activity, and professional and University service and public outreach.
- (d) Each college, with the approval of the dean and the Senior Vice President and Provost, shall establish and publish specific criteria for evaluating faculty performance in teaching, research and creative/scholarly activity, and professional and University service and public outreach. The criteria must be made available to the faculty in that college. 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*, [Section 3.8.4](#). These department and college criteria must be in accord with and may not supersede the criteria described in this section. The criteria for tenure will be in full force unless an exception is specified in writing. Consequently, all faculty should also become familiar with the departmental, college, and University criteria.
- ~~(e)~~ Any exception to faculty evaluation on performances in each of the three areas of teaching, research and creative/scholarly activity, and professional and University service and public outreach must be documented in writing at the time the exception is made. The exception must be agreed upon by the faculty member and the department chair, and approved in writing by the dean and Senior Vice President and Provost.
- (f) As part of the overall tenure process, the department chair should provide the opportunity for faculty to receive advice on a regular basis as they develop their careers. Annual written evaluations of faculty by department chairs are essential to the faculty development process and are an annual requirement that each department chair must fulfill. [Section 3.6](#).
- (g) If the criteria for tenure are changed by the Board of Regents during a faculty member's pre-tenure period, the faculty member may elect to be evaluated under the approved criteria in effect at the beginning of the faculty member's pre-tenure period.
- (h) The granting of tenure carries with it the expectation that the University will continue to need the services of the faculty member and that the financial resources will be available for continuous

employment. It also carries the expectation that the faculty member will maintain or improve upon the level of professional competence and academic performance required for tenure. The performance of all faculty, both prior to and following the granting of tenure, is to be evaluated annually as part of the University's faculty evaluation process (Section 3.6).

3.8.5 Procedures for Tenure Decision

- (a) The chair of the academic unit (see Section 2.8.1 (c)) shall notify a faculty member who is eligible for tenure consideration at least six months before the date tenure materials are to be submitted to the department chair.
- (b) The chair of the academic unit will request the candidate for tenure to submit material that will be helpful to provide a thorough representation of the faculty member's performance or professional activities in relation to the tenure criteria. It is the responsibility of the candidate to provide accurate, thorough, and clear evidence of accomplishments for review at the departmental, college, and University levels. The candidate is advised to consult with the chair and any other senior colleagues concerning the materials to include.
- (c) Responsibility for gathering complete documentation of professional activity rests with the individual faculty member. The chair shall assist the faculty member, upon request, in determining what to include in the tenure documentation. The chair also may solicit information to include with the faculty member's tenure documentation. The faculty member is entitled to review the information in his/her tenure file. However, letters of evaluation and/or recommendation that are solicited, by the chair, in confidence or sent with the expectation of confidentiality shall be deemed confidential and unavailable to the faculty member unless otherwise ordered by a court of law.
- (d) Documentation of the faculty member's academic accomplishments should include, but not be limited to the following:
 - 1) Complete and up-to-date curriculum vitae, including a summary of college and university degrees earned; all professional employment; all professional honors and awards; ~~and~~ teaching, research and creative/scholarly activity, including an up-to-date list of professional publications by author in sequence; and professional and University service and public outreach elements. Manuscripts in press or submitted for publication and abstracts should be listed separately.
 - 2) Letters of evaluation of academic performance in teaching, research and creative/scholarly activity, and professional and University service and public outreach should be solicited by the chair after consulting with the candidate. Where relevant, letters of evaluation should in particular address the candidate's role in interdisciplinary/team-based research. There should be three letters of evaluation from individuals outside the University of Oklahoma who are considered established authorities in the discipline and 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 may also be up to three local letters to document an assessment of an individual's contributions to and accomplishments in activities such as teaching, team-based research, multidisciplinary or interdisciplinary educational or research projects, and University and/or clinical service.
 - 3) Documentation of teaching accomplishments should reflect the candidate's contribution, quality, innovation, and impact of teaching. This might include summary documentation of teaching evaluations by students; notation of teaching awards; and description of teaching responsibilities, materials, and techniques which are unique and demonstrate innovative approaches or outstanding quality in undergraduate, graduate, or professional instruction (e.g., integration of multimedia into courses, development of web-based content and course materials, computer software development, creation of innovative laboratory or simulation exercises, simulation techniques, multidisciplinary and interdisciplinary education).

- 4) Documentation of research and creative/scholarly accomplishments should reflect the level and quality of the candidate's research and creative/scholarly activity. Recognition of research and creative/scholarly accomplishments could be demonstrated by chairing or organizing symposia or editing books or journals in the professional or inter-professional discipline; publishing books, book chapters, policy briefs, and articles in peer-reviewed journals; publishing abstracts; participating as a presenter in regional, national, and international symposia, conferences, and professional meetings; the ability to acquire extramural grant or contract funds, as a principal investigator, or as a multiple-principal investigator on interdisciplinary and team-based research extramural grants or contracts funded through peer review mechanisms; and entrepreneurial activity including patents, copyrights, and trademarks.
- 5) Documentation of professional and University service and public outreach, which may include University or approved external entity clinical service contributions, should reflect the level and quality of the candidate's professional, inter-professional, and/or clinical service contributions. Documentation might consist of leadership positions in local, state, regional (e.g., multi-state), or national associations; service on advisory boards for granting agencies or professional organizations; outstanding college or University committee work; consultantships; clinical and administrative leadership as evidenced by serving as head of a division, department, specific clinic service, research center, or core facility; evidence of acquisition, introduction, or development of new health care techniques, procedures, or clinical or professional practice approaches; development and evaluation of community health-related outreach programs; improvement in clinical, administrative unit, center or facility management; documentation of increased referrals or professional service contracts; demonstrable improvement (quality, utilization, access) in delivery of health care or other professional services; and related published manuscripts and abstracts, including those of clinical case studies, monographs, reviews, reports to administrative agencies, and book chapters.

(Regents, 3-9-22)

- (e) The chair of the academic unit is responsible for providing copies of the candidate's complete tenure file to each of the tenured faculty of the academic unit at least two weeks prior to the vote.
- (f) All tenured faculty in the academic unit 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/their qualifications but shall be available to enter the meeting on invitation to answer questions or clarify qualifications.

Formal consideration for tenure shall originate with the polling by secret ballot of all tenured faculty 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 (fewer than five) prevents appropriate academic unit tenure review. In such instances, the dean of the college, in consultation with the chair of the academic unit involved, shall for this purpose either establish the full college as the academic unit or establish an *ad hoc* tenure review committee by selecting a sufficient number of tenured University faculty from both within and outside of the college to constitute a total of five members to serve as the candidate's academic unit tenure review committee. In the latter instance, all eligible tenured faculty from the college must be included before looking outside the college.

When a tenure proceeding is initiated prior to the last pre-tenure year (see Section 3.8.3 (e)) and the result of the faculty vote is negative, that information shall not be forwarded, and tenure will be considered at the end of the pre-tenure period without prejudice.

- (g) The chair shall submit a separate tenure recommendation with supporting reasons.
- (h) All recommendations concerning tenure shall be in writing and, with exception of the faculty recommendation resulting from the confidential poll within the department, reasons for the recommendation must be stated at the time recommendations are made. At the time recommendations are made at each stage of the review process (chair, dean, Campus Tenure Committee, Senior Vice

President and Provost, President), written notification of such recommendation must be provided to the chair and to the candidate by the person or committee making the recommendation.

- (i) Copies of the academic unit's and chair's recommendations and all appropriate documentation upon which recommendations were based will be forwarded to the appropriate dean. Each dean will have an advisory council for tenure review and may also request information and advice from any source.
- (j) Upon receipt of the advisory council recommendation, and after due deliberation, the dean may recommend to grant tenure, to deny tenure, or to defer tenure consideration for a specified period of time. The dean will attach a recommendation with supporting reasons to the tenure materials, including the recommendation of the advisory council; forward all materials to the Office of the Senior Vice President and Provost for distribution to the Campus Tenure Committee. ~~The dean will, and~~ notify the candidate and the chair of the academic unit of the recommendation.
- (k) The Campus Tenure Committee will be composed of thirteen tenured faculty members recommended by the Faculty Senate (two from each college, excluding the Graduate College, and one from the Tulsa campus) on staggered three-year terms, and approved by the President. To avoid a conflict of interest, Campus Tenure Committee members shall recuse themselves from the discussion and from the vote on candidates from their own academic unit. In addition, Campus Tenure Committee members may vote at only one stage in the process – either at their academic level or at the Campus Tenure Committee level; when the member's academic unit needs the member to vote at the academic level to meet the minimum five tenured faculty requirement, the Campus Tenure Committee member shall vote at the academic level and recuse from voting at the Campus Tenure Committee level.
- (l) In determining its recommendation, the Campus Tenure Committee may request information or advice from any source. The tenure file will be returned to the academic unit for remedy or correction if there are deficiencies found in the academic unit's recommendation.
- (m) The Campus Tenure Committee shall provide the Senior Vice President and Provost with input as to whether the academic unit's recommendation is consistent both as to substance and process with the approved tenure criteria (Section 3.8.4).
- (n) The Campus Tenure Committee will attach its recommendation to the tenure materials; forward all materials to the Office of the Senior Vice President and Provost with supporting reasons; and notify the candidate, the chair of the academic unit, and the college dean of its recommendations.
- (o) The Senior Vice President and Provost may request information and advice from any source prior to making a recommendation.
- (p) If the Senior Vice President and Provost plans to submit a recommendation contrary to that of the Campus Tenure Committee, the Senior Vice President and Provost shall notify the chair of the Campus Tenure Committee in time to allow a thorough discussion between them before this recommendation is made.
- (q) After due deliberation, the Senior Vice President and Provost may recommend to grant tenure, to deny tenure, or to defer tenure consideration for a specified period of time. The recommendation of the Senior Vice President and Provost will be submitted to the President.
- (r) If the President plans to submit a recommendation contrary to that of the Senior Vice President and Provost and/or the Campus Tenure Committee, the President shall notify the appropriate party(ies) in time to allow a meeting between the President and the party(ies) prior to submitting a recommendation.
- (s) The President will notify the faculty member, chair, dean, and Senior Vice President and Provost by May 31 of the tenure decision, except when an appeal is pending.
- (t) The faculty member under review may appeal in writing to the Faculty Appeals Board at any time during the tenure review process if the faculty member believes that procedural violations have occurred or academic freedom has been violated. Appeals on these bases must be made within 30 calendar days after the faculty member's discovery of the alleged violation.

If the faculty member believes he/she has been discriminated against during the tenure review process, the faculty member may appeal discrimination on the basis of race, color, national origin, sex, sexual orientation, genetic information, gender identity, gender expression, age (40 or older), religion, disability, political beliefs, or status as a veteran to the University Institutional Equity Officer. Appeals on these bases must be made within 180 calendar days after the faculty member's discovery of the alleged violation.

The tenure review process is suspended while an appeal to either the Faculty Appeals Board or University Institutional Equity Officer is pending. When the tenure appeal prevents the tenure process from being completed before the end of the terminal year (Section 3.8.3(j)), the appeal shall not extend the faculty member's terminal year, even if the appeals process is not completed at the end of the terminal year. If the appeal is ultimately granted, the tenure review process will resume where it was suspended. If the faculty member is ultimately granted tenure at the completion of the tenure review process and that faculty member had been dismissed at the end of the terminal year, the faculty member will be reinstated with back pay of base salary and applicable fringe benefits that would have been earned from the date of termination to the date of reinstatement.

(Regents, 7-15-96, 1-26-99, 12-3-02, 6-25-08, 12-7-12, 6-24-15, 9-14-17)

3.9 FACULTY PROMOTION

A promotion 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, national, or international level as appropriate to the rank being sought, and by individuals within the University (see Section 3.9.1). Promotion decisions are made independently from tenure decisions.

3.9.1 Criteria for Promotion

Decisions to promote a faculty member in any appointment type must be made in light of a thorough evaluation of the faculty member's performance in all the areas of faculty activity (Sections 3.5.1, 3.5.2, and 3.5.3) as specified in the department and college promotion and tenure criteria and procedures. Promotion criteria for tenure track faculty must ~~mirror~~ be consistent with those criteria for tenure contained in Section 3.8.4 (a) – (e).

Internal candidates applying for an open position of higher rank must meet the promotion and advancement criteria stated in Section 3.9 for the college in which the position is open.

Each ~~department and~~ college must have a document that sets forth the standards and procedures governing promotion of faculty within that each department ~~and of the~~ college. The department and college documents may specify standards that are more specific than those of the University, provided they do not conflict with the standards of the University, and the procedures must be consistent with the procedures described herein. The document must be approved by the faculty of the college, the dean, and the Senior Vice President and Provost. The document must be distributed or made available to the faculty of the academic unit.

The candidate's performance will be measured against the following institutional criteria, in addition to the criteria defined in the department and college promotion documents:

- (a) Promotion to assistant professor is usually based on an advanced degree and/or certifications(s) that are standard prerequisites for an academic appointment in the discipline, appropriate experience, and promise for academic accomplishment.
- (b) While early consideration is possible, promotion to associate professor is usually based on five (5) or more years as an assistant professor; a sustained record of academic accomplishment in teaching, research and creative/scholarly activity, and professional and University service and public outreach; and strong academic performance and promise. This record of accomplishment must document an emerging reputation of local, regional, national, or international scope in the candidate's academic field. Professional publications are an important element in assessing regional or national recognition. Other factors may also be considered, such as presentations at conferences and leadership roles in professional societies.

- (c) While early consideration is possible, promotion to professor is a high honor and is usually based on five (5) or more years as an associate professor and demonstration of superior achievements and continued excellence in academic endeavors. Faculty promoted to this rank should have achieved national or international recognition for work in their respective disciplines, as evidenced by major contributions to teaching, research and creative/scholarly activity, and professional and University service and public outreach.
- (d) Length of time in a given rank is not in itself a sufficient reason for promotion.
- (e) Promotion should indicate that the faculty member has comparable accomplishments to others in the same rank and discipline at peer institutions.

3.9.2 Procedures for Promotion

- (a) The process regarding advancement in rank shall originate in the academic ~~units, unit(s)~~ (see Section 2.8.1 (c)), according to timelines determined by the Senior Vice President and Provost.
- (b) The college dean or the Senior Vice President and Provost may require the chair of an academic unit to initiate consideration of promotion for an individual faculty member. In such a case, the academic unit must forward a recommendation to the dean or Senior Vice President and Provost, whether or not it is favorable.
- (c) Primary responsibility for gathering complete information on professional activity rests with the individual faculty member ~~- except for securing letters of evaluation, with which rests with the department chair.~~ In general, documentation of the individual's academic accomplishments should include, but not be limited to the following:
 - 1) Complete and up-to-date curriculum ~~vita vitae~~, including a summary of college and university degrees earned; all professional employment; all professional honors and awards; ~~and teaching, research and creative/scholarly activity, including~~ an up-to-date list of professional publications by author in ~~chronological sequence;~~ ~~and professional and University service and public outreach elements.~~ Manuscripts in press or submitted for publication and abstracts should be listed separately.
 - 2) Letters of evaluation of academic performance in teaching, research and creative/scholarly activity, and professional and University service and public outreach will be solicited by the chair after consulting with the candidate. Where relevant, letters of evaluation should in particular address the candidate's role in interdisciplinary/team-based ~~teaching and~~ research. There should be three (3) letters of evaluation from individuals outside the University of Oklahoma who are considered established authorities in the discipline and who are in a position to evaluate the candidate's academic performance and suitability for promotion. These letters ~~are invited by the department chair, section chief, or division head and~~ may be solicited from individuals who were not suggested by the candidate. There may also be up to three (3) local letters to document an assessment of an individual's contributions to and accomplishments in activities such as teaching, team-based research, interdisciplinary educational or research projects, and University and/or clinical service. Letters of evaluation and/or recommendation that are solicited in confidence or sent with the expectation of confidentiality shall be deemed confidential and unavailable to the ~~employee~~ faculty member unless otherwise ordered by a court of law.

Examples of documentation of teaching, research and creative/scholarly activity and professional and University service and public outreach accomplishments are noted in Section 3.8.5 (d) (3)(4)(5).

- (d) All faculty who hold Regular Faculty appointments in the primary department who are of equal or higher rank to that for which the candidate is being considered and who are available shall meet for a discussion and vote on the candidate's qualifications for promotion.

Formal consideration for promotion shall originate with the polling by secret ballot of all faculty of equal or higher rank to which the candidate is being considered in the candidate's academic unit, including when

practical, those who are on leave of absence. The chair of the academic unit or other administrative personnel required to submit a separate promotion recommendation shall not participate in this vote.

At times, the small number of members of an academic unit (fewer than five) prevents appropriate academic unit promotion review. In such instances the dean of the college, in consultation with the chair of the academic unit involved, shall for this purpose either establish the entire college as the academic unit or establish an *ad hoc* promotion review committee by selecting a sufficient number of University faculty from both within and outside the college who are of equal or higher rank to that for which the candidate is being considered to constitute a total of five members to serve as the candidate's academic unit promotion review committee. In the latter instance, all eligible ~~tenured faculty from the college~~ faculty in the college who are at the rank to which the candidate aspires, or higher, must be included before looking outside the college.

- (e) The chair shall submit a separate promotion recommendation with supporting reasons. The section head and or Center director may submit a separate promotion recommendation with supporting reasons.
- (f) All recommendations concerning promotion shall be in writing and, with exception of the faculty recommendation resulting from the confidential poll within the department, reasons for the recommendation must be stated at the time recommendations are made. At the time recommendations are made at each stage of the review process (chair, dean, Senior Vice President and Provost, President), written notification of such recommendation must be provided to the chair and to the candidate by the person or committee making the recommendation.
- (g) Copies of the academic unit's and chair's recommendations and all appropriate documentation upon which recommendations were based will be forwarded to the appropriate dean. If the college has a promotion's committee the dean will provide the committee with the promotion materials. If not, the dean will proceed per the procedures noted below.
- (h) Upon receipt of the college promotion committee recommendations, as applicable, the dean will attach a recommendation with supporting reasons to the promotion materials, including the recommendation of the college promotion committee, and forward all materials to the Office of the Senior Vice President and Provost.
- (i) The Senior Vice President and Provost may request information and advice from any source prior to making a recommendation.
- (j) After due deliberation, the Senior Vice President and Provost will make a recommendation to the President.
- (k) The President will notify the faculty member, chair, dean, and Senior Vice President and Provost by May 31 of the promotion decision, except when an appeal is pending.

Whenever possible, a promotion for Regular faculty should be accompanied by an appropriate increase in salary (\$5,000 for 12-month faculty promoted to Associate Professor and \$8,000 for 12-month faculty promoted to Full Professor). Promotions should not be delayed because of budgetary constraints. Promotions should be earned on their own right and not be used as substitutes for salary increases.

- (l) The faculty member under review may appeal in writing to the Faculty Appeals Board at any time during the promotion review process if the faculty member believes that procedural violations have occurred or academic freedom has been violated. Appeals on these bases must be made within 30 calendar days after the faculty member's discovery of the alleged violation.

If the faculty member believes ~~he/she has~~ they have been discriminated against during the promotion review process, the faculty member may appeal discrimination on the basis of race, color, national origin, sex, sexual orientation, genetic information, gender identity, gender expression, age (40 or older), religion, disability, political beliefs, or status as a veteran to the University Institutional Equity Officer. Appeals on these bases must be made within 180 calendar days after the faculty member's discovery of the alleged violation.

The promotion review process is suspended while an appeal to either the Faculty Appeals Board or University Institutional Equity Officer is pending. If the appeal is ultimately granted, the promotion review process will resume where it was suspended.

(Regents, 7-15-96, 1-26-99, 12-3-02, 6-25-08, 12-7-12, 9-14-17)

3.10 SABBATICAL LEAVE POLICY

Sabbatical Leave Application Deadlines: ~~Applications~~ A sabbatical application must be submitted to the department chair or director by February 1 for ~~sabbaticals~~ a sabbatical leave beginning in the following academic year or later and no later than July 15 for ~~sabbaticals~~ a sabbatical beginning the following spring semester. The application must be approved by the dean and the Senior Vice President and Provost.

(a) Purpose

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

A faculty member does not automatically earn sabbatical leave. Instead, it is an investment by the University ~~in~~ with the expectation that the sabbatical leave will significantly enhance the faculty member's ability to contribute to the mission of the University. There should be a clear indication that the experiences 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 considered and approved by the University. ~~Sabbatical leaves are~~ A sabbatical leave is supported as an investment in the future of the faculty member, the University, and students of the University.

The purposes for which a sabbatical leave may be granted may include, but are not limited to:

- 1) Research on significant problems and issues.
- 2) Important creative or descriptive work in any means of expression; for example, writing or developing innovative programs.
- 3) Postdoctoral study at another institution to update teaching skills or scientific capabilities.
- 4) Other projects that contribute to the University's mission.

The proposal shall document that such work ~~is of such a robust nature that it~~ cannot occur as effectively during the regular work schedule of the faculty member.

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

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

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

(b) Conditions of Award

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

A faculty member applying for a sabbatical leave and receiving a stipend for the same period from another institution or agency may still receive a sabbatical provided that the Senior Vice President and Provost deems that the additional stipend will be needed to prevent financial loss to the faculty member obtaining the sabbatical.

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

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

(c) **Benefits Payable**

- 1) Employment benefits for a faculty ~~members~~member on sabbatical with full base salary will continue at full benefits levels. (Dually-employed College of Medicine - OKC faculty should refer to the College's compensation plan for benefits payable information.)
- 2) Employment benefits for a faculty ~~members~~member on sabbatical leave at less than full base salary will be as follows:
 - i) Health, Accidental Death/Dismemberment, and Dental insurance will continue at full benefit level.
 - ii) Social Security contributions will be based on the actual salary paid.
 - iii) The amount contributed to the Defined Contributions Plan will be computed by reducing the salary that is exempt in the same proportion to the sabbatical FTE. For example, for 1.0 FTE employees the first \$9,000 of salary is exempt from contributions. Thus, for a faculty member on sabbatical leave at half pay (.50 FTE) for a year, the salary that is exempt from contributions will be reduced to \$4,500.
 - iv) Faculty should consult the Office of Human Resources for information regarding the Defined Benefits Plan.

(Regents, 3-9-22)

(d) **Eligibility**

The semesters that are counted toward eligibility for ~~sabbatical~~sabbatical leave are the fall and spring semesters only and not the summer term or intersessions.

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

- 2) A faculty member's eligibility to apply for subsequent sabbatical leaves is established by length of service following return from the previous sabbatical leave in accord with the schedule referred to above. Occasional exceptions to the rule may occur when a faculty member who is otherwise formally approved for a sabbatical leave is obliged to postpone it for the convenience of the University.

(e) **Procedures**

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

- 1) The faculty member shall submit the sabbatical leave application to the department chair or director. The department chair or director shall submit the application and his/her recommendation 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 Senior Vice President and Provost. The Senior Vice President and Provost will recommend to the President, who will make recommendations to the Board of Regents for the ~~April and September~~ designated spring and fall meetings, respectively.

(Regents, 5-11-78, amended 9-9-82, 4-12-84, 1-17-85, 7-23-87, 1-24-95, 1-27-04, 6-23-04, 6-25-08, 12-7-12, 9-14-17)

(See Section 6 – Benefits, for additional Leave Policies)

3.11 AWARDS

The University recognizes outstanding teaching, research and creative/scholarly activity, and professional and University service and public outreach, by its faculty by presenting several annual awards to deserving nominees. Some awards are privately funded, and criteria and method of selection are set forth in joint University-donor contracts. The Senior Vice President and Provost, of the respective campus, will solicit recommendations for awards and announce appropriate schedules- for processing the nominations.

3.11.1 Regents' Awards

The Regents' Award is an annual University-funded award that is given to a faculty member whose accomplishments in at least one of the three areas (teaching, research and creative/scholarly activity, university/professional service and public outreach) are exceptional and clearly exceed normal expectations.

(a) **Criteria for Selection**

A nominee must have contributed significantly to the mission of the department/unit in the award area (teaching, research and creative/scholarly activity, service/outreach) being recognized and must have fulfilled obligations and performed well in the other areas as well.

(b) **Eligibility**

Nominees must be full-time, regular or non-regular faculty members, including those with full-time dual employment at approved external entities. The faculty member must have been a University of Oklahoma employee during the period for which the outstanding contributions are being recognized; previous accomplishments at other institutions, if applicable, may be used in support of a continued outstanding performance in the area of the specific award. A recipient of an award in one area (teaching, research and creative/scholarly activity, service/outreach) is ineligible for the same Regents' Award during the subsequent five-year period but is immediately eligible for a Regents' Award in a different area.

(Regents, 3-9-22)

i. Teaching

The educational training of students is at the core of the university mission. This training is accomplished through varied educational strategies and environments, including but not limited to in-class activities, hands-on student research training and mentorship, clinical teaching and mentorship, innovative course development (in-class and on-line), pedagogy improvements, and distance learning. Success of these activities must be demonstrated by measurable positive outcomes for students.

The nominator shall provide an informed commentary on the impact of the nominee's exceptional accomplishments, including classroom teaching, engagement with and commitment to students (including undergraduate, graduate, professional, and/or clinical residents and fellows), willingness to keep teaching material up to date with state of the art knowledge, willingness to support broader departmental teaching mission, positive feedback from students via [faculty evaluations](#) ~~STEs~~ and other channels and from peers via observation, engagement in faculty development activities related to pedagogy, new course development, service learning or service learning components, student advising and mentorship, formal and informal, supervision of graduate students.

ii. *Research and Creative/Scholarly Activity*

A clear expectation for a research-intensive university is the creation and dissemination of new knowledge and forms of creative activity. The creation of new knowledge derives from scholarly activities that drive innovation, with such activities supported by funding mechanisms appropriate to the discipline. Evidence of the creation of such new knowledge is established through impactful outcomes disseminated in different peer-reviewed formats that include publication of research manuscripts and books, performances and exhibits, and the effective mentorship and graduation of students and/or clinical residents and fellows. The impact of the nominee's research and creative/scholarly activities on the field of study must be substantiated by documentation appropriate to the discipline, and by letters of support from informed leaders in the nominee's field of study. For the Health Sciences Center, attention will be given to the ways in which a nominee may have an impact through team science and interdisciplinary/interprofessional scholarship.

iii. *University and/Professional and University Service and Public Outreach*

The University is, in the broadest sense, an integral part of the community (intellectual and physical) in which it resides. A faculty member's contributions to the general community include professional service that may be specific to a discipline (e.g., clinical practice and excellence in outcomes such as quality and patient experience, service as journal editor, conference organizer, or in leadership positions in professional organizations) as well as impactful activities that benefit university-community interactions (e.g., teacher training and service learning projects). Such activities enhance achievements in teaching and research. Successful nominees shall have demonstrated exceptional performance in activities that enhance the university's role and standing in the community.

(c) Nomination Procedures

1) Initiation

The [respective](#) Senior Vice President and [Provosts](#) ~~Provost~~ will solicit recommendations for the awards by September 15 of each year and announce appropriate schedules for processing the nominations. Furthermore, the solicitations will be posted on the appropriate campus website, for access by nominators and faculty on all campuses.

2) Recommendations

Nominations may derive from department chairs or unit directors, elected members of departmental/unit Committee A, a departments/unit's approved nomination committee, Center leaders, or a group of faculty who are familiar with the nominee's qualifications for the award. Only one nomination by an academic unit or other nominating group of faculty is allowed for each of the Regents' Awards. The nominating entity will be responsible for assembling the nomination packets including supporting documentation.

Nominations shall be forwarded to the respective dean for review and endorsement. An optional letter from the dean, if included, will focus on evaluator comments regarding the quality and significance of the nominee's impact on the broader OU mission. The dean's letter will not count towards the 25-page limit outlined below. The dean will forward the nomination materials to the respective Senior Vice President and Provost by November 1.

3) Supporting Documentation

Nomination packets must include the following, not to exceed 25 pages combined:

- A letter of nomination, not to exceed three single-spaced pages;
- A customized vita containing the relevant information pertaining to the accomplishments and criteria cited for the award;
- A short biography (about 100 words) highlighting the nominee's most significant accomplishments, and written for a general audience.

Although not required, the nomination packet may include letters of support. Letters must specifically address the area of the award. No more than five letters should be included. These letters of support will not count toward the 25-page limit.

(d) Selection Procedure

The University Council on Faculty Awards and Honors shall consider only the formal nominations. The Council may seek additional data about the nominees from supplemental sources, as appropriate.

The Council shall recommend to the Senior Vice President and Provosts as many as nine faculty members for the awards, with the understanding the majority of the awards will be given for Superior Teaching in the broadest sense as defined by the selection criteria. The Council also shall transmit all substantiating materials pertaining to all nominees. The Senior Vice President and Provosts will review the nomination materials and the Council's recommendations, and will forward their recommendations, along with all substantiating materials, to the President by February 1. The President will make recommendations to the Board of Regents.

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

(e) Announcement

The recipients of the Regents' Award for Superior Teaching, Regents' Award for Superior Research and Creative/Scholarly Activity, and Regents' Award for Superior Professional and University Service and Public Outreach will be announced by the Board of Regents at the Spring General Faculty Meeting.

(f) Perquisites

Each award will consist of affixing the recipient's name to a permanent plaque in a prominent and suitable location and a one-time award of \$10,000. A certificate suitable for framing will be presented to the recipient.

(Regents, 5-11-78; amended 9-11-86, 6-27-95, 1-26-99, 1-27-04, 01-26-11, 12-7-12, 9-14-17, 9-11-19)

3.11.2 Provost's Research Awards

The Provost's Research Award recognizes meritorious research. Two awards within both a basic science and a clinical science/translational category (based upon National Institutes of Health designations) may be given each year to full-time, regular faculty members (or a full-time FTE combined appointment with OU Health): one in each category for junior faculty (assistant professors); and one in each category for senior faculty (associate and full professors). The awards are given for significant individual achievement of original research. The awards are \$2,000 each.

(a) Nominations

Nominations will be solicited during the fall semester and can be made by any full professor. They should be made by a letter to the Vice President for Research describing the research achievement, enclosing the relevant research publication(s), three to five reference letters of support, as appropriate; and a curriculum vitae. Nominations will be evaluated by the Health Sciences Center Research Council, and the two judged best for each award will be forwarded to the Senior Vice President and Provost, along with an evaluation which gives the reasons for the recommendations. Nominations are due in January of each year.

(b) **Selection**

The selections are made by an ad hoc committee consisting of the chair of the Health Sciences Center Research Council, the Vice President for Research, and the Senior Vice President and Provost.

(c) **Recipients**

The recipients of the Provost's Research Award will be announced by the Senior Vice President and Provost at the Spring General Faculty Meeting.

(Senior Vice President and Provost, 8-27-98, 9-14-17, 7-7-21, 12-2-21)

3.11.3 Provost's Teaching Awards

The Provost's Teaching Awards recognize meritorious excellence in teaching. The awards are given for significant personal contributions to the quality, scope, and outcomes of teaching, learner assessment, and learner mentoring in the health professions, public health, or biomedical sciences.

Two awards are given each year to full-time (or a full-time FTE ~~combined dual~~ appointment with OU Health), faculty members.

- One award will be given to an **early career faculty member** who is within the first nine (9) years of the academic appointment and, at the time of nomination, holds the academic rank of instructor in an OUHSC undergraduate program, or assistant professor, or associate professor. If the nominee is an associate professor, he/she must have achieved that rank no more than 3 years prior to the date of the nomination.
- One award will be given to a **seasoned/~~senior~~ career faculty member** who holds the rank of associate professor or professor, has served as a faculty member in an OUHSC academic program for nine (9) or more years, and has established a record of teaching contributions commensurate with the length of the academic appointment, and bearing evidence of excellence including long-term outcomes of mentoring learners.

The awards are \$2,000 each.

(a) **Nominations**

Nominations will be solicited during the fall semester and can be made by any full-time faculty member. They should be made by a letter to the Vice Provost for Academic Affairs and Faculty Development describing the nominee's teaching achievements, enclosing three to five reference letters, including at least one from a faculty colleague and one from a former student, as well as a detailed curriculum vitae.

Nominations will be evaluated by the Educators for Excellence Advisory Panel, which includes at least two former recipients of University teaching awards. The Panel may also consist of individuals who have received research or professional service awards and/or participated in Educators for Excellence. The two nominations judged best for each award will be forwarded to the Senior Vice President and Provost, along with an evaluation that gives the reasons for the recommendations. Nominations are due in December of each year.

(b) **Selection**

The selections are made by an ad hoc committee consisting of the chair of the Educators for Excellence Advisory Panel, the Vice Provost for Academic Affairs, and the Senior Vice President and Provost.

(c) **Recipients**

The recipients of the Provost's Teaching Award will be announced by the Senior Vice President and Provost at the Spring General Faculty Meeting.

(Senior Vice President and Provost, 9-24-15, 9-14-17, 12-2-21)

3.12 DISTINGUISHED PROFESSORSHIPS

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

David Ross Boyd Professorships
 George Lynn Cross Research Professorships
 Regents' Professorships
 Presidential Professorships
 David L. Boren Professorships

(Regents, 5-12-66; amended 5-11-78, 9-26-95, 1-27-04, 12-7-12, 9-14-17, 9-11-19)

3.12.1 David Ross Boyd Professorship

The David Ross Boyd Professorship is one of the University's highest honors, recognizing faculty who have consistently demonstrated outstanding teaching, guidance, and leadership for students in an academic discipline or in an interdisciplinary program within the University.

(a) Criteria for Selection

Criteria which will be considered are the degree to which the candidate:

- has impacted the educational mission of the University;
- engages students and/or clinical residents and fellows in high-quality scholarship and professional service through effective mentoring strategies;
- establishes, communicates, and fulfills appropriate course and program goals;
- stimulates an intellectual inquisitiveness among students while creatively developing appropriate educational delivery formats and techniques appropriate to the program;
- mentors students (graduate, undergraduate, professional, and/or clinical residents and fellows) towards success in their chosen career paths;
- brings about change in students' knowledge, motives, and attitudes;
- establishes and promotes an inclusive culture in the University's educational mission;
- fosters the professional development of colleagues and serves as a model for colleagues and students.

(b) Eligibility

Nominees must be full-time faculty members who hold regular faculty appointments, including those with dual employment at approved external entities. Limited-term faculty at the Health Sciences Center may also be considered. Nominees will normally hold the rank of full professor but associate professors may be considered. The faculty member must have been a University of Oklahoma employee during the period for which the outstanding contributions are being recognized; previous accomplishments at other institutions, if applicable, may be used in support of a continued outstanding performance. Recipients are not eligible in subsequent years for a Presidential Professorship. Recipients are eligible for a David L. Boren Professorship, George Lynn Cross Research Professorship, and Regents' Professorship.

(Regents, 3-9-22)

(c) Nomination Procedures

- 1) **Initiation.** The respective Senior Vice President and Provosts Provost will solicit recommendations for the professorship by September 15 and announce appropriate schedules for processing the nominations. Furthermore, the solicitations will be posted on the appropriate campus website, for access by nominators and faculty on all campuses.
- 2) **Recommendations.** Nominations may derive from department chairs or unit directors, elected members of departmental/unit Committee A, a department's/unit's approved nomination committee, Center leaders, or a group of faculty who are familiar with the nominee's qualifications for the award. Only one nomination per academic unit or other nominating group of faculty is allowed. The

nominating entity will be responsible for assembling the nomination packets, including supporting documentation.

Nominations will be forwarded to the respective dean of the college for review and endorsement. An optional letter from the dean, if included, will focus on evaluator comments regarding the quality and significance of the nominee's impact on the broader University of Oklahoma mission. The dean's letter will not count toward the page limit below. The dean will submit all the nominations and supporting documentation to the respective Senior Vice President and Provost by **November 1**. The ~~respective Senior Vice President and Provosts~~ Provost will forward these materials to the University Council on Faculty Awards and Honors.

- 3) **Supporting Documentation.** Recommendations are to be accompanied by specific evidence that the nominee meets the criteria for selection. Nomination packets must include the following, not to exceed 25 pages combined:

- A letter of nomination, not to exceed seven single-spaced pages;
- A ~~customized short vitae~~ containing the relevant information pertaining to the accomplishments and criteria cited for the award;
- A short biography (about 100 words) highlighting the nominee's most significant accomplishments, and written for a general audience.

In addition, the nomination packet must also include letters of support. Letters must specifically address the criteria of the professorship. No more than five letters should be included, with no more than three letters from students or student groups. These letters of support will not count toward the 25-page limit.

(d) **Selection Procedures**

- 1) **Review.** The University Council on Faculty Awards and Honors shall consider only the formal nominations. The Council may seek additional data about nominees from supplemental sources, as appropriate. The Council shall forward to the ~~respective Senior Vice President and Provosts~~ Provost its recommendation(s) for the professorship for ~~their~~ review. The Council also shall transmit all substantiating materials pertaining to all nominees.
- 2) **Selection.** ~~The Each~~ Senior Vice President and ~~Provosts~~ Provost will review the nominees and forward their recommendations, along with all nominations and all substantiating materials pertaining to the nominees, by February 1 to the President, who will make the recommendations to the Board of Regents. The final selection of the recipient(s) will be made by the Board of Regents.

(e) **Announcement**

The final selections will be announced for Norman Campus at the annual Faculty Award Ceremony and for the Health Sciences Center at the Spring General Faculty Meeting.

(f) **Perquisites**

In the year of designation as a David Ross Boyd Professor, the person receiving the award will receive a one-time award of \$7,000 and a permanent salary increase of 7% on the University base salary or \$7,000, whichever is greater, starting in the subsequent fiscal year.

(g) **Term of the Award**

The term of a David Ross Boyd Professor is continuous until retirement or separation from the University.

(Regents, 5-11-78, 3-15-89, 9-26-95, 1-27-04, 6-25-08, 03-25-09, 12-7-12, 9-18-14, 9-14-17, 9-11-19)

3.12.2 George Lynn Cross Research Professorship

The George Lynn Cross Research Professorship is the highest research and creative activity honor given by the University to a faculty member who has demonstrated outstanding leadership over a period of years in ~~his or her~~their field of learning or creative activity.

(a) Criteria for Selection

A clear expectation for a research-intensive university is the creation and dissemination of new knowledge and forms of creative activity. The creation of new knowledge derives from scholarly activities that drive innovation, with such activities supported by funding mechanisms appropriate to the discipline. A nominee must have contributed significantly to the mission of the University of Oklahoma in research and creative activity, and must have been recognized nationally and internationally by peers for distinguished contributions to knowledge or distinguished creative work. Evidence of the creation of new knowledge is established through impactful outcomes disseminated in different peer-reviewed formats that may include publication of research manuscripts and books, performances and exhibits, and the effective mentorship and graduation of students. Recognition of scholarly activities may also include work in clinical trials and health services, quality improvement, and population health research. The impact of the nominee's research and creative/scholarly activities on the field of study must be substantiated by documentation appropriate to the discipline and by letters of support from informed leaders in the nominee's field of study. For the Health Sciences Center, attention will be given to the ways in which a nominee may have an impact through team science and interdisciplinary/interprofessional scholarship.

A nominee must have fulfilled obligations and performed well in the other areas of the university's function (i.e., teaching, service/outreach) as well.

(b) Eligibility

Nominees from the Norman campus must be tenured full-time faculty members. Nominees from the Health Sciences Center campus may include both consecutive term and tenured/tenure eligible faculty. Nominees will normally hold the rank of full professor but associate professors may be considered. The faculty member must have been a University of Oklahoma employee during the period for which the outstanding contributions are being recognized; previous accomplishments at other institutions, if applicable, may be used in support of a continued outstanding performance in the area of the specific award. Recipients are not eligible in subsequent years for a Presidential Professorship. Recipients are eligible for a David Ross Boyd Professorship, David L. Boren Professorship, and Regents' Professorship.

(c) Nomination Procedures

- 1) **Initiation.** The respective Senior Vice President and ~~Provosts~~Provost will solicit recommendations for the professorship by September 15 and announce appropriate schedules for processing the nominations. Furthermore, the solicitations will be posted on the appropriate campus website, for access by nominators and faculty on all campuses.
- 2) **Recommendations.** Nominations may derive from department chairs or unit directors, elected members of departmental/unit Committee A, a department's/unit's approved nomination committee, Center leaders, or a group of faculty who are familiar with the nominee's qualifications for the award. Only one nomination per academic unit or other nominating group of faculty is allowed. The nominating entity will be responsible for assembling the nomination packets, including supporting documentation.

Nominations will be forwarded to the respective dean of the college for review and endorsement. The nomination packages and names of potential external letter writers shall be forwarded to the respective campus Vice President for Research, who, in consultation with the respective dean, will develop a final list of potential evaluators who will be contacted for their support letters addressed to the deans.

- 3) **Supporting Documentation.** Recommendations are to be accompanied by specific indications that the person being recommended meets the criteria for selection.

Nomination packets must include the following, not to exceed 25–pages combined:

- A letter of nomination, not to exceed seven single-spaced pages;
- A ~~customized short vitae~~ containing the relevant information pertaining to the accomplishments and criteria cited for the award;
- A short biography (about 100 words) highlighting the nominee's most significant accomplishments, and written for a general audience.
- Names and contact information of national/international experts (15 maximum) in the nominee's area of research/creative activity who can be contacted for evaluator letters. These names should be solicited from the candidate and/or persons closely associated with the research area.

An optional ~~joint~~ letter from the Dean ~~and-or~~ respective Vice ~~Presidents~~ President for Research (Norman campus or OUHSC), if included, will focus on evaluator comments regarding the quality and significance of the nominee's impact on the mission of the respective College(s) and the university. This will be the only internal letter accepted. The ~~joint letter from the Dean and-or~~ Vice President for ~~Research's letter~~ Research will not count towards the 25-page limit. Materials are due to the respective Vice President for Research by November 1.

(d) **Selection Procedures**

- 1) **Evaluations.** The Vice President for Research will present to the appropriate Research Council all nominations with the supporting documentation. In addition, the Vice President for Research will present to the Research Council the external evaluations and ~~his/her~~ their own evaluation.
- 2) **Review.** The Research Council shall consider only the formal nominations. The Council may seek additional data about the nominees from supplemental sources, as appropriate. The Council shall forward to the respective Senior Vice President and ~~Provosts~~ Provost its recommendation(s) for the Professorship for ~~their~~ review. Research Council also shall transmit all substantiating materials pertaining to all nominees.
- 3) **Selection.** ~~The~~ Each Senior Vice President and ~~Provosts~~ Provost will review the nominees and forward their recommendations along with all substantiating materials, by February 1 to the President, who will make the recommendations to the Board of Regents. The final selection of the recipient(s) will be made by the Board of Regents.

(e) **Announcement**

The final selections will be announced for Norman Campus at the annual Faculty Award Ceremony and for the Health Sciences Center at the Spring General Faculty Meeting.

(f) **Perquisites**

In the year of designation as a George Lynn Cross Research Professor, the person receiving the professorship will receive a one-time award of \$7,000 and a permanent salary increase of 7% on the University base salary or \$7,000, whichever is greater, starting in the subsequent fiscal year.

(g) **Term of the Award**

The term of a George Lynn Cross Research Professor is continuous until retirement or separation from the University.

(Regents, 5-11-78, 3-15-89, 6-27-95, 9-26-95, 1-27-04, 6-23-04, 6-25-08, 3-25-09, 12-7-12, 9-14-17, 9-11-19)

3.12.3 Regents' Professorship

The Regents' Professorship recognizes a faculty member who has rendered outstanding service to the academic community or to an academic or professional discipline through extraordinary achievement in academic administration or professional service.

(a) **Criteria for Selection**

Eligibility

Nominees must be full-time faculty members who hold regular faculty appointments. The faculty member must have been a University of Oklahoma employee during the period for which the outstanding contributions are being recognized; previous accomplishments at other institutions, if applicable, may be used in support of a continued outstanding performance. Persons named Regents' Professors are not eligible in subsequent years for a Presidential Professorship. Recipients are eligible for a David L. Boren Professorship, David Ross Boyd Professorship, and George Lynn Cross Research Professorship.

(b) Nomination Procedures

- 1) **Initiation.** ~~The Each~~ Senior Vice President and ~~Provosts~~ Provost will solicit recommendations for the professorship by September 15 and announce appropriate schedules for processing the nominations. Furthermore, the solicitations will be posted on the appropriate campus website, for access by nominators and faculty on all campuses.
- 2) **Recommendations.** Nominations should derive from administrative leaders at OU, including administrative officers, current and former department chairs, college Deans, and Provosts. Packets must be assembled by the nominee's administrative and/or evaluator unit. Nominations are due to the respective Senior Vice President and Provost by **November 1**.
- 3) **Supporting Documentation.** Nomination packets must include the following, not to exceed ~~25 pages~~ 25 pages combined:
 - A letter of nomination, not to exceed seven single-spaced pages;
 - A ~~customized—short vita~~ CV containing the relevant information pertaining to the accomplishments and criteria cited for the award;
 - A short biography (about 100 words) highlighting the nominee's most significant accomplishments, and written for a general audience.

In addition, the nomination packet may also include up to five letters of support, either internal or external, but favoring at least two external letters. Letters must specifically address the criteria of the Professorship. These letters of support will not count toward the 25-page limit.

(c) Selections Procedures

- 1) **Review.** The University Council on Faculty Awards and Honors shall consider only the formal nominations. The Council shall forward to the Senior Vice President and Provosts its recommendation(s) for their review. The Council also shall transmit all substantiating materials pertaining to all nominees.
- 2) **Selection.** The respective Senior Vice President and ~~Provosts~~ Provost will review the nomination materials and the Council's recommendations and will forward their recommendations, along with all substantiating materials, by February 1 to the President, who will make recommendations to the Board of Regents. The final selection of the recipient(s) will be made by the Board of Regents.

(d) Announcement

The final selections will be announced for Norman Campus at the annual Faculty Award Ceremony and for the Health Sciences Center at the Spring General Faculty Meeting.

(e) Perquisites

In the year of designation as a Regents' Professor, the person receiving the award will receive a one-time award of up to \$7,000 and a permanent salary increase of 7% on the University base salary or \$7,000, whichever is greater, starting in the subsequent fiscal year.

(f) **Term of the Award**

The term of a Regents' Professorship is continuous until retirement or separation from the University.

(Regents, 5-11-78, 3-15-89, 9-26-95, 1-27-04, 3-25-09, 12-7-12, 9-14-17, 9-11-19)

3.12.4 Presidential Professorship

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

(a) **Criteria for Selection****Eligibility**

Nominees must be full-time, regular or non-regular faculty members, including those with dual employment at approved external entity-. The faculty member must have been an OU employee during the period for which the outstanding contributions are being recognized; previous accomplishments at other institutions, if applicable, may be used in support of a continued outstanding performance in the area of the specific award. The nominee must have excelled in at least two of the three areas below. Recipients of the David L. Boren Professorship, David Ross Boyd Professorship, George Lynn Cross Research Professorship, and the Regents' Professorship are not eligible for a Presidential Professorship. At OUHSC, nominees also must have been in good standing for the previous five-year period to be eligible.

(Regents, 3-9-22)

i. Teaching

The nominee shall have demonstrated leadership in modernizing and improving the undergraduate/graduate/_professional/_clinical instructional enterprise, including (i) the effectiveness of undergraduate (lower and upper division) and/or graduate, and/or professional courses developed and taught by the nominee, and (ii) the extent of the nominee's involvement with undergraduate/_graduate/_professional students and/or clinical residents and fellows in research/_mentoring/_advising within the academic discipline. In addition, the nominee must have actively participated in student-centered activities such as, but not limited to, OU's Undergraduate/Graduate Research Day, Stewart Wolf Day, Research Experiences for Undergraduates (REU) and/or First-Year Research Experience (FYRE) programs, freshmen Gateway courses, professional clerkships, mentorship of honors student theses, and sponsorship of academic clubs. At OUHSC additional examples include faculty participation in GREAT (Graduate Research Education and Technology), SURP (Summer Research Undergraduate Programs), or similar mentored experiences for students and trainees or OUHSC faculty participation in student-focused community learning experiences like Unity Clinic or Bedlam Clinic.

ii. Research and Creative/Scholarly Activity

The nominee shall have demonstrated significant involvement of graduate/ undergraduate/_professional students and/or clinical residents and fellows in the nominee's research and creative scholarly activities. This should be supported by measurable peer-reviewed outcomes including the quality and quantity of theses and dissertations supervised, professional degrees/_certifications issued publications co-authored with students, and performances/exhibits that involve significant student participation. For the Health Sciences Center, attention will be given to the ways in which a nominee may have an impact through team science and interdisciplinary/interprofessional scholarship.

iii. University/Professional Service and Public Outreach

The nominee must have contributed significantly to, and positively impacted, departmental/_college/_center/_university committees and/or public outreach programs. A faculty member's contributions to the

general community include professional service that may be specific to a discipline (e.g., clinical practice and excellence in outcomes such as quality and patient experience, service as a journal editor, conference organizer, or in leadership positions in professional organizations), as well as impactful activities that benefit university-community interactions (e.g., teacher training and service learning projects). Such activities enhance achievements in teaching and research. Successful nominees shall have demonstrated exceptional performance in activities that enhance the university's role and standing in the community.

(b) **Nomination Procedures**

- 1) **Initiation.** The President in conjunction with the Senior Vice President and Provost of the Norman Campus and the Senior Vice President and Provost of the Health Sciences Center - (a) will review the number of vacant Presidential Professorships, (b) will hold three vacancies each year for recruitment and retention of qualified faculty, and (c) will issue a call for nominations by September 15. The solicitations will be posted on the appropriate campus website, for access by nominators and faculty on all campuses.
- 2) **Recommendations.** Nominations may derive from department chairs or unit directors, elected members of departmental/unit Committee A, a department's/unit's approved nomination committee, Center leaders, or a group of faculty who are familiar with the nominee's qualifications for the award. The nominating entity will be responsible for assembling the nomination packets, including supporting documentation.

Nominations will be forwarded to the respective dean of the college for review and endorsement. An optional letter from the dean, if included, will focus on evaluator comments regarding the quality and significance of the nominee's impact on the broader OU mission. The dean's letter will not count toward the page limit below. The dean will submit all the recommendations and supporting documentation to the respective Senior Vice President and Provost by November 1.

- 3) **Supporting Documentation.** Nomination materials must include the following, not to exceed 25 pages combined:
 - A nomination letter (no more than three single-spaced pages) describing the nominee's impact on the scholarly and overall professional development of the students they teach and mentor;
 - A ~~customized short vitae~~ of the nominee that contains the relevant information pertaining to the accomplishments being cited for the award consideration;
 - A short biographical sketch (about 100 words) highlighting the nominee's most significant accomplishments and written for a general audience.

In addition, the following must be included but will not count toward the 25-page limit:

- Up to a total of five support letters from students (former or current) and professional colleagues (internal and/or external to OU) who can speak to the nominee's influence on students. These letters should, collectively, address as many of the relevant award criteria that the writer(s) can speak to.
- The nominee's Summary Reports of Annual Evaluations for the previous three years, or since beginning at the University if the nominee has been at the University less than three years.

(c) **Selection Procedures**

1) **Selection Committee**

Separate selection committees will be constituted on the Norman and Health Sciences Center campuses. The selection committees will be co-chaired by the respective campus' Senior Vice President and Provost and the Vice President for Research, who serve as non-voting members. Twelve members of the selection committee for each campus will be chosen as follows:

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

The President will also select two faculty-at-large members from the respective campus: at Norman Campus tenure-track and tenured faculty, and at Health Sciences Center campus tenure-track, tenured, or consecutive-term faculty, to serve two-year staggered terms.

The President will also select one distinguished outside individual to serve a two-year term.

2) Selection Procedure

The respective campus' Presidential Professorship selection ~~committees on both campuses~~ committee shall consider only the formal nominations. The committees may seek additional data about the nominees from supplemental sources, as appropriate. The selection committees' selections for the Presidential Professors must be forwarded by February 1 to the President along with all nominations and all substantiating materials pertaining to all nominees. The President will make recommendations to the Board of Regents. The final selection of the recipients will be made by the Board of Regents.

(d) Announcement

The final selections will be announced for Norman Campus at the annual Faculty Award Ceremony and for the Health Sciences Center at the Spring General Faculty Meeting.

(e) Perquisites

The Professorship is awarded for a four-year term. Assistant and Associate Professors receive \$5,000 per year and Professors receive \$10,000 per year. To be eligible for funding in any given year, a faculty member must be considered as a full-time continuing member of the University.

Decisions regarding merit increases in base faculty salary in the academic year will be made independently of faculty status as a Presidential Professor.

Presidential Professors will receive the professorship funding as a taxable bonus paid annually,

(f) Term of Award

The Professorship is granted for a four-year term with the faculty member receiving the funding each year based on faculty rank. Recipients retain the Presidential Professor title permanently.

(Regents, 9-26-95, 1-27-04, 6-23-04, 6-25-08, 12-7-12, 9-14-17, 9-11-19, 10-24-19, 1-28-21)

3.12.5 David L. Boren Professorship

The David L. Boren Professorship is one of the University of Oklahoma's highest honors, recognizing faculty who have made exceptional and truly impactful contributions to the mission of the University of Oklahoma as a public research university.

(a) Criteria for Selection

To qualify for the Professorship, a faculty member must have consistently demonstrated outstanding teaching, research and creative activity, and leadership in professional and public service. The holders of this distinctive honor should demonstrate effective mentoring and engagement of students in advancing knowledge creation and making a positive difference in the world.

Criteria which will be considered are the degree to which the candidate:

- 1) demonstrates leadership in the development of impactful scholarship and creative activity that is viewed as seminal within one or more fields;
- 2) exhibits scholarship and creative activity in high quality venues (including peer-reviewed publications/performances) supported by national funding appropriate to the field, and has their work cited frequently;
- 3) inspires inquisitiveness and intellectual curiosity among students as judged by measurable outcomes;
- 4) fosters the professional development of colleagues and serves as a model for colleagues and students;
- 5) demonstrates strong sense of community and is instrumental in the creation, organization, and mobilization of other individuals, groups and resources that are involved in projects benefiting the community, whether specific to a discipline or by enhancing the university's role and standing in the larger community.

(b) **Eligibility**

Nominees must be full-time faculty members who hold regular faculty appointments, including those with dual employment at approved external entity. Nominees will normally hold the rank of full professor but associate professors may be considered. The faculty member must have been a University of Oklahoma employee during the period for which the outstanding contributions are being recognized; previous accomplishments at other institutions, if applicable, may be used in support of a continued outstanding performance. Recipients are not eligible in subsequent years for a Presidential Professorship. Recipients are eligible for a David Ross Boyd Professorship, George Lynn Cross Research Professorship, and Regents' Professorship.

(Regents, 3-9-22)

(c) **Nomination Procedures**

- 1) **Initiation.** ~~The Each~~ Senior Vice President and ~~Provosts~~ **Provost** will solicit recommendations for the professorship by September 15 and announce appropriate schedules for processing the nominations. Furthermore, the solicitations will be posted on the appropriate campus website, for access by nominators and faculty on all campuses.
- 2) **Recommendations.** Nominations may derive from department chairs or unit directors, elected members of departmental/unit Committee A, a department's/unit's approved nomination committee, Center leaders, or a group of faculty who are familiar with the nominee's qualifications for the award. Only one nomination per academic unit or other nominating group of faculty is allowed. The nominating entity will be responsible for assembling the nomination packets, including supporting documentation.

Nominations will be forwarded to the respective dean of the college for review and endorsement. An optional letter from the dean, if included, will focus on evaluator comments regarding the quality and significance of the nominee's impact on the broader OU mission. The dean's letter will not count toward the page limit below. The dean will submit all the nominations and supporting documentation to the respective Senior Vice President and Provost by November 1. The Senior Vice President and Provosts will forward these materials to the University Council on Faculty Awards and Honors.

- 3) **Supporting Documentation.** Recommendations are to be accompanied by specific evidence that the nominee meets the criteria for selection. Nomination packets must include the following, not to exceed 25 pages combined:
 - A letter of nomination, not to exceed seven single-spaced pages;
 - A ~~customized short vitae~~ containing the relevant information pertaining to the accomplishments and criteria cited for the award;
 - A short biography (about 100 words) highlighting the nominee's most significant accomplishments and written for a general audience.

In addition, the nomination packet must also include letters of support from nationally or internationally recognized experts in the nominee's area of expertise (minimum: two for research/creative activity, one for teaching, one for service/outreach). Letters must specifically address the criteria of the professorship. No more than five letters will be accepted. These letters of support will not count toward the 25-page limit.

(d) **Selection Procedures**

- 1) **Review.** The University Council on Faculty Awards and Honors shall consider only the formal nominations. The Council may seek additional data about the nominees from supplemental sources, as appropriate. The Council shall forward to the Senior Vice President and Provosts its recommendation(s) for the professorship for their review. The Council also shall transmit all substantiating materials pertaining to all nominees.
- 2) **Selection.** ~~The Each~~ Senior Vice President and ~~Provosts~~ Provost will review the nomination materials and the Council's recommendations, and will forward their recommendations by February 1, along with all nominations and all substantiating material pertaining to all nominees, to the President, who will make recommendations to the Board of Regents. The final selection of the recipient(s) will be made by the Board of Regents.

(e) **Announcement**

The final selections will be announced for Norman Campus at the annual Faculty Award Ceremony and for the Health Sciences Center at the Spring General Faculty Meeting.

(f) **Perquisites**

In the year of designation as a David L. Boren Professor, the person receiving the award will receive a one-time award of \$10,000 and a permanent salary increase of 10% on the University base salary or \$10,000, whichever is greater, starting in the subsequent fiscal year.

(g) **Term of Award**

The term of a David L. Boren Professor is continuous until retirement or separation from the University.

(Regents, 12-4-14, 9-14-17, 9-11-19)

3.12.6 Presentation to Board of Regents

All nominations shall be sent to the Board of Regents at least twenty (20) University business days prior to the time that nominees' names appear on an agenda for action.

(Regents, 5-12-66, amended 5-11-78, 9-26-95, 1-27-04, 9-14-17)

3.13 ENDOWED CHAIRS AND ENDOWED PROFESSORSHIPS

An endowed chair or endowed professorship is a faculty position supported by an endowment. An endowed chair requires a minimum \$1 million endowment and an endowed professorship requires an endowment of a minimum of \$500,000. Endowed faculty positions allow the Health Sciences Center to recruit or retain educators, clinicians, scholars, and researchers who are leaders in their fields of study.

Faculty may be appointed to endowed chairs and professorships established at the Health Sciences Center.

(a) **Criteria for Selection**

Specific criteria for the selection of occupants may be established for particular chairs as appropriate. To qualify for an endowed chair or endowed professorship, a faculty member must be distinguished within a particular academic field or an interdisciplinary program unless an exception is approved by the Senior Vice President and Provost. 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 and approved in advance of an offer by the Senior Vice President and Provost.

(b) **Appointment Process**

Once a candidate has been identified, the dean will consult with the Senior Vice President and Provost. The Senior Vice President and Provost, after consultation, may make a recommendation to the President. The President may approve and forward the appointment to the Board of Regents or reject it and request further searching.

(c) **Vacancy**

If the endowed position is vacant, the accumulated interest earnings cannot be expended unless the Senior Vice President and Provost requests and receives written approval by the donor(s).

(Regents, 6-15-78; Presidential Clarification, 9-15-92; Regents, 6-27-95, 1-26-99, 1-27-04, 6-23-04, 12-7-12, 9-14-17)

(d) **Term of Appointment – Health Sciences Center Faculty**

An endowed position holder will be reviewed after 3 to 5 years, as indicated in the endowed position appointment letter. The endowed position may be renewed for two consecutive cycles or terminated after the initial term. The endowed position holder may retain the title with a term notation included.

3.14 COLLEGE AWARDS FOR FACULTY AND STAFF

Colleges that wish to use private funds to give faculty or staff merit awards for outstanding performance must secure the Senior Vice President and Provost's approval of the selection procedure and the number of awards prior to any advertising or announcement.

(Regents, 12-19-90, 3-7-91, 1-27-04, 9-14-17)

3.15 FACULTY SCHOLARSHIPS AND FELLOWSHIPS

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

(Regents, 5-11-78, 12-7-12, 9-14-17)

3.16 ABROGATION OF TENURE, TERMINATION OF EMPLOYMENT, SEVERE SANCTIONS, SUMMARY SUSPENSION, AND OTHER DISCIPLINARY ACTIONS

(a) **Abrogation of Tenure** - Only the Board of Regents has the power to abrogate tenure.

The University strives to exercise great care in selecting its faculty appointees and in conferring tenure only upon those faculty members who have demonstrated their merit for continuous appointment. For that reason, abrogation of tenure should be an exceptional event. When the President decides to recommend abrogation of tenure to the Board of Regents, the President must so notify the faculty member in writing. (See Section 3.16.1)

While abrogation of tenure generally will be required infrequently, the University must be prepared for such an eventuality so that both the integrity of the University and the rights of faculty members are preserved. The Faculty Appeals Board is the appropriate body to hear appeals regarding abrogation of tenure. The Board of Regents shall give all reasonable consideration to the recommendations of the Faculty Appeals Board Hearing Committee.

(b) **Termination of Employment**

The Senior Vice President and Provost, or the dean with approval from the Senior Vice President and Provost, has the power to terminate employment. The Faculty Appeals Board is the appropriate body to hear permissible appeals related to termination of employment under enumerated circumstances:

Improper conduct described in [Section 3.16.1](#) sub-sections [\(c\), \(d\)](#), (e), (f), (g), ~~(h), or (i)~~ below may result in immediate termination of employment. The faculty member may request a Faculty Appeals Board hearing following termination under [Section 3.16.1](#) [\(c\), \(d\)](#), (e), (f), (g), ~~(h), or (i)~~.

For consecutive term or tenure track faculty the notice requirements contained in [Section 3.2.7](#) (a) through (d) are not applicable to terminations under [Section 3.16.1](#) [\(ed\)](#) through (h).

(c) **Severe Sanctions**

The Senior Vice President and Provost, or the dean with approval from the Senior Vice President and Provost, has the power to impose severe sanctions. See [Section 3.16.1](#) for grounds for severe sanctions.

Faculty members who engage in improper conduct may be subject to severe sanctions short of termination or [tenure](#) abrogation. The imposition of such severe sanctions should be viewed as a serious step usually undertaken only after administrative remedies and/or minor sanctions have failed.

Severe sanctions may include, but are not limited to, loss of prospective University privileges for a stated period (for instance, loss of eligibility for a sabbatical leave of absence, loss of remunerated consultative privileges, loss of remunerated ~~private/clinical~~ practice privileges); a fine; or a reduction in salary [\(excluding reduction resulting from removal of administrative title or duty\)](#). The Faculty Appeals Board is the appropriate body to hear appeals regarding severe sanctions.

(d) **Summary Suspension**

Upon consultation with or recommendation by the department chair, the Senior Vice President and Provost, or the dean, with approval from the Senior Vice President and Provost, has the power to impose summary suspension. The period of suspension should be determined based on the circumstances giving rise to the suspension, including but not limited to summarily suspending a faculty member from some or all duties. Assigning the faculty member to other duties in lieu of suspension, is justified if immediate harm to the faculty member, others, or the University is threatened by that faculty member's continued performance of regular duties.

Summary suspension may be with or without pay. A faculty member who has been summarily suspended is not entitled to receive University compensation from consultative privileges or Professional Practice Plan/[Compensation Plan](#) privileges. If suspension is with pay, compensation will consist only of University base salary during the period of summary suspension.

Summary suspension does not remove from the University the obligation to provide due process within a reasonable period of time following the suspension, upon the faculty member's request for a Faculty Appeals Board hearing. The Faculty Appeals Board is the appropriate body to hear appeals regarding summary suspension.

(e) **Disciplinary Actions for Failure to Adhere to University Compliance Program, Professional Practice Plan Policies, [OU Health Policies](#)*, [Billing Compliance Policies](#), or Other University, Federal or State Mandates:**

The Senior Vice President and Provost, or the dean with approval from the Senior Vice President and Provost, has the power to impose disciplinary actions under this sub-section.

~~An employee's~~ ~~A faculty member's~~ ~~An employee's~~ failure to adhere to the University Compliance Program, Professional Practice or Compensation Plan policies, [OU Health Policies](#), [Billing Compliance Policies](#), or other federal or state mandates requires that the University take quick and decisive action such as imposing fines upon, suspending the billing privileges of, or otherwise sanctioning or terminating, University faculty who have been determined to be out of compliance.

Disciplinary actions imposed under this sub-section (e) are not considered severe sanctions for purposes of this policy and are not appealable to the Faculty Appeals Board.

* [OU Health Policies](#) apply to dual-employed/appointed OU employees.

(Regents, 3-9-22)

(f) **Minor Sanctions**

The chair of the academic unit with approval from the dean, has the power to impose minor sanctions.

A faculty member against whom the imposition of minor sanctions is sought must be informed in writing of the basis for the action. While it is not possible to specify all grounds for which minor sanctions may be sought, they include, but are not limited to, the following:

- (1) Neglect of duty or failure to carry out normal and expected satisfactory teaching, research, or service responsibilities, including patient care
- (2) Unprofessional conduct adversely affecting the functioning of the area, department, college, or University
- (3) Failure to adhere to University policy or the policies of any third party with which OU has contracted and agreed to require its employees to follow.

Minor sanctions may include, but are not limited to, suspension of teaching and clinic assignments, suspension of travel privileges for not more than 30 University business days, and/or restitution to the University. A faculty member who believes the sanctions are unfair/unsupported may appeal the sanction(s) imposed to the Senior Vice President and Provost within 15 University business days of notice of the sanction(s). The Senior Vice President and Provost will review the sanction(s) imposed, meet with the faculty member if requested, and decide to affirm, modify, or revoke the minor sanctions. The decision of the Senior Vice President and Provost is final.

(Regents 7-15-96, 1-26-99, 12-3-02, 6-25-08, 12-7-12, 9-14-17)

3.16.1 Grounds for Abrogation of Tenure, Termination of Employment, and Severe Sanctions

A faculty member against whom the imposition of abrogation of tenure, termination of employment, or a severe sanction is sought must be informed in writing of the basis for the action. The Faculty Appeals Board is the appropriate body to hear permissible appeals related to abrogation of tenure, termination of employment, and severe sanctions enumerated above. (For appeals related to prohibited discrimination, ~~included~~including sexual and racial harassment, refer to section 3.20.) While it is not possible to specify all grounds for which abrogation of tenure, termination of employment, or severe sanctions may be sought, they include, but are not limited to the following:

- (a) Professional incompetence or dishonesty;
- ~~(b) Substantial, manifest, or repeated failure to, and/or refusal to fulfill professional duties and responsibilities;~~
- ~~(c)~~(b) Substantial, manifest, or repeated failure to, and/or refusal to adhere to University policies provided, however, that a faculty member may not appeal a prior finding of a violation of University policy by a University administrative officer or body when such finding has already been appealed under that policy;
- ~~(d)~~(c) Personal behavior preventing the faculty member from satisfactory fulfillment of professional duties or responsibilities*;
- ~~(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.*
- ~~(f)~~(e) Violations of law to which the faculty member has pleaded guilty or *nolo contendere* or that have been adjudicated before a court of competent jurisdiction that prevent the faculty member from satisfactorily fulfilling professional duties or responsibilities, or violations of a court order, ~~when such violations relate to the faculty member's proper performance of professional responsibilities.~~ In such case the University will take quick and decisive action by terminating the faculty member's employment*.
- ~~(g)~~(f) Loss or suspension of a professional license, loss or suspension of prescribing authority, and voluntary or involuntary loss of clinical privileges – all with failure to reacquire within 45 days of loss or suspension;

inability to obtain or maintain enrollment as a provider with an insurer; or inability to obtain or maintain professional liability insurance coverage in which case the University will take quick and decisive action by terminating the faculty member's employment.*

~~(h)(g)~~ For faculty hired ~~primarily — typically more than 75% — to who~~ spend their time in clinical practice or practice-related activities, ~~those who now spend their time primarily in clinical practice or practice-related activities,~~ or those employed that are employed primarily by an approved external entity, poor clinical performance, unprofessional behavior, or conduct that jeopardizes patient safety may result in the University's taking quick and decisive action by terminating the faculty member's employment.*

(h) Loss or resignation of a dual employment, ~~or~~ appointment, or arrangement to provide services at an approved external entity, including where an approved external entity informs the University that a faculty member's services are no longer needed; provided, however, that the University may elect, at its option, to offer to extend the faculty member's University employment or ~~or~~ appointment and tenure.

(i) Admission of responsibility for violations of the University's Ethics in Research Policy or determination by the Deciding Official of responsibility for violations of the University's Ethics in Research Policy, where the Deciding Official determines that termination is an appropriate sanction.

* Improper conduct, improper personal behavior, violations of law, or conduct loss noted in sub-sections ~~(cd)~~, ~~(de)~~, ~~(ef)~~, ~~(fg)~~, ~~or (gh)~~ (h) or (i) above may result in immediate termination. The faculty member may request a Faculty Appeals Board hearing following termination under ~~(c)~~, ~~(de)~~, ~~(ef)~~, ~~(fg)~~, ~~or (gh)~~ (h) or (i).

For consecutive term or tenure track faculty, the notice requirements contained in Section 3.2.7 (a) through (d) are not applicable to terminations under Section 3.16.1 (ed) through (h).

(Regents, 1-26-99, 12-3-02, 6-25-08, 12-7-12, 9-14-17, 3-9-22)

3.17 FACULTY APPEALS BOARD APPEALS

All faculty, whether tenured or not, are entitled to academic freedom as set forth in Section 3.3 and to academic due process.

The Faculty Appeals Board shall consider eligible appeals based upon alleged violations of academic freedom or academic due process; the alleged failure to follow University policy; or alleged unfairness in the application of University policy unresolved through the administrative process. The procedures also cover permissible appeals related to abrogation of tenure, termination of employment actions, severe sanctions, and summary suspension. The faculty member may seek redress through the Faculty Appeals Board if such alleged 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 violation of due process or academic freedom or if there are other appealable grievances that have not been resolved administratively. It is also the appropriate appeal process for abrogation of tenure, termination of employment actions, severe sanctions, and summary suspension (Section 3.19).

The University's Non-Discrimination Policy and the Grievance Procedures for Formal Complaints of Sexual Harassment and Misconduct sets forth the policies and procedures for all grievances and appeals related to any form of discrimination or harassment prohibited by University policy. Appendix ~~H2-V~~ and Appendix J, VII B-E.

Faculty members serving as section chiefs, chairs, directors, deans, or in other administrative positions who are relieved of their administrative responsibilities may not appeal their removal from their administrative positions, nor may dual employees/appointees who are removed from their University appointments due to no longer being employed and/or holding an appointment at an approved external entity appeal the removal of their University employment/appointment.

(Regents, 1-26-99, 12-3-02, 12-7-12, 6-24-15, 9-14-17)

3.18 THE FACULTY APPEALS BOARD

- (a) The Faculty Appeals Board is a standing body appointed by the Faculty Senate that responds to requests for a hearing with regard to alleged violations of academic freedom or academic due process, other appealable grievances concerning the alleged failure to follow University policy, or alleged unfairness in the application of University policy unresolved through administrative procedures, tenure abrogation, termination of employment actions (under enumerated circumstances), severe sanctions, and summary suspension. The Faculty Appeals Board considers all such matters brought before it in a timely manner by individual faculty members. It is the responsibility of the Faculty Appeals Board Chair to ensure that all matters are handled in a timely manner.
- 1) In cases related to alleged violation of academic freedom or academic due process or in cases related to other grievances concerning the alleged failure to follow University policy or alleged unfairness in the application of University policy, the faculty member is considered the complainant and the administration the respondent.
 - 2) In cases related to abrogation of tenure, termination, severe sanctions, or summary suspension, the administration is considered the complainant, and the faculty member is the respondent. The written notice provided to the faculty member outlining the charges will serve as the complaint.
- (b) The Faculty Appeals Board of the Health Sciences Center shall consist of forty tenured faculty members representing fairly the existing colleges on the Health Sciences Center campus. The members shall be appointed from among all full-time faculty whose duties are primarily non-administrative (i.e., not at the level of Assistant/Associate Dean, Dean, Assistant/Associate/Vice Provost, or Senior Vice President and Provost). All terms shall be four years.
- (c) Each Faculty Appeals Board shall have a chair and vice chair designated by the Faculty Senate. The chair and vice chair must be from separate colleges.
- (d) All responsibilities of the chair will be relinquished and passed to the vice chair if the appeal at issue is from a faculty member in the same college as the chair.
- (e) All members of the Board are eligible for re-election. Terms of service shall begin July 1 and end June 30 except that if a hearing is in progress at this time, any retiring member of the Board who is on the Hearing Committee shall be continued on the Committee until the case in progress is closed.
- (f) If a member of the Board, not serving on a Hearing Committee, ceases to be a full-time member of the faculty or if ~~his or her~~their duties become primarily administrative, the Senate shall elect a replacement to complete the term.
- (g) Members on the Board who have an appeal pending before the Board shall be suspended from all Board activities until the appeal is resolved.

(Regents, 1-26-99, 12-3-02, 6-25-08, 12-7-12, 9-14-17)

3.19 FACULTY APPEALS BOARD PROCESS

3.19.1 Initiation of Appeal and Request for a Faculty Appeals Board Hearing

- (a) **Request for a Faculty Appeals Board Hearing - Academic Freedom, Academic Due Process or Other Appealable Grievances Concerning the Alleged Failure to Follow University Policy or Alleged Unfairness in the Application of University Policy:**

Deadline to Request a Hearing: Within 3045 University business days after ~~he/she/they~~ became or should have become aware of the alleged violation.

Any faculty member who believes that either academic freedom or academic due process has been violated or alleges other grievances concerning the failure to follow University policy or unfairness in the application

of University policy, as described in Section 3.17 above, should first seek prompt redress through regular administrative channels, which include the chair, dean, and Senior Vice President and Provost. Seeking redress through regular administrative channels or the University Ombudsperson does not extend the ~~3045~~-day time period allowed for filing an appeal.

If the administrative review does not provide a satisfactory result, and if the faculty member wishes to continue the appeal, he/she may submit, as the complainant, a written statement outlining the specific points of appeal and requesting a formal hearing to the Chair of the Faculty Appeals Board no later than ~~3045~~ University business days after he/she became or should have become aware of the alleged violation.

(Regents, 3-9-22)

(b) **Request for Hearing - Abrogation of Tenure, Appealable Termination of Employment, Severe Sanctions, or Summary Suspension:**

Deadline to Request a Hearing: Within ~~3045~~ University business days of the date of the written notice provided to the faculty member.

Any faculty member who chooses to exercise due process rights for an appealable termination of employment, severe sanctions, summary suspension, or the decision by the President to recommend abrogation of tenure to the Board of Regents, as described in Section 3.17 above, must submit, as the respondent, a written request for hearing to the Chair of the Faculty Appeals Board within ~~3045~~ University business days of the date of the written notice of the action provided to the faculty member.

(c) The time intervals specified in the preceding and following sections should be maintained unless waived by the Chair of the Faculty Appeals Board for unusual circumstances or in order to allow continuing progress towards informal resolution of the complaint.

(d) The Faculty Appeals Board process is a lay process that relies on peer review and the common sense, sound judgment, good character, and sense of fairness of each Hearing Committee member. The Faculty Appeals Board procedures should strive to diminish formality and rigidity. The process is not to be considered a trial but is a system of internal review to effect a just and fair disposition of a grievance.

(e) From time to time, compliance with applicable State and/or Federal law(s) may require modification of the Faculty Appeals Board process, which includes modification of the related hearing procedures.

(f) **Responsibilities of the Faculty Appeals Board Chair**

1) The Faculty Appeals Board Chair, within ~~105~~ University business days of receipt of written request for a hearing, has the responsibility to determine if the complaint is appealable under University policy and whether the deadlines under **sections 3.19.1.(a) and (b)** have been met. If the complaint is timely and appealable, the process will continue. If the complaint is not timely and/or appealable, the Chair shall so notify both the complainant and the respondent and the process will end.

2) Within 10 University business days of determining a complaint is timely and appealable, the Faculty Appeals Board Chair shall, prior to initiating the formal hearing process, hold a pre-hearing conference by meeting with the complainant and respondent, either together or separately, to discuss the points of the complaint. The intent will be to resolve differences where possible and to seek a resolution and/or dismissal of the appeal.

3) Ordinarily the University General Counsel or a member of his/her staff not otherwise involved will serve as the legal advisor to the Faculty Appeals Board. If the Chair of the Faculty Appeals Board reasonably believes that the University General Counsel's office has a conflict of interest that would prevent the office from objectively advising the Faculty Appeals Board, he/she may request a meeting with the President or his designee to discuss the concern and to request other counsel. If the President agrees, he may appoint other counsel to advise the Hearing Committee.

3.19.2 Formal Faculty Appeals Board Hearing Procedure

All appealable 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) To initiate the Faculty Appeals Board hearing procedure, the Chair of the Faculty Appeals Board will request statements be submitted within 10 University business days 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 ~~(89)~~ below. The statement shall include:

~~All appealable 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) The Chair of the Faculty Appeals Board will request the complainant to submit to both the Chair and the respondent, within 10 University business days, a written statement embodying:~~

- 1) Relevant policies of the administrative or academic unit, the College, the Senior Vice President and Provost's Office, the President's Office, and the Board of Regents.
- 2) The written complaint (**Section 3.19.1(a) and (b)**).
- 3) A summary of the evidence upon which the complaint is based.
- 4) A list of witnesses proposed to be called, a brief summary of the testimony of each proposed witness, and a copy of exhibits proposed to be presented.

- (b) The Chair of the Faculty Appeals Board will, upon receipt of the complainant's statement, request the respondent to submit to both the Chair and the complainant, within 10 University business days, a written statement including:

- 1) Relevant policies of the administrative or academic unit, the College, the Senior Vice President and Provost's Office, the President's Office, and the Board of Regents.
- 2) The written response outlining the specific points of defense.
- 3) A summary of the evidence to be used in refuting the charges.
- 4) A list of proposed witnesses to be called, a brief summary of the testimony of each proposed witness, and a copy of exhibits proposed to be presented.

- (c) Selection of Hearing Committee:

- 1) Within five University business days after receipt of the faculty member's request for a hearing, the Chair of the Faculty Appeals Board will proceed with the selection of the Hearing Committee by submitting the list of names of the eligible Board members to both parties. The list shall not include a member or alternate of the same academic unit or one who is related by consanguinity or affinity to the respondent or complainant. Members and alternates currently serving on another hearing shall also be ineligible. A member or alternate of the Hearing Committee may disqualify himself or herself on personal initiative or in response to such challenge for cause as is provided for in this section. The Chair of the Faculty Appeals Board shall also determine, in consultation with the legal counsel to the Faculty Appeals Board, that no one on the list has a bias related to the person(s) or issue at hand.
- 2) Within five University business days after submitting the list of eligible Board members to both parties, the Chair of the Faculty Appeals Board will select seven members of the Board to constitute the Hearing Committee, three additional members to serve as alternates, ~~and ten members to be available to serve as alternates (alternate pool)~~ should replacements become necessary through personal disqualification, challenge of individuals initially selected, or other cause.

The selection of members and alternate members of the Hearing Committee shall be made by lot and shall be made in the presence of the Chair of the Faculty Senate or a designated representative. The complainant and the respondent shall be invited to be present or to send a representative. The Chair of the Faculty Appeals Board shall notify members in writing of their selection to the Hearing

Committee and of the parties involved and provide a brief description of the general nature of the issue. Members who cannot serve objectively must so notify the Chair within five University business days.

- 3) Within five University business days of notice of the initial selection of the Hearing Committee, the complainant or the respondent may submit a written request to the Chair of the Faculty Appeals Board asking that members or alternates of the Hearing Committee be disqualified on grounds of bias or personal interest in the case. If, however, a challenge for cause is disputed by either of the parties, the Faculty Appeals Board Chair shall decide whether cause has been shown and, if so, replace the member or alternate, in accordance with (1) and (2) above.
- 4) After challenges for cause have been acted on, the complainant and the respondent, each may make a maximum of two peremptory challenges of members or alternates selected for the Hearing Committee within five University business days of the date the parties are notified that such challenges for cause are resolved. Replacements shall be made in accordance with (1) and (2) above.

A finalized list of Hearing Committee members and alternates will be given to all parties within five University business days of resolving any challenges of the membership of the Hearing Committee or alternates by the complainant or the respondent. If no challenges are offered, the finalized list must be completed within 20 University business days of the initial selection of the Hearing Committee and alternates by the Chair of the Faculty Appeals Board.

All decisions regarding initial disqualifications shall be made prior to the first meeting of the Committee. Within 10 University business days after the Hearing Committee and the alternates have been finalized, the Chair of the Faculty Appeals Board shall select from the Hearing Committee the individual to serve as the Chair, who shall then set the date of the hearing. Every reasonable effort should be made by the Hearing Committee and both parties to hold the hearing as soon as possible.

- 5) Members of the Hearing Committee who are subsequently ineligible, ill, or otherwise unable to serve, shall be replaced from among alternate members by the Chair of the Faculty Appeals Board. ~~Alternates who are subsequently ineligible, ill, or otherwise unable to serve, or who become members of the Hearing Committee will be replaced from among the alternate pool (Section 3.19.2(c)(2)) by the Chair of the Faculty Appeals Board.~~

- ~~6) If a member of a Hearing Committee ceases to be a tenured, fulltime member of the faculty, he or she shall be replaced from among the alternates by the Chair of the Faculty Appeals Board.~~

- ~~7)6) If the duties of a Hearing Committee member become primarily administrative, the member shall inform the Chair of the Faculty Appeals Board. The Chair of the Faculty Appeals Board will inform all parties. The member will continue to serve unless either party objects in writing to the Chair of the Faculty Appeals Board within five University business days of receipt of notice.~~

- ~~8)7) Three alternate members shall be maintained according to selection procedures in Section 3.19.2(c)(2). Alternate members shall attend all meetings of the Hearing Committee and the hearing.~~

3.19.3 Faculty Appeals Board Hearing Regulations

The following regulations shall apply:

- (a) The Chair of the Hearing Committee, after consulting with the ~~attorney from L~~Legal Counsel assigned to the Committee, shall have the final decision on any procedural issues raised that are not addressed by the *Faculty Handbook*.
- (b) The parties shall have the right to attend the hearing and to be accompanied by a colleague or counsel to advise them. The names of such colleague or counsel shall be provided to the Chair of the Hearing Committee at least 15 University business days prior to the hearing. The party appealing is responsible for obtaining and paying for costs for his/her representation. ~~These r~~Representatives may not question witnesses or address the Hearing Committee. All hearings will be closed to the public.

- (c) The Chair of the Hearing Committee shall serve as liaison for communication between the complainant or respondent and the Hearing Committee. Communications related to evidence and hearing procedures should be directed to the Chair of the Hearing Committee. Neither party shall communicate orally or in writing with individual Hearing Committee members during the hearing procedure. To ensure that information provided to the Hearing Committee by either party is part of the official documentation of the proceeding, the Chair of the Hearing Committee shall provide each party with a copy.
- (d) The written statements of both parties, as provided in **Section 3.19.2 (a) and (b)** and evidence taken or considered beyond the written statements shall be heard by the entire Hearing Committee at the hearing and not beforehand.
- (e) The principles of confrontation shall apply throughout the hearing. Both parties, but not their colleague or counsel, shall have the right to present, examine, and cross-examine witnesses, and each other.
- (f) The Senior Vice President and Provost's Office shall make available to the parties such authority as it possesses to require the presence of witnesses.
- (g) The report of the Hearing Committee, which shall include findings and recommendations, will be submitted to the Senior Vice President and Provost within 10 University business days of the conclusion of the hearing, regardless of whether the written transcript of the hearing is available. The Senior Vice President and Provost shall forward the Hearing Committee's findings and recommendations, as well as his/her recommendation, to the President.
- (h) The Chair of the Hearing Committee is responsible for maintaining a full and accurate record of the proceedings. This shall consist of a recording or, at the option of either party, a written transcript taken by a court reporter and shall include copies of all exhibits and other materials distributed at the hearing.
- ~~(i)~~(i) 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.
- ~~(j)~~(k) The University shall not be liable for any costs whatsoever incurred by the appealing faculty member except as set forth in this section.

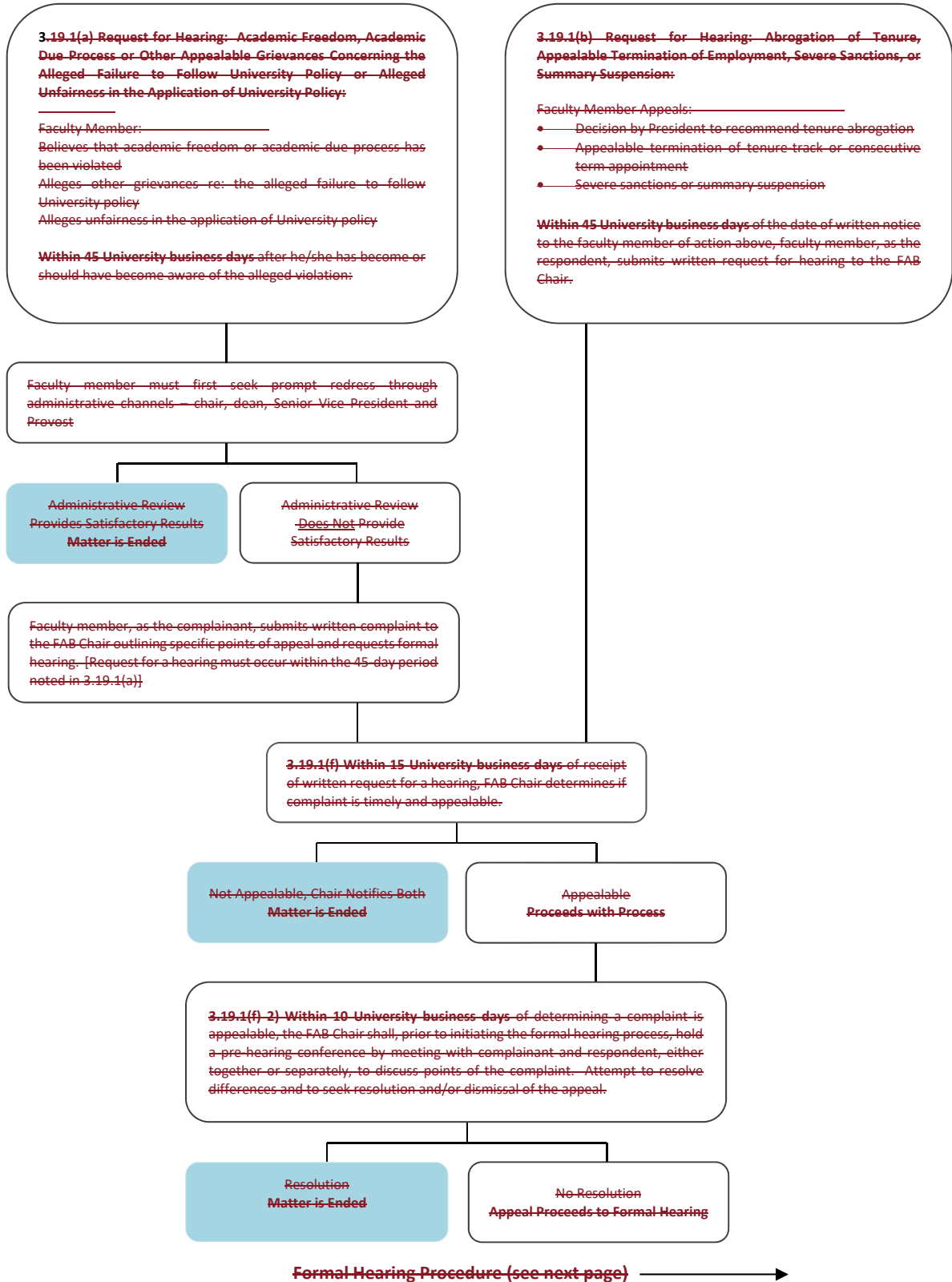
3.19.4 Disposition of Charges

The President shall transmit to the Board of Regents the full record of the hearing and the findings and recommendations of the Hearing Committee, his/her recommendations, and the Senior Vice President and Provost's recommendations. The Board of Regents shall come to a decision in the case based upon the materials submitted plus any additional information which it wishes to consider, or it may return the matter to the Hearing Committee with written directions as to how to proceed.

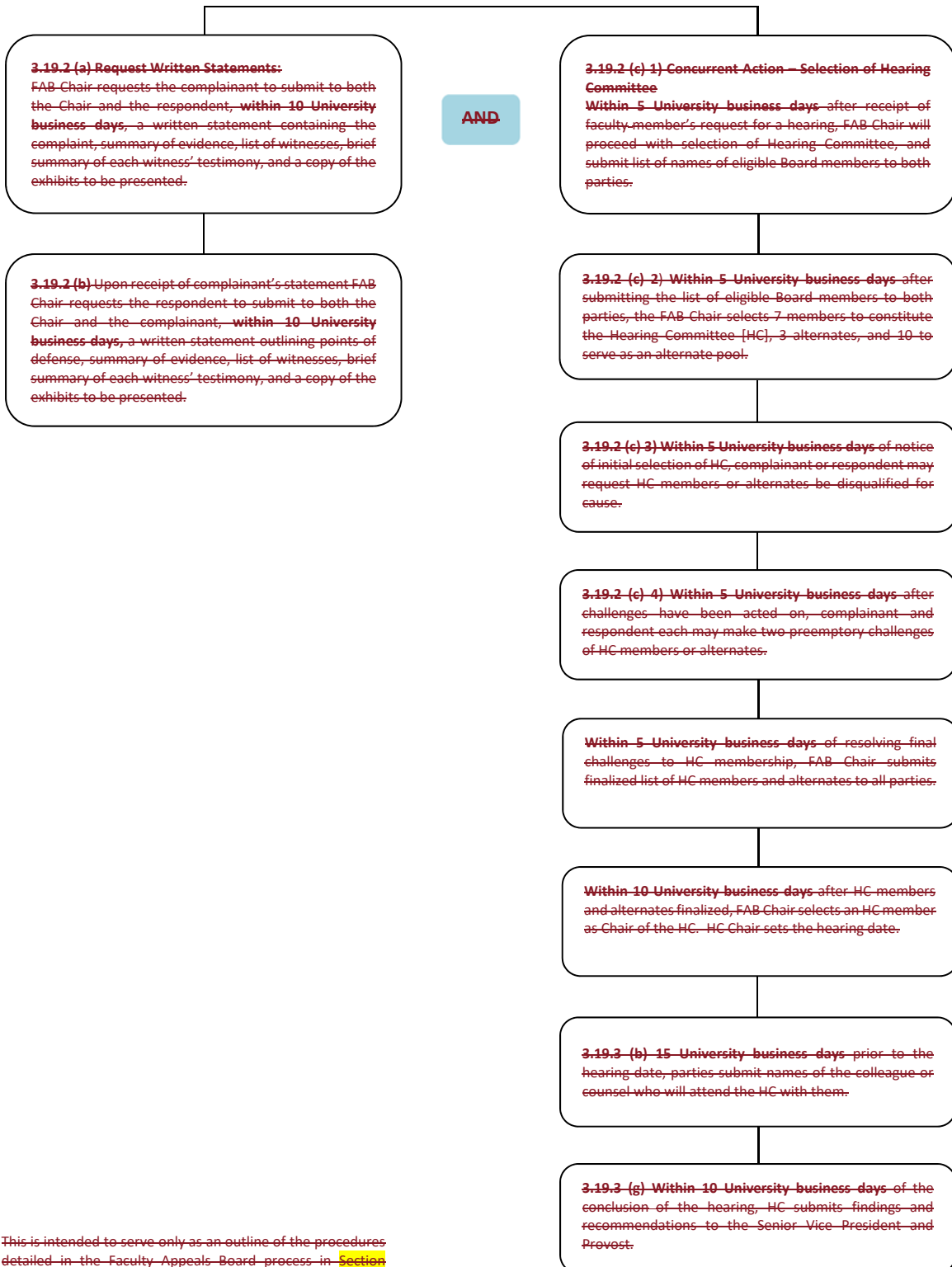
- (a) When the Board of Regents reviews the matter, the principals shall have the opportunity to present written argument. Oral arguments will be presented only upon request by the Board of Regents.
- (b) If the Board of Regents chooses to return the matter to the Hearing Committee, the Committee shall review the matter in light of the Board of Regents' directions, receive new evidence or information, if necessary, and submit a final report of its findings and recommendations to the President for transmittal to the Board of Regents, as before. The work of the Hearing Committee is finished when the President communicates in writing the final decision of the Board of Regents to the Chair of the Hearing Committee and the principals in the case.
- (c) The full record shall be deposited in the office of the ~~Vice President for University Governance and Executive Secretary of the University~~ to the Board of Regents. Parties to the case may request copies or excerpts from the full record after the completion of the Committee's work. The costs shall be borne by the requesting party.

(Regents, 1-26-99, 12-3-02, 6-25-08, 12-7-12, 9-14-17)

**FACULTY APPEALS BOARD
INITIATION OF APPEAL AND REQUEST FOR HEARING (3.19.1)**



**FACULTY APPEALS BOARD
FORMAL HEARING PROCEDURE (3.19.2)**



This is intended to serve only as an outline of the procedures detailed in the Faculty Appeals Board process in Section 3.17.1.

3.20 NON-DISCRIMINATION POLICY AND SEXUAL MISCONDUCT, DISCRIMINATION, AND HARASSMENT POLICY AND GRIEVANCE PROCEDURES

~~These information on the policies, in their entirety, and the associated complaint and grievance procedures, are contained can be found in Appendices H H1 and H2 and J.~~

~~The University, in compliance with all applicable federal and state laws and regulations, does not discriminate on the basis of race, color, national origin, sex, sexual orientation, genetic information, gender identity, gender expression, age (40 or older), religion, disability, political beliefs, or status as a veteran in any of its policies, practices, or procedures. This includes but is not limited to admissions, employment, housing, financial aid, and educational services. Please refer to Appendixes H1 and H2 and J for a more detailed explanation of the University's Non-Discrimination policies and procedures and Sexual Misconduct, Discrimination, and Harassment policies and Grievance Procedures for Formal Complaints or contact the Institutional Equity Office on the Health Sciences Center campus directly at: (405) 271-2110.~~

~~For Sexual Misconduct, Discrimination, and Harassment policies and Grievance Procedures for Formal Complaints, the U.S. Department of Education's Office for Civil Rights issued a Notice of Proposed Rulemaking (NPRM) regarding upcoming changes to the Title IX regulations. It is anticipated that there will be substantive changes for institutional sex-based discrimination and harassment definitions and grievance procedures, as well as more specific requirements for non-discrimination on the basis of pregnancy or related conditions. The implementation date for these changes will be academic year 2023-2024. In anticipation of these upcoming changes, the Sexual Misconduct, Discrimination and Harassment Policy may be accessed here: https://www.ou.edu/eoo/about/sexual-misconduct-policies/_jcr_content/contentpar/download_2/file.res/SMDH%20NEW%20Policy%20FINAL%208-14-2020%20RSU-CU.pdf.~~

~~The University's Investigative Process for Formal Complaints of Sexual Harassment and Misconduct may be accessed here: https://www.ou.edu/eoo/about/sexual-misconduct-policies/_jcr_content/contentpar/download_3/file.res/Grievance_Procedure_Investigative_Final_AMENDED_7-28-22.pdf~~

~~Information is also available from the Institutional Equity Office on the Health Sciences Center campus directly at (405) 271-2110.~~

~~The investigative process, findings, and recommendations for claims brought under the Non-Discrimination Policy and/or the Grievance Procedures for Formal Complaints brought under the Sexual Misconduct, Discrimination, and Harassment Policy, are managed by the University's Institutional Equity Office. Appeals from the Grievance Procedures for Formal Complaints brought under the Sexual Misconduct, Discrimination, and Harassment Policy are addressed may be found at, https://www.ou.edu/eoo/about/sexual-misconduct-policies/_jcr_content/contentpar/download_3/file.res/Grievance_Procedure_Investigative_Final_AMENDED_7-28-22.pdf in Appendix H2 V(E). Appeals from the Non-Discrimination Policy as addressed in Appendix J VII (E).~~

~~(Regents, 7-22-81, 9-17-81, 9-9-82, 9-27-95, 1-14-97, 1-26-99, 1-27-04, 9-19-11, 12-7-12, 6-24-15)~~

3.21 POST-DOCTORAL FELLOW GRIEVANCE PROCEDURE

Because of the post-doctoral fellows' positions as employees who are also receiving education, any grievance brought by a fellow, other than those clinical trainees in the College of Medicine, (See College of Medicine Residents' Handbook), regarding his or her~~their~~ rights as a fellow or any allegation of wrongful administrative action resulting in probation, suspension, or dismissal of post-doctoral education shall be brought under this policy. The Post-Doctoral Fellow Grievance Procedure can be found in its entirety in Appendix N.

3.22 FACULTY PARTICIPATION IN COMMENCEMENT

It is the responsibility of all full-time faculty members to participate in the commencement involving their programs.

3.23 CANDIDACY FOR POLITICAL OFFICE

Policy and Protocol of Staff and Faculty Running for Office

The University encourages all employees to vote and otherwise actively participate in the political process. Further, the Board of Regents does not want to discourage faculty members or employees from becoming candidates for public office. As a U.S. citizen, an employee may regard it his or her duty to become a candidate. However, all faculty members and employees of the University have a duty not to use and/or allow for use his/her position with the University or its resources for private gain and have a duty to avoid the appearance of impropriety.

Any employee of the University who makes the determination to run for any county, state or federal elected office, shall resign or, upon approval from the Candidacy Review Committee⁴ selected to review the request, and upon final review by the University President and/or the Board of Regents, take an unpaid leave of absence from the University during their candidacy for office. The employee/faculty seeking the leave of absence during their candidacy must comply with the follow protocol:

- A) No later than (i) thirty days before officially filing as a candidate for elected office; or (ii) publicly announcing an intent to seek an elected office; or, (iii) thirty days prior to the start of the semester during which a leave will be requested (for faculty), whichever occurs first, the employee/faculty must advise his/her supervisor, or in the case of faculty his/her Dean, of the intent to seek an unpaid leave of absence.
- B) Within 14 University business days of an employee/faculty advising his/her supervisor or the applicable Dean of the request for leave of absence during his/her campaign, the Committee must meet and determine whether the request will be granted, and if so, the items of the conflict mitigation that must be followed.

This determination will be based on a totality of circumstances including but not limited to: i) how the candidacy will impact the faculty member or staff's ability to interact with students, donors, alumni and/or other employees; ii) the impact the employee/faculty's requested unpaid leave of absence will have on University operations; and iii) other ethical and/or legitimate business concerns.

- C) Once the determination by the Committee has been made relating to the requested leave of absence, the decision and its rationale should be communicated in writing to the requestor within 5-five University business days of the Committee making the decision.
- D) In the event the leave of absence is approved, if the employee/faculty is elected to such office, the employee/faculty shall resign from the University before taking office.

(Regents, 9-14-43, 1-27-04, 6-19-18)

3.24 PROFESSIONAL PRACTICE ~~AND/CLINICAL~~ COMPENSATION PLANS

All colleges on the Health Sciences Center campus have Professional Practice or Compensation Plans in effect. Faculty are obligated to comply with the Plan of their college/primary appointment. Failure to comply with the appropriate plan may result in disciplinary action up to and including abrogation of tenure (See Section 3.16.1).

Copies of Professional Practice ~~and/or Compensation Plans~~ are included for available from each college in Appendix M.

In addition to the Professional Practice Plan, the Colleges has a may have a Faculty Compensation Plan. The purpose of the Compensation Plan is to provide a basis for establishing compensation and, where permitted, incentives for the designated faculty of the College. All faculty are subject to and must comply with the College's Faculty Compensation Plan, which that must be consistent with University and OUHSC compensation policy and must be approved by the Senior Vice President and Provost. Each college plan stipulates procedures and processes related to time restrictions, deposit and disbursement requirements and restrictions, governance structure, etc.

⁴ The "Candidacy Review Committee" shall be comprised of a representative from the Office of Legal Counsel and a representative from each of the following from the employee's respective campus: Human Resources, Faculty Senate, Staff Senate, and either the candidate's supervisor or if the candidate is a faculty member, the Dean of the faculty member's ~~College college~~ and the Provost's Office.

~~Exclusion of specific honoraria provided by Federal agencies: Applicable to all colleges, honoraria received for reviewing federal grants and/or serving on federal external advisory/leadership committees/panels are not to be considered Professional Practice Plan income/revenue nor included within the scope of the Professional Practice or Compensation Plan and, thus, are to be income exclusions.~~

(Regents, 9-14-17, 3-9-22)

~~3.25 — ETHICS IN RESEARCH POLICY~~

~~(a) — Introduction~~

~~Research and other scholarly activity at the University of Oklahoma must be above reproach. Each member of the University community has the responsibility to ensure the integrity and ethical standards in any activity with which he or she is associated directly, or any activity of which there is sufficient knowledge to determine its appropriateness. Misconduct in the conduct of research undermines the scholarly enterprise and erodes the public trust in the University community to conduct research and communicate results using the highest standards and ethical practices. The University of Oklahoma is responsible both for promoting scholarly practices that prevent misconduct and for developing policies and procedures for dealing with allegations or other evidence of scholarly or research misconduct.~~

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

~~— General Definitions~~

<u>Term</u>	<u>Definition</u>
<u>Allegation</u>	<u>An accusation of specific scholarly misconduct received through any means of communication that triggers the procedures described in this policy.</u>
<u>Complainant</u>	<u>Person who makes an allegation of scholarly misconduct, including those persons who make allegations through the university anonymous reporting line.</u>
<u>Complaint</u>	<u>All allegations of scholarly misconduct, one or many, against a specific respondent received at one time or sequentially.</u>
<u>Deciding Official (DO)</u>	<u>Institutional official responsible for final determinations over all scholarly misconduct matters. In the absence of any conflict, the OUHSC deciding official is the Senior Vice President and Provost.</u>

<u>Fabrication</u>	<u>Making up data or results and recording or reporting them.</u>
<u>Falsification</u>	<u>Manipulating research materials, equipment, or processes, or changing or omitting data or results such that the research is not accurately represented in the research record</u>
<u>Good — faith allegation</u>	<u>Allegations of scholarly misconduct that a complainant or witness believes is true and that a reasonable person in that position would likewise believe to be true based on the information known at the time.</u>
<u>Home institution</u>	<u>The institution with jurisdiction over a specific allegation because it is the institution where the research misconduct took place and which retains and/or is responsible for the retention of the original research records.</u>
<u>Inquiry</u>	<u>Preliminary information gathering and fact-finding to determine if each allegation has substance (i.e. that sufficient evidence exists that scholarly misconduct may have occurred to warrant investigation)</u>
<u>Investigation</u>	<u>A formal review of all evidence to determine if scholarly misconduct occurred and by whom, and to recommend appropriate corrective actions and/or sanctions.</u>
<u>Knowingly</u>	<u>To engage in falsification, fabrication, plagiarism or other scholarly misconduct with actual knowledge, deliberate ignorance, or plain indifference of the misconduct.</u>
<u>Plagiarism</u>	<u>The appropriation of the ideas, processes, results, or words of another person without giving appropriate credit.</u>
<u>Preliminary Assessment</u>	<u>Initial review to determine if each allegation fits within the definition of scholarly misconduct and if each allegation is credible and specific so that potential evidence of misconduct may be identified.</u>
<u>Preponderance of the Evidence</u>	<u>Proof by information that, compared with that opposing it, leads to the conclusion that the fact at issue is more probably true than not.</u>
<u>Recklessly</u>	<u>To use or allow the use of, through action or inaction, falsified, fabricated, or plagiarized data while aware of an increased risk of such data being used or generated, or while the risk is so obvious that a typical research in the relevant research community should have known. Recklessness is distinguished from negligence, where an individual deviates from ordinary care that a typical researcher in the relevant research community would have exercised, but the individual is unaware that there was a substantial risk of falsification, fabrication or plagiarism.</u>
<u>Research</u>	<u>Any systematic investigation, including research development, testing, and reporting, designed to develop or contribute to the body of knowledge in any field. The term encompasses basic/ applied /clinical research, and research training activities in the areas such as, but not limited to, biomedical and life sciences, natural sciences, engineering, humanities and arts, and social and behavioral sciences.</u>
<u>Research Misconduct</u>	<u>Fabrication, falsification, or plagiarism in proposing, performing, or reviewing research, or in reporting research results. A finding of research misconduct requires 1) that there be a significant departure from accepted practices of the relevant research community; 2) the misconduct be committed intentionally, knowingly, or recklessly; and 3) the allegation be proved by a preponderance of the evidence. Research misconduct does not include honest error or differences of opinion.</u>
<u>Research record</u>	<u>Any data, notes or results, in any media or format, which embodies the information resulting from research. A research record includes, but is not limited to, grant or contract applications, whether funded or unfunded; grant or contract progress or other reports; laboratory notebooks — physical or electronic; notes; correspondence; videos; photographs; X-ray film; slides; biological materials; computer files and printouts; manuscripts submitted or not; publications; equipment use logs; laboratory procurement records; animal facility records; human and animal subject protocols; medical charts; patient research files; computer code; musical scores; musical composition; and choreography.</u>
<u>Respondent</u>	<u>Person or persons against whom allegations of research misconduct are made or who are thought to be responsible.</u>
<u>Research Integrity Officer (RIO)</u>	<u>Institutional official with the primary responsibility for implementation of the procedures in this policy.</u>
<u>Scholarly Misconduct</u>	<u>See section (c) Definition of Scholarly Misconduct, below</u>

(b) — Definition of Scholarly Misconduct

Scholarly misconduct involves any form of behavior that entails an act of deception whereby one's work or the work of others is misrepresented. Other terms, such as research misconduct, (defined as fabrication, falsification, or plagiarism in proposing, performing, or reviewing research, or in reporting research results), are here subsumed within the term "scholarly misconduct" as defined below. The term scholarly misconduct will be used to encompass scientific and other types of misconduct. Scholarly misconduct is distinguished from honest errors and ambiguities of interpretation that are inherent in the scholarly process. Further, scholarly misconduct involves significant and intentional breaches of integrity that may take numerous forms, such as, but not limited to, those outlined below:

~~(c)(1) — Fabrication of data, which is making up data or results and recording or reporting them.~~

~~(bc)(12) — Falsification of data, which is manipulating research materials, equipment, or processes, or changing or omitting data or results such that the research is not accurately represented in the research record ranging from fabrication to deceptive selected reporting of findings and omission of conflicting data.~~

~~(bc)(32) — Plagiarism and other improper assignment of credit. Plagiarism is the appropriation of another person's ideas, processes, results, or words without giving appropriate credit. Other improper assignments of credit are such as excluding others or claiming the work of others as one's own; presentation of the same material as original in more than one publication; inclusion of individuals as authors who have not made a definite contribution to the work published; and submission of multi-authored publications without the concurrence of all authors~~

~~(bc)(43) — Improper use of information gained by privileged access, such as through service on peer review panels, editorial boards, or policy boards of research funding organizations~~

~~(bc)(45) — Serious deviation from the scientific method accepted in proposing or carrying out research, deliberate manipulations, or improper reporting of results~~

~~(bc)(56) — Material failure to comply with federal, state, or institutional rules governing research including, but not limited to, failure to file conflict of interest reports and/or to undergo prescribed training or serious or substantial violations involving the use of funds, care of animals, protection of human subjects, use of investigational drugs, recombinant products, new devices, or radioactive, biological, and/or chemical materials~~

~~(bc)(67) — Inappropriate behavior in relation to misconduct including, but not limited to, inappropriate accusations of misconduct, failure to report known or suspected misconduct, withholding or destruction of information relevant to a claim of misconduct, and retaliation against persons involved in the allegation or investigation of misconduct.~~

Evidentiary Standards:

The following standards apply to this policy:

~~(d) (1) — Standard of proof. Findings of scholarly misconduct, including research misconduct, made by QUHSC must be proven by a preponderance of the evidence.~~

~~(d) (2) — Burden of proof.~~

~~— The University has the burden of proof for making a finding of scholarly misconduct. The destruction, absence of, or Respondent's failure to provide research records adequately documenting the questioned research is evidence of research misconduct where the committee establishes by a preponderance of the evidence that the Respondent intentionally, knowingly, or recklessly had research records and destroyed them, had the opportunity to maintain the records but did not do so, or maintained the records and failed to produce them in a timely manner and~~

~~that the Respondent's conduct constitutes a significant departure from accepted practices of the relevant research community.~~

~~—The Respondent has the burden of going forward with and the burden of proving, by a preponderance of the evidence, any and all affirmative defenses raised.~~

~~—The Respondent has the burden of going forward with and proving by a preponderance of the evidence any mitigating factors that are relevant to a decision to impose administrative actions following the university's Ethics in Research policy proceedings.~~

(c) — **Process for Handling Allegations of Scholarly Misconduct**

~~(ce)(1) — **Initiation of an allegation of misconduct.** Initial allegations or and evidence may be reported by anyone to any faculty member or administrator, who must then report the allegations to the OUHSC Research Integrity Officer (RIO or through the anonymous hotline (OU Report It! hotline URL: ouhsc.ethicspoint.com). If the person to whom the report would normally be given is involved in some way in the misconduct, the next higher academic officer should be informed. The RIO will immediately notify the Vice President for Research if PHS-supported research is involved, as well as the Office of Research Integrity. The RIO, after consultation with the Vice President for Research, will notify the appropriate individuals to take appropriate interim administrative action to protect against a threat of harm to public health or safety, federal funds and equipment, integrity of the research process, and rights and interests of individuals involved in the research misconduct proceedings as necessary and appropriate. These actions will be taken as necessary regardless of the source of research support.~~

~~The RIO will counsel the individual(s) making the allegation as to the policies and procedures to be used. If the reporting individual chooses not to make a formal allegation, the RIO, in consultation with the Vice President for Research, may identify another individual to bring forth the allegations, such as the accused's department chair, or may present the allegations personally.~~

~~The RIO, in consultation with the Vice President for Research, shall informally review any allegations, assess and to assess whether they are sufficiently specific and credible so that potential evidence of scholarly misconduct may be identified and to determine whether the allegations meet the definition of scholarly misconduct as defined in 3.23(b)c; confer with the dean of the college in which the allegation is alleged to have occurred, as well as with Legal Counsel; and make a recommendation to the Senior Vice President and Provost regarding whether the allegation warrants initiation of the Inquiry process according to the policies and procedures for scholarly misconduct, or whether other University policies or procedures should take precedence.~~

~~The University will pursue an allegation of misconduct to its conclusion, even if the person against whom the allegation is made (hereinafter referred to as the "Respondent") leaves or has left the University before the case is resolved so long as the questioned research was carried out at OUHSC by the Respondent.~~

~~(ce)(2) — **Sequestration and Notification, and Time Limits**~~

~~(a) — The RIO shall take To the extent it has not already done so at the allegation stage, the RIO must, on or before the date on which the respondent is notified or the inquiry begins, whichever is earlier, promptly take all reasonable and practical steps to obtain custody of, inventory, and sequester in a secure location the research evidence thought necessary to conduct the proceeding. This will be accomplished with the assistance of other individuals, e.g., the Chair of the respondent's department, Vice President for Research, and Legal Counsel, and IT Security.~~

~~At the time of sequestration of physical evidence, the RIO will notify the Respondent in writing of the allegation, provide him/her with a copy of the inventory of material secured, and provide him/her with copies of applicable policies and procedures. If there are no data to sequester, the RIO will continue with notice to the Respondent. Electronic research records may be sequestered by the RIO during the allegation stage. This will typically occur within fifteen University business days after receipt of an allegation.~~

~~Unless custody has been requested by and transferred to federal agencies or the federal Office of Research Integrity has advised that the university no longer needs to retain the records, the university must maintain records of research misconduct proceedings in a secure manner for seven (7) years after completion of the proceeding or completion of any Public Health Service proceeding involving the research misconduct allegation, whichever is later.~~

~~When the time limits detailed in this policy conflict with Public Health Service or other relevant funding sponsors' time limits regarding research misconduct proceedings, the shorter time limit will be followed and the RIO will notify the Respondent of applicable time limits.~~

~~(c)(3) — Admission to Allegations~~

~~If the Respondent elects to admit to the allegations against him/her at any time prior to the Committee of Investigation's submission of its report to the RIO, the Respondent shall inform the RIO who will, after consultation with the Vice President for Research, inform the Respondent of the sanctions that will be imposed by the Senior Vice President and Provost. If the Respondent still wishes to formally admit to the charges, the Respondent must send a written statement to the RIO admitting to the allegations, acknowledging understanding of the sanctions that will be imposed by the Senior Vice President and Provost, and stating that the Respondent understands that they are waiving their rights to an inquiry and/or investigation process, as applicable, as well as the right to appeal the sanctions. Upon receipt of this statement, the RIO will proceed as indicated in Section (c)(7)(b) below.~~

~~(c)(4) — Inquiry~~

~~(a) The first step of the review process is an inquiry which has as its purpose preliminary information gathering and fact finding in an expeditious manner to help determine whether an allegation is deserving of further each allegation has substance, such that sufficient evidence exists that scholarly misconduct may have occurred to warrant formal investigation, and, if formal investigation is not warranted, to make recommendations concerning the disposition of the case.~~

~~(b) An Inquiry Committee composed of no fewer than three tenured senior faculty with no real or apparent conflict of interest, with no appointment in the department of either the individual(s) making the allegation or the Respondent, and with appropriate expertise for evaluating information relevant to the cases, shall be appointed by the RIO in consultation with the Vice President for Research. The Inquiry Committee should generally be constituted within five University business days after notification to Respondent that an inquiry is being conducted.~~

~~(c) The RIO shall notify the Respondent, in writing, of the proposed membership of the Inquiry Committee. The Respondent shall be given five University business days to notify the RIO in writing of any bias or conflict of interest of any proposed member.~~

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

~~(e) At the first meeting of the Inquiry Committee to address the allegation, the RIO will present the charge. The charge will include the allegations and the purpose and scope of the inquiry. The Committee will also be informed of its responsibility to prepare a written report that meets the requirements of this policy. The RIO and Legal Counsel will discuss the responsibilities of the Committee, answer procedural questions, and emphasize the need to maintain confidentiality. The RIO will be responsible for assisting the Inquiry Committee in all of its activities, including setting committee meetings, arranging interviews, assisting with the development of plans to conduct the inquiry within the time limit, and taking and maintaining notes for all Committee activities. The RIO will provide the Respondent with copies of all evidentiary documents provided to the Inquiry Committee as soon as reasonably possible.~~

- ~~(f) Information, expert opinions, records, and other pertinent data may be requested by the Inquiry Committee. All involved individuals are obligated to cooperate with this Committee by supplying such requested documents and information. Uncooperative behavior by any involved individual may result in immediate implementation of a formal investigation or University sanctions.~~
- ~~(g) All material will be considered confidential and shared only with those with a need to know. A tape recording of proceedings may be made at the discretion of the Inquiry Committee chair. The RIO and the members of the Inquiry Committee are responsible for the security of relevant documents.~~
- ~~(h) All forms of evidence may be gathered by the Inquiry Committee, which will may also conduct interviews of all individuals possessing relevant information, and in particular, such as the Respondent and the individual(s) making the allegation.~~
- ~~(i) All individuals may have the assistance of personal legal counsel, at their expense, at both the Inquiry and Investigation stages; however, principals are expected to speak for themselves at the interviews. Personal legal counsel is prohibited from directly addressing the Committee. If an individual brings personal counsel, the Office of Legal Counsel shall assign an attorney to attend, at the request of the Committee chair RIO.~~
- ~~(j) The review by the Inquiry Committee should be completed and a written report filed with the RIO within sixty University business days of written notification to the Respondent that an Inquiry Committee is being formed. The written report shall contain what evidence was reviewed, summarize relevant interviews, if any, and include the findings and recommendations of the Inquiry Committee. If the Inquiry Committee determines that this deadline cannot be met, the Inquiry Committee shall request an extension from the RIO. The request must include a report written summary of progress to date, an explanation of why an extension is needed, and the anticipated completion date. The RIO will review the extension request report and present his/her recommendation and the request in writing to the Vice President for Research for determination. If the extension is granted, the RIO shall inform, in writing, all individuals with a need to know.~~
- ~~(k) The Inquiry Committee's draft written report shall contain the following information:~~
- ~~* Names and positions of the Committee members and any experts~~
 - ~~* Name and position of the Respondent~~
 - ~~* List of the allegations~~
 - ~~* Relevant Ggrant support (in particular, PHS support to include grant numbers, applications, related contracts, and publications listing support)~~
 - ~~* List of the research evidence reviewed~~
 - ~~* List of individuals interviewed and summaries of testimony, if any~~
 - ~~* The Committee's recommendation on initiating conducting an Investigation~~
 - ~~* The evidence supporting the recommendation~~
 - ~~* Other actions that should be taken if an Investigation is not recommended~~
 - ~~* Reasons for extension of the Inquiry beyond 60 days, if applicable~~
- ~~The RIO in consultation with and Legal Counsel should review the draft report for legal sufficiency and solely to ensure that the report includes all elements required by this policy. The Committee will make modifications if necessary and appropriate. The RIO shall give a copy of the draft report to the Respondent and provide the Respondent with a copy of or supervised access to all evidence on which the report is based. The Respondent shall be given ten University business days to comment in writing upon the findings and recommendations of the Inquiry Committee. These The Respondent's comments will be included in made part of the final written report.~~
- ~~(l) The final written report of the Inquiry Committee will be conveyed to the Senior Vice President and Provost and the Vice President for Research.~~
- ~~(m) If, after reviewing the outcome of the Inquiry, the Vice President for Research and the Senior Vice President and Provost, determines that there is a need for a formal investigation, the Senior Vice~~

~~President and Provost or Vice President for Research will notify the RIO, who will initiate that action within fifteen University business days.~~

~~(n) If, after reviewing the outcome of an Inquiry, the Senior Vice President and Provost or and the Vice President for Research determines that a formal Investigation is unwarranted, or if the Inquiry is terminated for any reason, the Senior Vice President and Provost or Vice President for Research shall inform the RIO, who shall:~~

- ~~1) Notify all involved individuals and make diligent efforts to restore the reputations of persons alleged to have engaged in misconduct when allegations are not confirmed;~~
- ~~2) Undertake diligent efforts to protect the positions and reputations of those persons who, in good faith, have made allegations of scientific misconduct~~
- ~~3) If required by applicable federal regulations, send a report to the NIH federal Office of Research Integrity stating the intent to terminate the procedure without an Investigation and including a description of the reason for such termination.~~
- ~~4) Take all reasonable and practical steps on behalf of the University, as appropriate, to restore the Respondent's reputation, if the Respondent so requests.~~

~~If the Inquiry Committee finds the allegations not to have not been brought in good faith, sanctions may be recommended against the individual(s) making the allegation.~~

~~(o) Records of the Inquiry are confidential to the maximum extent possible and are to be passed on to the Committee of Investigation if a formal Investigation review is initiated. The records of Inquiry shall contain sufficiently detailed documentation of the Inquiry to permit a later assessment of the reasons for determining that an Investigation was not warranted, if necessary. If a formal Investigation is not initiated, the records shall be kept by the RIO for at least three ~~seven~~ years after completion of the Inquiry and shall, upon request, be provided to authorized Department of Health and Human Services personnel.~~

~~(ce)(5) — Investigation~~

~~(a) Prior to initiating the formal Investigation, the RIO will immediately notify, among others with a need to know, the Director of the National Institutes of Health (NIH) carry out all required and appropriate notifications to all parties with a need to know that an Investigation is being initiated, including the federal Office of Research Integrity, the National Institutes of Health, if appropriate, and the funding source, if any, that an Investigation is being undertaken, or other sponsors, as appropriate. A copy of the Inquiry Report should accompany the notification, where appropriate. This notification is expected to occur within twenty four hours of the determination of the need for a formal Investigation. Under certain circumstances, the University may be expected to notify the sponsoring agency or funding source at a point prior to the initiation of an Investigation. Factors used in the RIO's determining the timing of such notification include the seriousness of the possible misconduct, the presence of an immediate health hazard, and consideration of the interests of the funding agency, the scientific community, the public, and the individual who is the subject of the Inquiry and his/her associates.~~

~~(b) Prior to initiating the formal Investigation, the RIO will take all reasonable and practical steps to take custody of inventory and sequester in a secure location any research evidence that was not previously sequestered during the Inquiry or that becomes known or relevant after the Inquiry, including that thought to be needed to investigate any additional allegations or instances of possible misconduct that have resulted in broadening of the scope of the Investigation.~~

~~(c) At the time of sequestration of evidence, the RIO will notify the Respondent in writing of the decision to begin an Investigation and provide the allegations to be investigated, including any new allegations not addressed in the Inquiry, a copy of inventory of any additionally sequestered materials, and copies of applicable policies and procedures. If there are no data to sequester, the RIO will continue with~~

~~notice to the Respondent as described above. Notification of the Respondent will typically occur within fifteen University business days after the decision to begin an Investigation.~~

- ~~(d) The RIO, in consultation with the Vice President for Research, shall appoint an Investigation a Committee of Investigation of no fewer than three senior faculty who have no real or apparent conflict of interest, hold no appointment in the department of either the individual(s) making the allegation or the Respondent, and have appropriate expertise for evaluating the information relevant to the case. Preferably, at least one member should not be associated with the University. The purpose of the Investigation Committee of Investigation is to further explore investigate the allegation(s), by evaluating evidence and testimony to determine, based on a preponderance of the evidence, whether scholarly misconduct has been committed occurred, and, if so, determine the type and extent of the misconduct and who was responsible. The Investigation Committee of Investigation should generally be constituted within five University business days after notification of Respondent that an Investigation is being conducted.~~
- ~~(e) The RIO shall notify the Respondent, in writing, of the proposed membership of the Investigation Committee of Investigation. The Respondent should be given five University business days to notify the RIO in writing of any bias or conflict of interest of any proposed member.~~
- ~~(f) At the first meeting of the Investigation Committee of Investigation, the RIO will present the charge. The charge will include the initial allegation(s) as well as any additional allegation(s) and issues identified during the Inquiry, and the purpose and scope of the Investigation. The original and any additional respondents will be identified. The Committee will be informed of its responsibility to conduct the Investigation as described in this policy and to prepare a written report that meets the requirements of this policy. The RIO and Legal Counsel will discuss the responsibilities of the Committee, answer procedural questions, and emphasize the need to maintain confidentiality. The RIO will be responsible for assisting the Investigation Committee in all their activities, including setting committee meetings, arranging interviews, assisting with the development of plans to conduct the Investigation within the time limit, and taking and maintaining notes for all Committee activities.~~
- ~~(g) The Investigation normally will include examination of all documentation, including, but not necessarily limited to, relevant research data and proposals, publications, correspondence, and memoranda of telephone calls. Interviews should be conducted with all relevant individuals involved. The interviews should include the Respondent and the individual(s) making the allegation, as well as other individuals who might have information regarding key aspects of the allegations.~~
- ~~The Respondent shall be given the opportunity to address the allegations and evidence presented at the interviews. Audio will be recorded from all interviews; Complete summaries transcripts of these interviews should be prepared from the audio files, provided to the interviewed party for comment or revision, and included in the investigatory file. The Investigation Committee of Investigation may request the involvement of outside experts. The Investigation must be sufficiently thorough to permit the Investigation Committee of Investigation to reach a firm conclusion about the validity of the allegations and the scope of the wrongdoing or to be sure that further investigation will be unlikely to alter an inconclusive result. In the course of an Investigation, additional information may emerge that may justify broadening the scope of the Investigation beyond the initial allegation. Should this occur, the Respondent is to be informed, by the RIO, after consultation with the Vice President for Research, in writing of any significant new directions in the or additional allegations for the Investigation.~~
- ~~(h) All individuals involved in the Investigation are obligated to cooperate in a timely fashion by producing any additional data or information requested for the Investigation.~~
- ~~(i) The proceedings of the Investigation Committee of Investigation are confidential and will be closed. A tape recording of proceedings may be made at the discretion of the chair of the Committee of Investigation.~~
- ~~(j) The review by the Investigation Committee of Investigation should be completed and a written report filed within 120 University business days of written notification to the Respondent that an Investigation was being initiated. If the Investigation Committee of Investigation determines that this deadline~~

cannot be met, the Committee shall request an extension from the RIO. The request must include a report summary of progress to date, an explanation of why an extension is needed, and the anticipated completion date. The RIO will review the report and present his/her recommendations and the written request to the Vice President for Research for determination. If the extension is granted, the RIO shall inform all individuals with a need to know.

- (k) Any significant developments during the formal Investigation will be reported by the RIO to the Vice President for Research, the research sponsor, the NIH federal Office of Research Integrity, if appropriate, and or others as needed necessary and deemed appropriate by the RIO.
- (l) Upon completion of the Investigation, the Investigation Committee of Investigation shall deliberate and prepare its findings and recommendations. The Investigation Committee of Investigation shall submit to the RIO a full written report which details the Investigation Committee's of Investigation's findings and recommendations and the documentation to substantiate the findings.

The Investigation Committee of Investigation's draft written report must include the following information:

- * Nature and specifics of the allegations included in the charge to the Committee
- * Relevant Grant support (in particular, PHS support to include grant numbers, applications, related contracts and publications listing support), pending grant proposals that may be impacted by scholarly misconduct actions, and manuscripts and submitted manuscripts that may be impacted by scholarly misconduct
- * List of research evidence secured along with identification and summary of that which was reviewed
- * Statement of finding determined by a preponderance of evidence for each individual allegation that includes the type of misconduct (falsification, fabrication, plagiarism, etc.), and whether it was intentional, knowing, or done in reckless disregard; summarized supportive facts and analyses, including the merits or reasonable Respondent explanations; individual(s) responsible for the misconduct; relevant PHS and non-PHS support including past, current, and pending applications, and whether correction or retraction of any publications, including submitted manuscripts, is needed
- * Names and positions of the Committee members and any experts who were interviewed
- * Name and position of each Respondent
- * Reasons for extension of the Investigation beyond 120 days, if applicable
- * Recommended University actions

The RIO in consultation with and Legal Counsel will review the draft report for legal sufficiency and solely to ensure the report includes all elements required by this policy. The Committee will make modifications if necessary and appropriate. This draft report shall be sent by the RIO to the Respondent and Complainant, if appropriate, along with a copy of or supervised access to the evidence on which the report is based. The Respondent and Complainant, if appropriate, shall be given 20 University business thirty (30) calendar days to comment in writing on the allegations, evidence, findings, and recommendations draft report of the Investigation Committee of Investigation. A copy of these comments must be attached to the final report.

- (m) The RIO will transmit the final report, including the Respondent's comments, to the Senior Vice President and Provost and the Vice President for Research. The Senior Vice President and Provost is the Deciding Official (D.O.) for OUHSC and shall then make the a final decision based on the findings and recommendations, and, if applicable, impose sanctions. The Senior Vice President and Provost will consider the comments by the Respondent and Complainant, if any, before making his/her the final decision. If the Senior Vice President and Provost's determinations differ from those in the Investigation report, the Senior Vice President and Provost will document in writing the basis of his/her the decision and will attach the documentation to the Investigation report. The Senior Vice President and Provost may also return the report to the Investigation Committee with a request for further fact finding and analysis.
- (n) The Senior Vice President and Provost shall inform the Respondent in writing of the final determination and any sanctions, as well as the appeal process. If the sanctions involve the recommendation for termination of employment or abrogation of tenure, the Senior Vice President and Provost will comply with the University termination or abrogation procedures.

~~(e) When appropriate, the RIO will submit the final report of the Investigation to the Director of the NIH federal Office of Research Integrity and the any other funding agency as required. In cases involving a recommendation for severe sanctions, the notification will state, "These sanctions are being recommended and, following University policy, appropriate procedures to appeal the case may be initiated by the Respondent."~~

~~(c)(6) Termination of Inquiry or Investigation~~

~~If PHS support is involved and if the University plans to terminate an Inquiry or Investigation for any reason, other than 1) closure after the Inquiry because an investigation is not warranted or 2) a finding of no misconduct in the Investigation, the RIO must notify the Office of Research Integrity in advance for consultation and advice. Examples of reasons that could result in termination of the Inquiry or Investigation process include, but are not limited to, admission of guilt by the Respondent.~~

~~(c)(7) Resolution~~

~~(a) Finding of absence of scholarly misconduct. The RIO is responsible for the following actions. AnyAll research sponsors and or others initially informed of the Inquiry or Investigation shall be informed notified in writing that allegations of misconduct were not supported. If the allegations are deemed to have not been made in good faith, appropriate disciplinary action should be taken against the individual(s) making the allegation. If the allegations, however incorrect, are deemed to have been made in good faith, no disciplinary measures are indicated and an effort should be made to prevent retaliatory actions. In publicizing the findings of no misconduct, the University should be guided by whether public announcements will be harmful or beneficial in restoring any reputations that may have been affected. Usually, such decisions should rest with the person who was wrongfully accused. Diligent efforts, as appropriate, should be undertaken to restore the reputations of persons alleged to have engaged in misconduct when allegations are not confirmed and to protect the positions and reputations of those persons who, in good faith, made allegations.~~

~~(b) Findings of scholarly misconduct. The RIO is responsible for notification to all relevant entities including of all federal agencies, sponsors, or other entities initially informed of the Investigation of the finding of scholarly misconduct. The University should take action appropriate for the seriousness of the misconduct, including, but not limited to, the following:~~

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

- ~~• Sponsoring agencies, funding sources~~
- ~~• Co authors, co investigators, collaborators~~
- ~~• Department, School, or University~~
- ~~• Editors in journals in which fraudulent research was published~~
- ~~• Editors of other journals or publications, other institutions, other sponsoring agencies, and funding sources with which the individual has been affiliated~~
- ~~• State professional licensing boards~~
- ~~• Professional societies~~

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

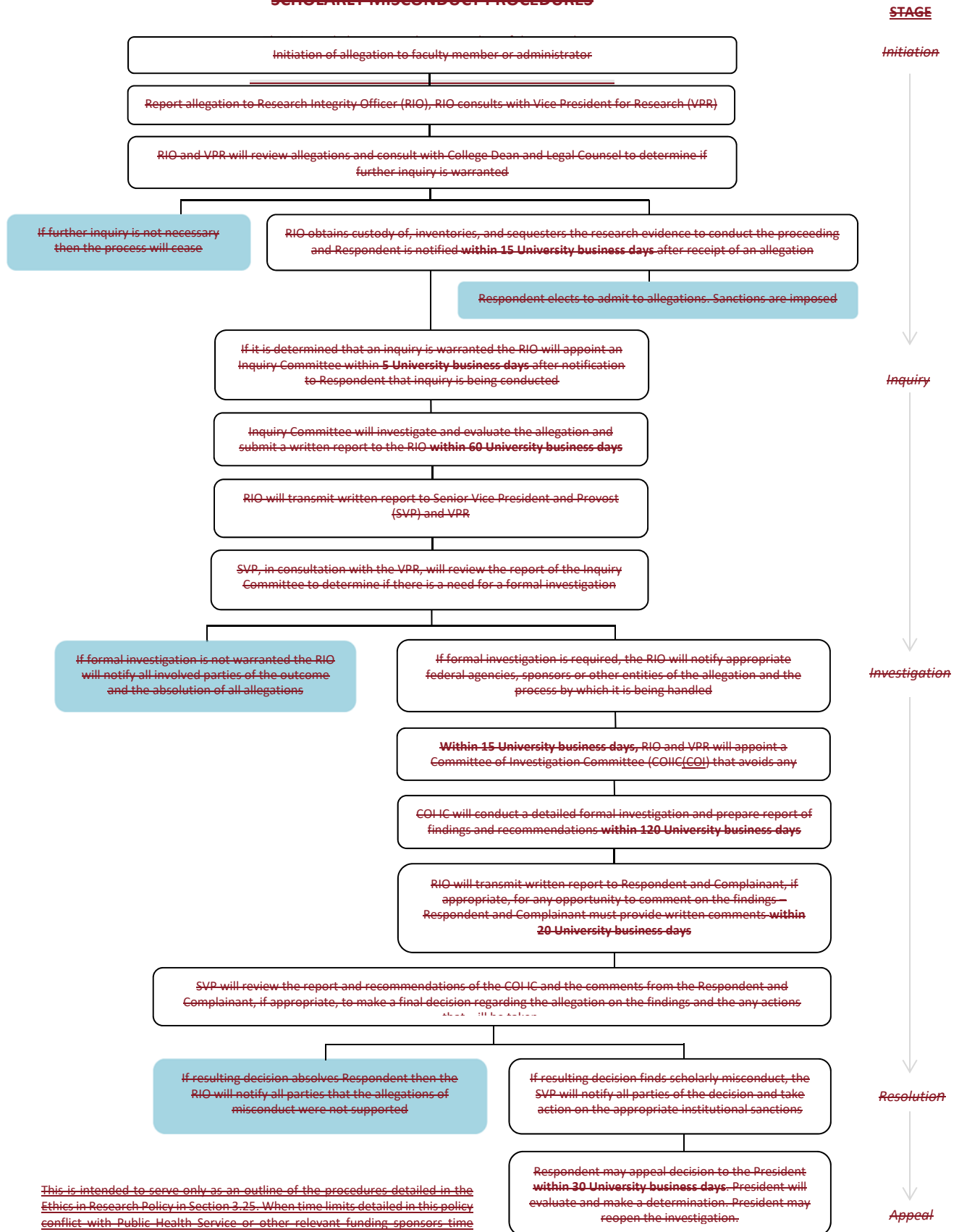
- ~~• Removal from particular project~~
- ~~• Special monitoring of future work~~
- ~~• Letter of reprimand~~
- ~~• Probation for a specified period, with conditions specified~~
- ~~• Suspension of identified duties or privileges for a specified period, with or without salary~~
- ~~• Termination of employment/Abrogation of Tenure tenure~~

~~(c)(8) Appeal~~

~~Individuals may appeal the finding of the Committee of Investigation and/or the sanction(s). A written statement of the grounds for the appeal must be submitted to the President within thirty University business days of written notification of the results of the Investigation. Grounds for appeal include new previously unconsidered evidence that was not available earlier, sanctions not in keeping with the findings, conflict of interest not previously known among those involved in the Investigation, or lapses in due processes. Upon receipt of a written appeal, the President will evaluate the evidence and make a determination. At the President's discretion, the Investigation may be reopened. The President's decision will be binding on all parties and will be conveyed to all involved in a timely fashion. In case of termination of employment or abrogation of tenure, the decision may be appealed, according to University policies.~~

~~(Regents, 6-25-97, 6-25-08, 12-7-12, 9-14-17)~~

SCHOLARLY MISCONDUCT PROCEDURES



4. STUDENT POLICIES AND SERVICES

4.1 STUDENT ADMISSION

Policies and procedures as they relate to student admission may be obtained from the appropriate college or by contacting the [HSC](#) Office of Admissions and Records.

4.2 STUDENT ENROLLMENT

Policies and procedures as they relate to student registration, adding/dropping courses, and student withdrawals may be obtained from the current ~~Student Handbook~~ [Student Handbook](#) or by contacting the Office of Admissions and Records.

4.3 ENROLLMENT TO AUDIT COURSES

Auditing a class is permitted in all courses, subject to approval of the instructor and the dean of the college in which the course(s) is offered. Enrollment exclusively as an auditor requires one to meet the University's and/or program's minimum admission requirements. Enrollment to audit must be completed by the last day of enrollment in any term. Further information may be obtained from the *Student Handbook* or by contacting the Office of Admissions and Records.

4.4 ENROLLMENT AS A SPECIAL STUDENT

Any person who is admissible to the University of Oklahoma and who wishes to take courses without the intention of pursuing a degree may do so under the classification of Special Student. Enrollment as a Special Student requires one to meet the University's and/or program's minimum admission requirements.

Enrollment as a Special Student is limited to twelve (12) credit hours or three (3) terms, whichever comes first. Credit earned as a Special Student may be petitioned to be counted toward a degree program, provided the criteria for full standing admission is met at the time of admission.

Special students are not eligible for financial aid. International students attending on an F1 visa are not eligible to enroll as a Special ~~Student~~ [Students](#). For additional information ~~on procedures and policies~~, contact the Office of Admissions and Records.

(Regents, 9-14-17)

4.5 HEALTH SCIENCES CENTER STUDENT ENROLLMENT IN NORMAN CAMPUS COURSES

~~OUHSC~~ [HSC program](#) students ~~desiring to enroll~~ [enrolling](#) in courses on the Norman campus must receive permission from their HSC college. [Approved](#) Norman campus courses will be listed on the HSC student's transcript. For further information, contact the ~~HSC~~ Office of Admissions and Records at [\(405\) 271-2359](#).

4.6 NORMAN CAMPUS STUDENTS ENROLLING IN HEALTH SCIENCES CENTER COURSES

Norman campus students desiring to enroll in courses on the Health Sciences Center campus must secure special permission from the HSC instructor before beginning the enrollment process and should do so in the Norman campus Office of ~~Admissions and Academic~~ Records [and Enrollment Services](#) at ~~(405) 325-3572~~ [\(405\) 325-2417](#).

4.7 OTHER ENROLLMENT OPPORTUNITIES

Information on independent study, courses taught off-campus, [online courses](#), and intersession courses may be obtained from a current class schedule or by contacting the Office of Admissions and Records.

4.8 FULL-TIME STUDENTS

To be considered full-time, an undergraduate student must be enrolled in at least ~~six (6) hours in a summer session~~ [and at least](#) twelve (12) hours in a fall or spring semester ~~and at least six (6) hours in a summer term.~~

Full-time enrollment for graduate students is nine (9) semester hours during each of the fall and spring semesters and four (4) semester hours during the summer ~~session~~term. Students may not carry more than sixteen (16) hours per semester ~~for graduate credit~~ or more than nine (9) semester hours per summer ~~session~~term for graduate credit without the permission of the dean.

A graduate assistant holding a 0.50 FTE appointment will be required to enroll in at least six (6) hours during each of the fall and spring semesters and at least three (3) hours for the summer semester.

Many professional programs, ~~i.e., dental, medical, physician assistant or associate, and pharmacy,~~ require students to be enrolled full-time. In the event the students are required to repeat one or more courses, the enrollment status will be determined on a percentage basis- set by each program. Students should contact their colleges for full-time requirements.

4.9 GRADING SYSTEM AND REPORTING OF GRADES

Grade Reports - Grade reports at the end of a semester or a summer term must be filed with the HSC Office of Admissions and Records no later than the date specified on the academic calendar. Final grade reports must be filed 96 hours after the last day of classes- Clinical rotation grades are due six (6) weeks after the last date of the clinical rotation.

Academic Forgiveness - The University of Oklahoma Health Sciences Center (OUHSC) is excluded from participation in the Oklahoma State Regents for Higher Education (OSRHE) Academic Forgiveness Provision, including repeat, reprieve, and renewal. Therefore, **all grades earned will be included** in grade point calculations when applying for acceptance to an OUHSC program. OUHSC student undergraduate coursework is included in this policy. (OSRHE Approved, 6-21-93)

4.10 ACADEMIC CALENDAR STANDARDS

All classes are expected to meet for sixteen (16) weeks unless specific approval has been received from the OSRHE. With the exception of the College of Medicine that uses clock hour calculation, the semester-credit-hour is the standard unit of credit used to evaluate a student's educational attainment and progress. -Courses offered during academic terms shorter than a semester observe the same standards involving instructional hours per semester-credit-hour as those courses offered during a standard academic semester. Organized examination days may be counted as instructional days.

The semester-hour of credit is calculated as follows:

- (a) One semester-hour of credit is normally awarded for completion of a course meeting for 800 instructional minutes, (50 minutes per week for sixteen (16) weeks), exclusive of enrollment, orientation and scheduled breaks.
- (b) Laboratory credit is normally awarded at a rate not to exceed one-half the instructional rate. One (1) semester-hour of credit is normally awarded for completion of a laboratory meeting a minimum of 1600 minutes (100 minutes per week for sixteen (16) weeks).
- (c) Clinical credit is normally calculated at three (3) clinical hours equaling one credit hour.

(OSRHE Policy and Procedures Manual)

4.11 FINAL EXAMINATIONS

A final examination schedule is printed each semester and published on the HSC Office of Admissions and Records website. Faculty are not permitted to deviate from the printed final examination schedule without permission from the college dean and the Vice Provost for Academic Affairs.

A student will not be expected to take more than two final examinations in one day. In cases where a student has three (3) or more final exams scheduled for the same day, instructors must offer make-up exams. Contact the HSC Office of Admissions and Records for procedural instructions.

4.12 CLASSCOURSE ATTENDANCE-UNIVERSITY OF OKLAHOMA STUDENTS

Only students who are officially enrolled (either for credit or audit) and have paid the required tuition/fees and have met all requirements for course or clinic attendance may attend class.- The individual instructor is responsible for communicating the specific policy concerning attendance requirements.

4.13 RESIDENT STATUS

The Oklahoma State Regents for Higher Education policy governs resident status at the OU Health Sciences Center. Unless residency has been established in another state, an individual who resided in Oklahoma at the time of graduation from an Oklahoma high school and has resided in the state with a parent or legal guardian for two years prior to graduation from high school will be eligible for in-state status. This policy may be found on the OSHRE website at: <https://www.okhighered.org/state-system/policy-procedures/part3.shtml> (Chapter 3.18). In Oklahoma, non-resident students are required to pay non-resident tuition fees in addition to other applicable charges. Members of the armed forces stationed in Oklahoma and their dependents may be eligible for in-state tuition rates (OSRHE 3.18.7). Under specified conditions, undocumented students may also apply for in-state tuition (OSHRE 3.18.6).

~~The Students who are not residents of Oklahoma must pay non-resident tuition in addition to other fees. Members of the armed forces stationed in Oklahoma and their dependents are ordinarily eligible for in-state tuition rates.~~

~~It is the responsibility of each applicant to submit any question about resident status to the Office of Admissions and Records for a decision. The Oklahoma State Regents for Higher Education policy governs resident status for all state-supported institutions of higher education in Oklahoma. Office of Admissions and Records is responsible for determining resident status and any questions regarding this should be directed to them.~~ This policy may be found online at: <http://www.okhighered.org/>. Additional information and the Petition for Oklahoma Residency ~~is~~ can be found on the Admissions and Records website- at <https://admissions.ouhsc.edu/Prospective-Students/In-State-Out-of-State-Tuition-Policy>.

4.14 WAIVER OF FEES

No student fee, resident or ~~non-resident~~ nonresident, may be assessed or waived unless by general policy or by specific authorization of the Oklahoma State Regents for Higher Education. Further information may be obtained from the Vice Provost for Academic Affairs.

4.15 TUITION WAIVER FOR GRADUATE ASSISTANTS

Graduate students with at least a .50 FTE graduate assistantship are eligible for tuition waivers irrespective of Oklahoma residency status. The appointment must begin on or before the first day of class to qualify for the waiver. Tuition waivers for eligible students will generally cover the student's required minimum enrollment (Section 4.8) Graduate assistants involved in teaching must be proficient in both oral and written English. The ability to communicate course material effectively in understandable English is required of all graduate teaching assistants awarded these waivers. Scholarships awarded to graduate students meeting the above criteria shall not be subject to the limit of three percent of the Educational and General Budget – Part I.

(State Regents' Policies and Procedures, Adopted 4-29-68, revised 12-17-90, 5-31-96)

4.16 ACADEMIC APPEALS POLICY AND PROCEDURES

The Academic Appeals policy provides students with an appeal mechanism by which they can request a hearing before an Academic Appeals Board for appeals related to: an academic evaluation in a course; a thesis or dissertation defense or a general or comprehensive exam; suspension or dismissal under the Student Professional Behavior in an Academic Program Policy; and academic program-related decisions resulting in the student being dismissed from a program or being required to repeat a semester or year. The sole basis for an appeal is an alleged prejudiced or capricious evaluation or decision. The policy and procedures regarding academic appeals are detailed in the Academic Appeals Policy and Procedures (Appendix C). Further information may be obtained from the Vice Provost for Academic Affairs.

4.17 ACADEMIC INTEGRITY

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.

(Regents, 12-3-02)

4.18 ACADEMIC MISCONDUCT CODE

The Academic Misconduct Code describes academic misconduct as including cheating, plagiarism, fabrication, fraud, destruction, bribery or intimidation, assisting others in any act proscribed by this Code, or attempting to engage in such acts. The policy and procedures regarding dishonest work and definitions of each ~~type~~type of academic misconduct are detailed in the Academic Misconduct Code ([Appendix C](#)).

It is the responsibility of each faculty member and each student to be familiar with the definitions, policies, and procedures concerning academic misconduct as cited in [Appendix C](#). Further information may be obtained from the Vice Provost for Academic Affairs.

(Regents, 1-26-99, 12-3-02, 6-25-08)

4.19 COMPLETION OF ACADEMIC WORK FOR OTHERS

- 1) A staff or faculty member who writes, compiles, or otherwise completes academic work for use by or sale to students of the University shall be discharged from employment.
- 2) Any student who writes, compiles, or otherwise completes academic work for sale to or use by students of the University or and ~~{3} any student who sells academic work or uses a commercial term paper to complete academic assignments is subject to the Academic Misconduct Code.~~
- 3) Any student who sells academic work or uses a commercial term paper, or other resource, including artificial intelligence resources, not explicitly approved by the instructor, to complete academic assignments is subject to the Academic Misconduct Code.

(Regents, 12-3-02)

4.20 STUDENT PROFESSIONAL BEHAVIOR IN AN ACADEMIC PROGRAM POLICY

As a distinct learning community within the University, the OUHSC has established the Student Professional Behavior in an Academic Program Policy and adopted procedures for addressing standards of ethical and professional behavior for OUHSC students. The policy and procedures identify student responsibilities and rights in conjunction with standards of fairness, privacy, and due process. The policy and procedures are detailed in the Student Professional Behavior in an Academic Program Policy ([Appendix C](#)). Further information may be obtained from the Vice Provost for Academic Affairs.

4.21 STUDENT RIGHTS AND RESPONSIBILITIES CODE

The purpose of the Student Rights and Responsibilities Code is to establish specific student rights and responsibilities ~~while maintaining to maintain~~ an environment conducive to the University of Oklahoma's ~~mission--missions~~. The ~~processes and procedures of this~~ Code ~~establish establishes~~ and ~~enforce administers~~ standards of conduct through ~~educational experiences inclusive and holistic practices~~, fostering student learning and development while maintaining student retention ~~and a sense of belonging~~. The Code and the Procedures are detailed in **Appendix C**. ~~Further information is available upon request from HSC and OU-Tulsa Student Affairs in coordination with the Norman campus Office of Student Conduct.~~

To contact HSC Student Affairs, call (405) 271-2416. To contact OU-Tulsa Student Affairs, call (918) 660-3100.

4.22 ETHICS IN RESEARCH

Students are governed by the Policy on Ethics in Research (**Section 3.25**).

4.23 INTELLECTUAL PROPERTY POLICY

The terms of the Intellectual Property Policy ("**IP Policy**") are a part of any relationship of the University with any member of the faculty, staff, or student body. The **IP** policy, as amended from time to time, ~~shall be deemed to be~~ **is** part of the conditions of enrollment and attendance at the University by all students engaged in research using University resources and facilities, ~~as well as a condition of employment for all University staff and faculty employed by the University~~ (**Appendix D**).

4.24 NON-DISCRIMINATION POLICY AND GRIEVANCE PROCEDURE

This policy, in its entirety, is contained in **Appendix J**.

The University, in compliance with all applicable federal and state laws and regulations, does not discriminate on the basis of race, color, national origin, sex, sexual orientation, genetic information, gender identity, gender expression, age (40 or older), religion, disability, political beliefs, or status as a veteran in any of its policies, practices, or procedures. This includes, but is not limited to, admissions, employment, financial aid, housing, services in educational programs or activities, or health care services that the University operates or provides. Please refer to the ~~University's Equal Opportunity~~ **University Institutional Equity** Office's policies and procedures for a more detailed explanation and complaint procedure (**Appendix J**). ~~Or,~~ contact the ~~Equal Opportunity~~ **Institutional Equity** Office on the Health Sciences Center campus directly at: (405) 271-2110, ~~Room 164H, Robert M. Bird Library Building or~~ ieo@ou.edu.

(Regents, 7-22-81, 9-17-81, 9-9-82, 9-27-95, 1-14-97, 1-27-04, 9-19-11, 6-24-15, 3-8-17)

4.25 OFFICE OF EQUAL OPPORTUNITY

~~The University of Oklahoma in compliance with all applicable federal and state laws and regulations does not discriminate on the basis of race, color, national origin, sex, sexual orientation, genetic information, gender identity, gender expression, age (40 or older), religion, disability, political beliefs, or status as a veteran in any of its policies, practices, or procedures. This includes, but is not limited to, admissions, employment, financial aid, housing, services in educational programs or activities, or health care services that the University operates or provides.~~

4.26 RELEASE OF STUDENT INFORMATION AND ACCESS TO STUDENT RECORDS

Information maintained by the University of Oklahoma about students and in some instances former students is covered under the Family Educational Rights and Privacy Act (FERPA). FERPA information is defined as either directory or confidential. Any office gathering such information and/or having custody of it shall release it only in accordance with this policy or as otherwise required by law. When a student enrolls at the ~~university~~ **University** and furnishes data required for academic and personal records, there is an implicit and justifiable assumption of trust placed in the University as custodian of such information. This relationship continues with regard to any data subsequently generated during the student's enrollment.

While the University fully acknowledges the student's rights of privacy concerning this information, it also recognizes that certain information is part of the public record and may be released for legitimate purposes in accordance with applicable law. With these considerations in mind, the University adopts the following policy concerning the release of information contained in student records:

4.2625.1 Directory Information

This is information which routinely appears in student directories and alumni publications and may be freely released. Upon written request by the student, directory information will be treated as confidential and released only with the student's consent except where disclosure is required or permitted by law. Students may at any time request that directory information be treated as confidential. Students should contact the Registrar at their specific campus location for the appropriate forms. Students should be advised that by withholding directory information, University officials are prohibited from releasing any form of information without their consent, or as permitted or required by law. This means the status of students who apply for an auto loan, good student discount, or apartment lease, or who need employment verification, enrollment verification, or loan deferments, for example, will ~~only~~ be verified by University officials only when accompanied by a release from the student.

Directory information includes the following:

The University of Oklahoma, in compliance with the Family Educational Rights and Privacy Act (FERPA), has designated specific information as Directory Information:

- ~~• Name~~
- Student's name
- Home & Permanent Address and permanent address
- ~~• Email Address~~
- Electronic mail address
- Telephone numbers
- Major field of study
- Class year
- Enrollment status
- Anticipated degree date
- Participation in officially recognized University activities
- ~~Degrees~~Degree and awards received (including outstanding or recognized academic achievement)
- Most recent previous educational institution attended

Although not specifically included within the definition of directory information, the University permits faculty to post individual student grades and interim class evaluations provided the information is identified by code numbers and does not identify the student. Students who do not want this information released or posted must notify their instructor or the Registrar's office.

4.2625.2 Confidential Information

This is all other information contained in the student's educational record that can be released only upon the written consent of the student, with the following exceptions defined in the Family Educational Rights and Privacy Act of 1974, as amended, which waive the requirement for prior student consent.

4.2625.3 Disclosure of Education Records is Permitted

- (a) To school officials who have a legitimate educational interest in the records. ~~School officials are~~school official is defined as follows:
- A person employed by the University in an administrative, supervisory, academic or research, or support staff position, including law enforcement personnel and health or medical staff.
 - A person serving on the Board of Regents.
 - A person or company under contract to the University to perform a service or function (such as attorney, auditor, or collection agent), instead of using University employees or officials.
 - ~~• A person who is employed by the University law enforcement unit.~~

- A person who is assisting another school official in performing his/her tasks including but not limited to a student serving on an official committee, such as a disciplinary or grievance committee.

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

- Performing a task that is necessary to fulfill his or her professional responsibilities for the University.
 - Performing a task related to a student's education.
 - Performing a task related to the discipline of a student.
 - Providing a service or benefit relating to the student or student's family, such as health care, counseling, job placement, scholarship, or financial aid.
 - Maintaining the safety and security of the campus.
- (b) To officials of other institutions in which a student seeks or intends to enroll on the condition that the institution makes a reasonable attempt to inform the student of the disclosure, unless the student initiates the transfer, or this type of disclosure is covered under the University's annual notification.
- (c) To certain officials of the Department of Education, the Comptroller General, Attorney General of the United States, and state and local educational authorities, in connection with audit or evaluation of certain state or federally supported education programs, or for enforcement of, or compliance with, federal legal requirements that relate to these programs.
- (d) In connection with a student's request for or receipt of financial aid to determine the eligibility, amount, or conditions of the financial aid, or to enforce the terms and conditions of the aid.
- (e) To state and local officials or authorities if specifically required by a state law that was adopted before November 19, 1974.
- (f) To organizations conducting certain studies, as further detailed under FERPA, for or on behalf of the University.
- (g) To accrediting organizations to carry out their functions.
- (h) To parents of an eligible student who is claimed as a dependent for income tax purposes ~~(proof~~ (Proof of dependency is required). Parents of international students are excluded. International students sign a I-20 granting specific agencies access to educational records.
- (i) To comply with a judicial order or a lawfully issued subpoena, provided that the institution makes a reasonable effort to notify the student of such prior to compliance in accordance with FERPA.
- (j) The Attorney General of the United States ~~or his designee,~~ or his designee in response to an ex parte order in connection with the investigation or prosecution of terrorism
- (k) To appropriate parties in a health or safety emergency.
- (l) To individuals requesting directory information so designated by the University.
- (m) To notify the alleged victim ~~or general public~~ of the final results of any disciplinary proceeding conducted by the University against an alleged perpetrator of a crime of violence or non-forcible sex offense ~~and the student has committed a violation of the University's rules or policies with respect to the allegation.~~
- (n) To parents regarding the student's violation of any federal, state, or local law, or of any rule or policy of the institution governing the use or possession of alcohol or controlled substance if the institution determines that the student has committed a disciplinary violation with respect to the use or possession and the student is under the age of 21 at the time of the disclosure to the parent.

- (o) The disclosure concerns sex offenders and other individuals required to register under section 170101 of the Violent Crime Control and Law Enforcement Act of 1994, 34 U.S.C. 14071 and the information was provided to the University under 42 U.S.C. 14071 and applicable federal guidelines.

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

4.2625.4 Record of Requests for Disclosure

The Registrar maintains a record of all requests for and/or disclosures of information from a student's education records. The record indicates the name of the party making the request, any additional party to whom it may be disclosed, and the legitimate interest the party has in requesting or obtaining the information. The record may be reviewed by the eligible student.

When a student signs a release authorizing another party access to his or her educational record, that signed release, including identification of the individual and organization to which access has been authorized and the use of the data gathered, is maintained by the Registrar. Student requests for copies of their own educational records (such as transcripts) are also retained by the Registrar simply as a record of the request having been completed.

4.2625.5 Procedures to Inspect Education Records

Students may inspect and review their education records upon request to the appropriate records custodian or appropriate University staff person. Refer to the section within this policy that defines the type of records along with the location and name of the custodian.

Students should submit to the records custodian or an appropriate University staff person a written request which identifies as precisely as possible the record or records he or she wishes to inspect.

The records custodian or an appropriate University staff person will make the needed arrangements for access as promptly as possible and notify the student of the time and place where the records may be inspected. Access must be given in 45 calendar days or less from the date of receipt of the request.

When a record contains information about more than one student, the student may inspect and review only the records which relate to ~~him or her~~ their record. Information that identifies the other student(s) must be redacted.

4.2625.6 Correction of Education Records

Students have the right to challenge and request amendment of the contents of records that they believe are inaccurate, misleading or in violation of their privacy rights.

- 1) A student must ask the appropriate University official to amend a record. In so doing, the student should identify the part of the record to be amended and specify why the student believes it is inaccurate, misleading, or in violation of his or her privacy rights.
- 2) Within a reasonable period of time, the University will either comply with the request or not comply. If it decides not to comply, the University will notify the student of the decision and advise the student of his or her right to a hearing to challenge the information believed to be inaccurate, misleading, or in violation of the student's privacy rights.
- 3) Upon request, the University will arrange for a hearing and notify the student reasonably in advance of the date, place, and time of the hearing.
- 4) The hearing will be conducted by the Registrar or Vice Provost for Academic Affairs. The student shall be afforded a full and fair opportunity to present evidence relevant to the issues raised in the original request to amend the student's education records. The student may be assisted by one or more individuals, including an attorney retained at his or her expense. The University may be represented by University Legal Counsel.

- 5) The University will prepare a written decision based solely on the evidence presented at the hearing. The decision will include a summary of the evidence presented and the reasons for the decision ~~and shall be delivered to all parties concerned who have a legitimate education interest.~~
 - (a) If the University decides that the information in the student's record is inaccurate, misleading, or in violation of the student's right of privacy, it will amend the record and notify the student, in writing, that the record has been amended.
 - (b) If the University decides that the challenged information is not inaccurate, misleading, or in violation of the student's right of privacy, it will notify the student that he or she has a right to place in the record a statement commenting on the challenged information and/or a statement setting forth reasons for disagreeing with the decision.
 - ~~(c) The decision shall be in writing, be based solely on the evidence presented at the hearing and delivered to all parties concerned who have a legitimate educational interest.~~
 - (d) The statement from the student will be maintained as a part of the student's education records as long as the contested portion is maintained. If the University discloses the contested portion of the record, it must also disclose the student's statement.

4.2625.7 Limitations on Right of Access

The University reserves the right to refuse to permit a student to inspect the following records:

- 1) The financial statement of the student's parents.
- 2) Letters and statements of recommendation for which the student has waived his or her rights of access, or which were maintained before January 1, 1975.
- 3) Records related to an application to attend the University of Oklahoma or a component unit or campus of the University if that application was denied, applications for employment, and receipt of honors or honorary recognition.
- 4) Those records that are excluded from the FERPA definition of education records.

4.2625.8 Refusal to Provide Copies

The University has a policy that denies students copies of their educational records, including transcripts, under certain conditions. While the University cannot deny students access to their education records, students will be denied copies of those records in the following situations.

- 1) The student has an unpaid financial obligation to the University
- 2) There is an unresolved disciplinary action against the student
- 3) The education record requested is an exam or set of standardized test questions

4.2625.9 Parental Access to Student Academic Records

Parents of a dependent student may have access to grades and other confidential academic information under guidelines provided in the Family Educational Rights and Privacy Act of 1974, unless the University has been provided with evidence that there is a court order, state statute, or legally binding document related to divorce, separation, or custody that revokes these rights. Access to this information is limited to parents who claim the student as a dependent for income tax purposes. Each request for parental access must include a copy of the top portion of the parent's most recent tax return, showing the student's identifying information.

Requests from parents for specific grade or other academic information are addressed to the Office of Admissions and Records.

4.2726 OKLAHOMA OPEN RECORDS ACT

The University of Oklahoma follows the Oklahoma Records Act. The University of Oklahoma Board of Regents has approved a policy concerning the implementation of that act at the University. For information concerning that policy, contact the University's Open Record Officer.

4.2827 E-MAIL

E-mail is an electronic form of memos, letters, or voice mail and should be used in the same manner as these three modes of communication. E-mail messages should not contain information that one would not want made public. (See Acceptable Use Policy in [Section 7.3.1](#))

4.2928 HSC STUDENT AFFAIRS & OU-TULSA STUDENT AFFAIRS

HSC Student Affairs ~~is~~ OU-Tulsa Student Affairs are dedicated to the support and enhancement of the academic mission of the University. ~~The office provides student life programming and~~ The departments provide services to both current and prospective students, ~~as well as student life programming and campus-wide activities.~~ 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, inclusive, and safe social atmosphere. Services are offered to ensure the physical, emotional, and mental health of all students and to provide guidance toward a career as a health care professional. Students learning at remote sites are supported via HSC Student Affairs.

Service areas include:

- Campus Life
- David L. Boren Health Sciences Center Student Union (HSC Student Union)
- Founders Student Center
- Multicultural Student Services
- Professional Services (e.g., HSC Writing Center)
- Recreational Services (e.g., ~~IM~~, Intermural Sports)
- Recruitment Services
- Student Counseling Services
- Student Health Services (e.g., Student Health Clinic)
- Student Organization (e.g., Student Government)
- University Village Apartments

HSC Student Affairs is located in Suite 300 of the ~~David L. Boren~~ HSC Student Union. To contact HSC Student Affairs ~~please~~ call (405) 271-2416 or email students@ouhsc.edu. For more information regarding HSC Student Affairs, ~~please~~ visit <http://students.ouhsc.edu/>.

OU-Tulsa Student Affairs is located in Founders Student Center. To contact OU-Tulsa Student Affairs, call (918) 660-3100 or email TulsaSA@ou.edu. For more information regarding OU-Tulsa Student Affairs, see: <https://www.ou.edu/tulsastudentaffairs>

4.3029 STUDENT COUNSELING SERVICES

HSC Student Counseling Services at operates on both the Health Sciences Center provides Oklahoma City and OU-Tulsa campuses, providing confidential individual, in-person, and telehealth counseling for individuals, couples, groupgroups, and crisis counseling to HSC students. appointments. Costs for therapy services are included in student fees. Testing the Student Counseling Services fee. TAO Connect, an expansive library of self-help videos, exercises, trainings, and tools, is also available to all OU students, staff, and faculty at no additional cost, accessed at us.taoconnect.org. Psychological testing and assessment services are also available for an additional fee. Outreach presentations and workshops on a variety of topics such as Study Skills, Stress Management, Test Anxiety, and Relationship Workshops study skills, stress management, test anxiety, and relationships are also available to students on a regular basis. In addition, wellness presentations can also be given to faculty and staff on topics such as Recognizing and Assisting Distressed Students and Suicide Prevention/QPR training. recognizing and assisting distressed students and suicide awareness and prevention.

Counseling services are available to students online via telehealth and in-person in the ~~David L. Boren~~HSC Student Union. ~~To in Oklahoma City and at the Schusterman Center in Tulsa. Students can call or email to schedule an appointment for counseling, testing, or an outreach presentation, please call (405) 271-7336, Monday through Friday, 8 a.m. to 5 p.m. Appointments hours are 8 a.m. to 5 p.m., Monday through Friday with extended hours on various days of the week.~~ OU-Tulsa services are available at (918) 660-3109.

For more information on Student Counseling Services, visit <http://students.ouhsc.edu/SCS.aspx> or <https://www.ou.edu/tulsastudentaffairs/counseling-services>.

4.3130 OFFICE OF FINANCIAL AID

Information on scholarships and financial aid may be obtained from the Office of Student Financial Services at (405) 271-2118 or visiting 865 Research Parkway, Suite 240.

For more information, ~~please visit~~ <https://financialservices.ouhsc.edu>; <https://financialservices.ouhsc.edu/Departments/Student-Financial-Aid>.

4.3231 STUDENT GOVERNMENT ASSOCIATION AND STUDENT ORGANIZATION ADVISORS/ADVISERS

~~Students are represented at the college level by their respective college student councils. Faculty or staff advisors for these student councils are recommended by the council and approved by the dean of the respective college. Students are represented at the campus level by the University of Oklahoma Health Sciences Center (OUHSC) Student Government Association, (HSC SGA) and OU-Tulsa Student Government Association (OUTSGA), whose membership is composed of representatives of the college student councils/associations, campus-wide event liaisons/chairs, and multicultural student organizations as outlined in the SGA constitutions. The faculty or staff advisor for this organization/advisor for HSC SGA and OUTSGA is the Associate Vice President for HSC & OU-Tulsa Student Affairs or his/her/their designee.~~

~~The advisor~~ Students are represented at the college level by their respective college student councils/associations. Advisers for student councils/associations should be supported by the college's student service office..

Any adviser should attend the meetings of the organization; be active with the group in formulating and executing its policies and program activities, including social functions, in keeping with the purpose of the organization and the functions of the University; be aware of University policies and regulations concerning student organizations; and supervise the funds of the organization in accordance with the following regulations established by the Board of Regents. ~~Advisors~~

Advisers should also be aware of the University of Oklahoma's Travel Policy when arranging travel plans for an administrative, Academic, or Registered Student Organization. Undergraduate, graduate, and professional students traveling in connection with events and activities of a Registered Student Organization ~~or Registered Sports Club~~ must follow the procedures of this policy if the travel is 1) out-of-state and/or 2) requires an overnight stay. Further information for OU Travel Policies can be found at <http://students.ouhsc.edu/FormsandPolicies.aspx> <https://students.ouhsc.edu/Current-Students/Student-Resources/Forms-Handbooks-Policies>.

~~Regulations of the Board of Regents make it mandatory for all student organizations to keep their accounts in the University. All state funds received by the organization must be deposited in its University account. All expenditures must be supported by written voucher and made by University check after approval of the faculty or staff advisor.~~

For more information regarding the ~~process of~~ student organization registration process or student organization financial processes or for a complete listing of registered student organizations ~~on campus~~, please visit <http://students.ouhsc.edu/StudentOrganizations.aspx> ~~contact HSC & OU-Tulsa Student Affairs.~~

4.3332 SERVICES FOR STUDENTS WITH A DISABILITY

The University of Oklahoma is committed to the goal of achieving equal educational opportunity and full participation for students with disabilities. Consistent with the Rehabilitation Act of 1973, as amended, and the Americans with Disabilities Act of 1990, as amended, ~~The~~the University of Oklahoma ensures that no “qualified individual with a disability” will be excluded from participation in, be denied the benefits of, or otherwise be subjected to discrimination solely on the basis of disability under any program or activity offered by ~~The~~the University of Oklahoma.

Accommodations on the basis of disability are available ~~by contacting from~~ the Accessibility and Disability Resource Center (DRC) by email, ADRC, adrc@ou.edu, or ~~by calling~~ (405) 325-3852 Voice or (405) 217-3494 (VP).

Students requesting disability-related services or accommodations are required to submit appropriate documentation to substantiate the disability. DRC/ADRC staff will review the documentation and send an e-mail to the student's ~~university~~University e-mail account ~~that explains the eligibility determination~~provides information about next steps to finalize registration. Students can expect to receive an initial response within 15 University business days of the Center's receipt of the documentation. Students with disabilities will then schedule an appointment for an initial ~~intake procedure appointment~~ with the Accessibility and Disability Resource Center staff team. During this appointment ~~DRC, ADRC~~ staff and the student will engage in an interactive process and discuss any history of accommodation, ~~strengths and limitations, and review current barriers related to the disability, relevant documentation, and relevant~~ policies/procedures.

Information on policies and registration with DRC/ADRC may be found on the DRC/ADRC website at www.ou.edu/drc- <https://www.ou.edu/adrc>. Also, see Section 5.3 for the Reasonable Accommodation Policy.

4.3433 VETERANS SERVICES

The HSC Office of Admissions and Records provides certification of enrollment for students at the OUHSC Health Sciences Center who receive financial assistance through the Veterans Administration. Veterans enrolling at the Health Sciences Center for the first time are expected to complete the necessary paperwork at the HSC Office of Admissions and Records.

HSC & OU-Tulsa Student Affairs offers supportive programing for students who identify as veterans or who are currently serving in the military. For more information, contact HSC & OU-Tulsa Student Affairs.

4.3534 INTERNATIONAL STUDENT SERVICES

The Office of Academic Affairs-Immigration Services at the Health Sciences Center complies with immigration and federal laws governing ~~the~~ international students by providing necessary documents for admission, departure, and reentry to the United States; extension to stay; transfer to other colleges and universities; change of visa status; employment on and off campus; and post-graduate applications for practical training; ~~letters of certification for foreign exchange; etc.~~

International students are required to maintain health, hospitalization, and repatriation insurance while enrolled ~~at~~ theas Health Sciences Center program students.

Further information may be found in the *Student Handbook* or by contacting the Office of Admissions and Records/Immigration Services at (405) 271-~~23592189~~.

HSC & OU-Tulsa Student Affairs ~~is~~teams are dedicated to the support and success of international and all multicultural students. For more information regarding programming geared for International students, please ~~visit~~ <http://students.ouhsc.edu/Services/MSS.asp>. contact HSC & OU-Tulsa Student Affairs contact .

4.3635 STUDENT HEALTH INSURANCE

~~All OUHSC students are required to have health insurance upon entering and during enrollment. At the beginning of each academic year, and periodically throughout the year, students may be asked to show proof of health insurance. Student will have 10 University~~Per the University of Oklahoma Board of Regents' Policy, all students enrolled in OU Health Sciences Center (OUHSC) programs are responsible for maintaining health insurance and providing coverage information each semester of enrollment in their programs. OUHSC students are automatically

enrolled in the university's student health plan at the beginning of each semester. The University's student health plan is administered by Academic Health Plans with coverage through Blue Cross Blue Shield. If a student has alternate insurance coverage that meets the University's waiver requirements (see: <https://students.ouhsc.edu/Current-Students/Student-Wellbeing/Health-Insurance#waveir>), they may waive their coverage in the student health plan. Students will have 10 university business days to provide proof after the request is made. If non-compliant within 10 days, students may be suspended from ~~classes~~ didactic education, clinical education, and/or rotations until proof of coverage is provided. Additional information may be obtained by contacting the student services office within the ~~individual's~~ student's college ~~of~~ and/or HSC & OU-Tulsa Student Affairs.

Students ~~To comply with this policy, students~~ may participate in the student-sponsored health insurance policy, Academic Health Plans, or ~~show~~ submit proof of acceptable/comparable insurance coverage ~~by a recognized via the waiver system.~~ Further details regarding acceptable health insurance provider to the college coverage see: <https://students.ouhsc.edu/Current-Students/Student-Service-Office-Wellbeing/Health-Insurance>.

Enrollment forms and the Summary of Benefits for the Academic Health Plans Student Health Insurance Policy are available online at <http://ouhsc.myahpcare.com/> or at HSC Student Affairs in the ~~David L. Boren~~ HSC Student Union, Suite 300, and OU-Tulsa Student Affairs in Founders Student Center.

Further details are available on the [Student Affairs](#) website.

4.3736 STUDENT HEALTH SERVICES

The OU Health services for all Health Sciences Center students are offered Student Health Clinic (Oklahoma City) and OU-Tulsa Student Health Clinic (Tulsa) provide acute and chronic care for injuries and illnesses, as well as routine preventative care.

HSC program students located in Oklahoma City receive care in the Student Health Clinic housed in the OU Physicians Building, Family Medicine Center. Students located at 825 NE 10th Street, Suite 4A, Oklahoma City, OK 73104. OU-Tulsa receive care in Founders Student Center. A variety of medical services is provided. ~~The Student Health Clinic serves as the repository for all mandatory health history forms.~~

Each student, as outlined at the time of registration for each semester, is links below.

Student, located in Oklahoma City and Tulsa, are charged a student health fee to defray the costs of these services, ~~without regard.~~ Remote site students do not pay a student health fee and are not eligible to the number of hours for which hereceive student health services at HSC or she is enrolled. Tulsa.

Students should contact their respective college student services office to obtain health history ~~and immunization~~ requirements. The Student Health Clinic, in coordination with an external vendor, serves as the repository for all mandatory health history forms.

For more information, please visit <http://students.ouhsc.edu/SHWC.aspx>.

See:

HSC-OKC | <https://students.ouhsc.edu/Current-Students/Student-Wellbeing/Health-Clinic>

HSC-Tulsa | <https://www.ou.edu/tulsastudentaffairs/health>

4.37 STUDENT IMMUNIZATIONS

The Student Screening, Vaccine, and Testing Policy lists the screening, vaccination, and testing requirements for each college.

4.38 UNIVERSITY HEALTH CLUB AND UNIVERSITY RESERCH PARK HEALTH CLUB – Oklahoma City

The University Health Club (UHC) is available to all HSC students, residents, faculty, ~~and~~ staff, and community and is housed in the Harold Hamm Diabetes Center located at 1000 N. Lincoln Blvd.

The University Research Park Health Club (URPHC) is available to all HSC students, residents, faculty, ~~and staff, and~~ community and is housed in the University Research Park located at 865 Research Parkway.

Membership for HSC program students geographically assigned to Oklahoma City is covered by their student fees. HSC program students not assigned to Oklahoma City can access the UHC and URPHC by purchasing a membership. Health Club memberships are available for faculty, staff, students and residents. For information on memberships, fees, and hours of operation, ~~please visit~~ see: <http://www.ouhsc.edu/uhc/> or contact the University Health Club at (405) 271-1650.

4.39 OU TULSA FITNESS CENTER

OU Tulsa Fitness Center, is available to all HSC students, medical residents, paid faculty, and staff, is housed in the Founders Student Center located at 4502 E. 41st Street. For questions or concerns please contact OU-Tulsa Student Affairs at 918-660-3100 or TulsaSA@ou.edu.

Membership for HSC program students geographically assigned to Tulsa is covered by their student fees. All OU-Tulsa students, faculty, and staff must have a Current Fitness Center Waiver on file with OU-Tulsa Student Affairs, as well as a valid OU-Tulsa Sooner Card ID to access the Fitness Center.

4.40 ENGLISH LANGUAGE PROFICIENCY

The Oklahoma State Legislature requires that all instructors now employed or being considered for employment at institutions within the Oklahoma State System of Higher Education shall be proficient in speaking the English language. Students having concerns with regard to an instructor's English proficiency are to report their concerns to the Vice Provost for Academic Affairs.

4.4041 HONORS PROGRAM

The OUHSC Honors Program offers academically superior students the opportunity to do undergraduate work in specially-designed courses that lead to a degree with Honors, High Honors, or Highest Honors. The educational opportunities include special sections, independent study and research, and interdisciplinary study. The aim of this program is to challenge academically superior students and to enable them to attain deeper understanding of and greater degree of commitment to their intellectual goals. In order to graduate with a degree with honors, students must satisfy requirements both of the college and of the department in which they are majoring.

Students who successfully complete all requirements of the Honors Program and who attain an overall grade point average of at least 3.75 will be graduated with Highest Honors; those with overall grade point averages of at least 3.50, but less than 3.75, will be graduated with High Honors; and those with overall grade point averages of at least 3.25, but less than 3.50, will be graduated with Honors.

~~The Robert M. Bird Health Sciences Library is responsible for the informational materials and services that are needed to support the research and educational programs on the Health Sciences Center campus and serves as the major resource for health information in Oklahoma. The Library supports graduate, professional, and undergraduate levels in medicine, nursing, pharmacy, dentistry, public health, communication sciences, radiologic technology, nutritional sciences, occupational therapy, and physical therapy.~~

5. GENERAL POLICIES AND SERVICES

5.1 ~~EQUAL OPPORTUNITY~~NON-DISCRIMINATION POLICY

This University, in compliance with all applicable Federal and State laws and regulations, does not discriminate on the basis of race, color, national origin, sex, sexual orientation, genetic information, gender identity, gender expression, age (40 or older), religion, disability, political beliefs, or status as a veteran in any of its policies, practices, or procedures. This includes but is not limited to admissions, employment, housing, financial aid, housing, services in educational programs or activities, or health care services that the University operates or provides.

(Regents, 3-24-70, amended 4-8-76, revised 7-12-77, amended 12-10-81, 1-27-93, 1-27-04, 9-19-11, 6-24-15, 3-8-17)

5.2 SEXUAL MISCONDUCT, DISCRIMINATION AND HARASSMENT POLICY, AND CONSENSUAL SEXUAL RELATIONSHIPS POLICIES

These policies, in their entirety, and the associated complaint and grievance procedures are contained in **Appendices H, I, and J**.

5.3 REASONABLE ACCOMMODATION POLICY

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 result in undue financial or administrative burdens.

The term "reasonable accommodation" is used in its general sense in this policy to apply to employees, students, and visitors.

Reasonable accommodation may include, but is not limited to, the following in accordance with the Americans with Disabilities Act (ADA) of 1990, as amended:

- ~~1) Making existing facilities readily accessible and usable by individuals with disabilities.~~
- 1) Job ~~acquiring or modifying equipment or devices.~~
- 2) job restructuring.
- 3) ~~Part~~ providing part-time or modified work schedules.
- 4) ~~Reassignment~~ reassignment to a vacant position if qualified.
- ~~5) Acquisition or modification of equipment or devices.~~
- 6) ~~5) Adjustment or modification of~~ Providing accessible digital content ~~a~~ Adjusting or modifying examinations, training materials, or policies.
- 7) ~~6) Providing qualified~~ providing readers ~~or~~ and interpreters.
- ~~8) Modifying policies, practices, and procedures.~~

Making the workplace readily accessible to and usable by people with disabilities.

The Accessibility and Disability Resource Center (www.ou.edu/drc/home.html), ~~unless otherwise provided,~~ (ADRC) (<https://www.ou.edu/adrc>) is the central point-of-contact to ~~receive~~ process all student requests for reasonable accommodation and to receive all relevant documentation required to determine disability status under law. ~~This~~ The center will then engage in an interactive communication process with the student and make a recommendation on accommodation to the appropriate administrative unit.

The student must self-identify as an individual with a disability, engage in an interactive communication process with the ADRC, and provide appropriate diagnostic information to the Accessibility and Disability Resource Center that substantiates the disability. All diagnostic information is confidential; ~~therefore, memos can be,~~ Memos regarding accommodations are sent only at the student's request.

Reasonable accommodation with respect to employment matters should be coordinated with the Office of Human Resources- (<https://hr.ou.edu/Policies-Handbooks/ADA-Services-for-Faculty-Staff>). 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 Administration and Finance.

Individuals who have complaints alleging discrimination based upon a disability may file them with the University's ~~Equal Opportunity~~Institutional Equity Officer and Title IX Coordinator in accordance with prevailing ~~University discrimination grievance procedures~~University's Investigative Process for Internal Complaints Under the Non-Discrimination Policy.

(President, 2-16-93, Regents, 6-1-12, 3-9-22)

5.4 LOYALTY OATH

Oklahoma State Statute 51 O.S., Section 36.1, 36.4, requires that each new employee must sign a Loyalty Oath and have it notarized as part of ~~his/her~~ or his personnel file. This requirement extends to all employees and officials of the State of Oklahoma and must be satisfied before an individual can be placed on the state payroll. The Loyalty Oath remains valid as long as the employee is working for the University.

(President, 7-1-86, Regents, 6-1-12)

5.5 NEPOTISM

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

Therefore, no two persons who are related by consanguinity or affinity within the third degree shall be given positions in which either one is directly responsible for making recommendations regarding employment, promotion, salary, or tenure for the other; nor shall either of two persons so related who hold positions in the same budgetary unit be appointed to an executive or administrative position in that unit or to a position involving administrative responsibility over it, as long as the other person remains in the unit, without first receiving a waiver that has been recommended by the Senior Vice President and Provost or the appropriate vice president and approved by the Board of Regents.

In recommending the waiver, the Senior Vice President and Provost or the appropriate vice president must ~~make a written statement of the facts that have led him/her to~~ conclude that the benefit to the University in granting the waiver outweighs the potential harm. In addition, the Senior Vice President and Provost or the appropriate vice president must ~~propose~~approve in writing a means by which a qualified, objective person, unrelated to the employee at issue, shall make performance evaluations and recommendations for compensation, promotion, and awards for that employee and state in writing how that means will avoid the conflict of interest. The statement and proposal for supervision shall be made part of the Board of Regents agenda item.

Further, a salary increase above the average increase granted to all University employees in similar positions will not be granted to an employee who has been granted a waiver under this policy unless it has been approved by the applicable Senior Vice President and Provost or appropriate vice president and the President. ~~In the case where this policy is made applicable by a related party being 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 and if justified in writing by the appropriate vice president ~~and approved by the Senior Vice President and Provost~~. 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.

Regardless of budgetary unit, University employees who are related by consanguinity or affinity within the third degree and involved in research activities together may be subject to additional requirements as determined by the appropriate campus's Conflict of Interest Officer. University employees are required to disclose relatives employed by the University on the conflict of interest disclosure form.

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

(Regents, 4-8-71, 10-17-90, 2-20-92, 12-3-02, 1-27-04)

5.6 ACCESS TO PERSONNEL FILE POLICY

(a) Introduction

For the purpose of making employment decisions, the University maintains individually identifiable personnel files on persons who have been or who are its employees. This policy is intended to provide guidelines for access to those records in order to promote an informed public while maintaining the security of personnel records necessary to protect the privacy of University employees and the interests of the University in fulfilling its constitutional functions.

Access to appropriate records shall be in accordance with the provisions of this policy and the University's Open Records Policy (see [Appendix K](#)).

(b) Contents

Those responsible for the custody of personnel files shall determine information to be placed in the files. Only such information as is germane to the person's employment with the institution shall be retained in these files. Examples of this type of information are:

- 1) Information pertaining to bona fide occupational qualifications
- 2) Service on University committees, councils, and task forces
- 3) Summaries of pre-employment recommendations and merit, tenure, and promotion recommendations
- 4) Performance and discipline matters
- 5) Personnel actions, such as appointments, change of status, tenure, and promotion
- 6) Awards, elected offices, service to outside organizations, and professional associations

Individuals may ask that materials relevant to their employment be included in their personnel file by written request to Human Resources, to the ~~Vice President for University Governance and~~ Executive Secretary of the ~~University Board of Regents~~, or to the Senior Vice President and Provost, as appropriate.

(c) Confidentiality

The following personnel records shall be deemed confidential and may be withheld from public access:

- 1) Those ~~which that~~ relate to internal personnel investigations including, examination and selection material for employment, hiring, appointment, promotion, demotion, discipline, or resignation;
- 2) Those where disclosure would constitute a clearly unwarranted invasion of personal privacy, such as employee evaluations, medical documentation, payroll deductions, and employment applications submitted by persons not hired by the University;
- 3) Those ~~which are~~ specifically required by law or University policy to be kept confidential

(d) Access

Personnel files shall be made available to individuals to review in accordance with the following guidelines, provided that the files may be inspected by persons so entitled only under the supervision of the custodian or his/her designee in the administrative office where they are maintained.

- 1) With the exception of information/records excepted or excluded elsewhere in this policy, personnel files shall be made available for public inspection, copying, and/or mechanical reproduction in accordance with procedures established under this policy; the University's Open Records Policy (see Appendix K); or as otherwise provided by law—~~such as by~~ court order, or subpoena. Requests for personnel files must be made through the University's Open Records Officer. Examples of available information include, without limitation:
 - (a) An employment application of a person who becomes a public official;
 - (b) The gross receipts of public funds;
 - (c) The dates of employment, title, or position;
 - (d) Any final disciplinary action resulting in loss of pay, suspension, demotion of position, or termination.
- 2) Supervisors or administrators shall have access to the personnel files of persons employed or being considered for employment in their areas of responsibility, on a need-to-know basis, and shall have authority to share the information with others responsible for personnel recommendations and/or decisions; further, other institutional officers or employees showing a legitimate need for the information shall be permitted such access.
- 3) Except as may otherwise be made confidential by statute law, an employee (or his/her designee as authorized in writing and signed by the consenting employee) shall have a right of access to his/her own personnel file, provided:
 - (a) The individual wishing to inspect his/her personnel file ~~should submit~~ submits a written request for inspection to the custodian of the file; and,
 - (b) The individual does not remove or add any records to his/her personnel file at the time of inspection.

(e) **Correction of Records**

An employee may dispute the accuracy of any material included in his/her personnel file. Such questions should be directed to the custodian of the file in writing. If the questions are not resolved by mutual agreement, the employee may initiate a formal challenge through the employment dispute resolution or discrimination complaint procedures as outlined elsewhere in University policy.

(President, 3-17-86; Revised 9-4-92, 6-1-12)

5.7 EMPLOYEE ASSISTANCE PROGRAM

The University recognizes that it is in the best interests of both the University and its employees to provide assistance for employees in dealing with personal problems that may adversely affect their job performance. For this reason, the University has established an Employee Assistance Program.

The purpose of the Employee Assistance Program is to provide: (1) immediate assistance to employees with personal problems, including alcohol and drug abuse, ~~which~~ that affect their work or job performance; (2) job security and advancement opportunities for those who take advantage of this program; an assurance it will in no way be jeopardized due solely to their participation in the program; (3) complete confidentiality—all records involving services provided by the Employee Assistance Program shall be treated as confidential medical records and shall be maintained separately from personnel records; (4) employees who exhibit job performance problems the opportunity

to seek assistance voluntarily through the Employee Assistance Program; (5) ~~the supervisor's~~ supervisor discretion in referring an employee when there is evidence of work deterioration that has been documented by the supervisor.

In addition, while the employee has the right to decide whether or not to use the Employee Assistance Program or to follow any of its recommendations, if personal problems continue to adversely affect work performance, established University employment policies will be followed in handling the situation. There will be no cost to the employee for the evaluation and assessment services of the Employee Assistance Program. Employees will be responsible for ~~cost~~ costs incurred in undertaking recommended treatment.

Information about the Employee Assistance Program is available through the Human Resources website at: <http://healthysooners.ouhsc.edu/programs/eap.aspx>. <https://hr.ou.edu/EAP>.

5.8 HEALTH AND SAFETY POLICY – UNIVERSITY OF OKLAHOMA

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 the 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 www.ouhsc.edu/ehso-compliance.ouhsc.edu/EHSO

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

5.9 COMMUNICABLE DISEASE POLICY

The purpose of this policy is to inform faculty, staff, and students about how the University of Oklahoma will respond to faculty, staff, and students with a communicable disease. The University wishes to provide an environment free of hazards and will take reasonable precautions to protect faculty, staff, and students from individuals who are known to have communicable diseases.

Information on the communicable disease policy can be obtained from Human Resources ~~on the Norman campus and in the OUHSC/OU-Tulsa Infectious Diseases Policy on the Environmental Health and Safety Office policy and programs website~~ (<http://www.ouhsc.edu/ehso/>).

(President, 1-21-91, edited 12-3-02)

5.10 TOBACCO-FREE POLICY

The Board of Regents has established a Tobacco-Free Policy consistent with ~~Governor Fallin's~~ Executive Orders 2012-01 and 2013-43. All properties and facilities of the University of Oklahoma, regardless of campus or location, are tobacco, electronic cigarette, and vaping device-free.

Purpose

The purpose of this policy is to foster a healthier environment for students, faculty, staff, patients, and visitors on the University of Oklahoma campuses by minimizing tobacco use, which is the leading cause of preventable death in Oklahoma and the United States. The policy is designed to prevent or reduce exposure of individuals to secondhand smoke, and to help reduce tobacco use among OU students and employees. The policy is not intended to be judgmental of individual lifestyle choice or to be punitive towards any individual or group.

This policy is subject to all applicable laws, regulations, and recognized exceptions contained therein, including without restriction, an exception allowing tobacco use for religious or ceremonial purposes.

Policy

The use of all tobacco products including but not limited to cigarettes, cigars, pipes, and smokeless tobacco, electronic cigarettes, and vaping devices is strictly prohibited anywhere on University grounds or campuses.

- 1) The use of tobacco products, electronic cigarettes, and vaping devices is prohibited in any buildings or portion thereof owned, leased, or operated by the University, including, without restriction, University housing/apartments, athletic facilities, within any University parking structure, in any vehicle owned or leased by the University, or on University grounds or campuses, including but not limited to public and non-public areas, offices, restrooms, stairwells, driveways, sidewalks, etc.
- 2) This policy applies to all persons on University grounds or campuses, including but not limited to students, faculty, staff, contracted personnel, vendors, patients, and all visitors to a University campus. The policy applies to all University events, including without restriction, football games at the Gaylord Family Oklahoma Memorial Stadium.
- 3) The sale of tobacco products, electronic cigarettes, and vaping devices on University property is prohibited.

Communication of Policy

- ~~1) Appropriate Signage shall be posted strategically throughout the campus and in University facilities and vehicles as a reminder of the policy.~~
- ~~2) The respective Office of the Senior Vice President and Provost will ensure that University faculty employment announcements and information provided to new faculty recruits and employees contain information about the tobacco, electronic cigarette and vaping device free environment.~~
- ~~3) Human Resources will ensure that University staff employment applications, both hard copy and online versions, contain information about the tobacco, electronic cigarette and vaping device free environment, and that new employees receive information about the tobacco, electronic cigarette and vaping device free policy during the new employee orientation.~~
- ~~4) The Office of the Vice President for Student Affairs will ensure that University communications and information provided to prospective students and to new students includes information about the tobacco, electronic cigarette and vaping device free environment.~~

~~The full text of this policy shall be available in the Norman, Health Sciences Center and Tulsa campuses' faculty and staff handbooks, and on their respective campus websites.~~

Compliance and Enforcement

Compliance with this policy by all students, employees, and visitors to the campuses is expected based upon ~~our~~the University's commitment to a healthy environment on the campuses and ~~our~~the responsibility to protect individuals from the adverse health effects of exposure to second-hand smoke. This depends on the consideration and cooperation of both users and non-users of tobacco, electronic cigarettes, and/or vaping devices. All members of the University community share the responsibility of adhering to and enforcing the policy and have the responsibility for communicating the policy to visitors in a courteous and considerate manner. Any complaints should be brought to the attention of the appropriate University administrative personnel.

Non-compliance with this policy will be handled in the same manner as any other policy violation and is subject to the disciplinary process.

After receiving an initial warning and reminder of the policy, repeated violations of the policy will also be subject to fines of Ten Dollars (\$10.00) for the second violation of the policy, and Fifty Dollars (\$50.00) for the third and subsequent violations. An appeals process will be used similar to that used for appeals of parking fines.

(President, 6-1-93; Revised 12-6-04, Regents 6-23-05, Amended 10-25-12, 1-28-14)

Employee and Student Assistance for Smoking Cessation

The OUHSC administration is committed to encouraging and providing helpful support to any student or employee who wishes to quit smoking by facilitating access to recommended smoking cessation programs and materials. Information about smoking cessation opportunities at the ~~Oklahoma~~ Health Sciences Center can be found at <http://healthysooners.ouhsc.edu/>; <https://hr.ou.edu/Policies-Handbooks/Tobacco-Free>.

The Oklahoma Tobacco Helpline can be accessed, toll free, at 1-800-~~748~~QUIT-NOW or 1-800-784-8669 or, <http://www.ok.gov/tset/Programs/Helpline.html> <https://okhelpline.com/>

5.11 POLICY ON PREVENTION OF ALCOHOL ABUSE AND DRUG USE ON CAMPUS AND IN THE WORKPLACE

The University of Oklahoma recognizes its responsibility as an educational and public service institution to promote a healthy and productive environment. This responsibility demands implementation of programs and services facilitating that effort. The University is committed to a program to prevent the abuse of alcohol and the illegal use of drugs and alcohol by its employees who may also as students be subject to applicable disciplinary policies and procedures for their respective campuses. This policy is based on the Oklahoma Standards for Workplace Drug and Alcohol Testing Act, 40, Okla. Statutes §§551 et seq., the Drug Free Workplace Act of 1988 (P.L.100-690, Title V, Subtitle D), the Drug Free Schools and Communities Act Amendments of 1989 (P.L.101-226), Prevention of Alcohol Misuse and Prohibited Drug Use in Transit Operations 49 CFR Part 655, the Federal Omnibus Transportation Employee Testing Act of 1991, and Department of Transportation rules (49 CFR part 40). The University program includes this policy, which prohibits illegal use of drugs and alcohol in the workplace, on University property, or as part of any University-sponsored activities. In order to meet these responsibilities, University policy requires all employees to abide by the terms of this policy as a condition of initial and continued employment. The University:

- 1) Recognizes that the illegal use of drugs and alcohol is in direct violation of local, state, and federal laws as well as University policies included in this policy, the ~~staff~~Staff and ~~faculty handbooks~~Faculty Handbooks, and applicable disciplinary policies and procedures for each respective campus. University policy strictly prohibits the illegal use, possession, manufacture, dispensing, or distribution of alcohol, drugs, or controlled substances in the workplace, on its premises, or as a part of any University-sponsored activities.
- 2) Considers a violation of this policy to be a major offense, which can result in a requirement for satisfactory participation in a drug or alcohol rehabilitation program, referral for criminal prosecution, and/or immediate disciplinary action up to and including termination of employment and suspension or expulsion from the University. A criminal conviction is not required for sanctions to be imposed upon an employee for violations of this policy.
- 3) Recognizes that violations of applicable local, state, and federal laws may subject an employee to a variety of legal sanctions including but not limited to fines, incarceration, imprisonment, and/or community service requirements. Convictions become a part of an individual's criminal record and may prohibit certain career and professional opportunities. A current listing of applicable local, state, and federal sanctions can be obtained through Human Resources.
- 4) Requires an employee to notify his or her supervisor in writing of a criminal conviction for drug- or alcohol-related offenses occurring in the workplace no later than five calendar days following the conviction.
- 5) Provides access to the University's Employee Assistance Programs for counseling and training programs that inform employees about the dangers of drug and alcohol abuse. Voluntary participation in or referral to these services is strictly confidential. More information is available on the Human Resources website at www.hr.ou.edu.

- 6) Forbids an employee from performing safety-sensitive (as defined by applicable federal and/or state laws, including the Code of Federal Regulations Title 49 Vol.6, Part 655) functions while a prohibited drug is in his-~~or~~-her system.
- 7) Mandates pre-employment drug testing of employees who will be performing safety-sensitive functions, and drug testing of such employees when there is reasonable cause, after an accident, on a random basis and before returning to duty after refusing to take a drug test or after not passing a drug test. (Safety-sensitive functions are defined pursuant to applicable federal and state law. Further information regarding safety-sensitive functions and related positions is available for review in Human Resources.) ~~Specific policies and procedures are available from departments with safety sensitive positions.~~ All employees required to undergo drug testing due to their job duties will receive a copy of the applicable drug testing rules that apply to their position.
- 8) Provides for annual distribution from Human Resources of this policy to all staff and faculty.

Health risks generally associated with alcohol and drug abuse can result in but are not limited to a lowered immune system, damage to critical nerve cells, physical dependency, lung damage, heart problems, liver disease, physical and mental depression, increased infection, irreversible memory loss, personality changes, and thought disorders.

The University's Employee Assistance Programs are responsible for informing employees about the dangers of drug and alcohol abuse and the availability of counseling and rehabilitation programs. The appropriate ~~provost~~Provost or executive officer is responsible for notifying federal funding agencies within ten calendar days when an employee is convicted of a drug-related crime that occurred in the workplace. This policy is subject to the dispute resolution procedure as stated in the ~~staff~~Staff and ~~faculty handbooks~~Faculty Handbooks and applicable disciplinary policies and procedures for each campus.

(Regents, 4-6-89, 9-5-90, 12-6-04, 6-23-04, 6-1-12)

5.12 POLICY FOR WORKPLACE THREATS AND VIOLENCE

The University of Oklahoma is committed to providing a safe and healthy workplace for all employees and a safe and prosperous educational experience for its students in accordance with applicable federal, state, and local laws. The University is also committed to providing a professional work environment that promotes dignified and respectful treatment of all. This policy applies to the conduct of any person on University premises or at University-sponsored events, including faculty members, students, staff members, visitors, or contractors while on University-owned or controlled property or while engaged in University business. The University has a zero-tolerance policy for workplace threats and/or violence in any form as described below. The University prohibits acts of workplace violence that include threats, intimidation, physical attacks, stalking, or property damage and violent behavior.

Definitions

Threats – A threat is the expression of intent to cause physical or mental harm. Such an expression constitutes a threat without regard to whether the person communicating the threat has the ability to carry it out, and without regard to whether the threat is made on a present, conditional, or future basis. In determining whether the conduct constitutes a threat, including whether the action caused a reasonable apprehension of harm, the University will consider the totality of the circumstances from the perspective of a reasonable person in the situation. Threats come in many forms, including, but not limited to, oral and written threats, or threats communicated through conventional mail, electronic messaging, digital imaging, photography, fax, or telephone, and may be direct or implied.

Physical Attack – A physical attack is, without limitation, unwanted or hostile physical contact such as hitting, pushing, kicking, shoving, tripping, poking, biting, spitting, throwing of objects, or fighting.

Intimidation – Intimidation includes but is not limited to stalking, bullying, or engaging in verbal, written, expressive, or physical actions that intentionally or recklessly frighten or coerce an individual, or that would be viewed by a reasonable person as such. Stalking includes, without limitation: willfully, maliciously, and repeatedly following or harassing another person in a manner that would cause a reasonable person or a member of the immediate family of that person to feel frightened, intimidated, threatened, harassed, or molested; and actually causing the person being followed or harassed to feel terrorized, frightened, intimidated, threatened, harassed, or molested. In the context of stalking, harassment may occur when an individual demonstrates a pattern or course of conduct directed

towards another individual that includes repeated or continuing uninvited contact, e.g., contact after the individual has clearly communicated that contact is unwanted. Unwanted contact includes: (1) following or appearing within the sight of that individual in a manner that would lead a reasonable person to believe he or she were being followed or watched by that individual;(2) approaching or confronting that individual in a public place for a non-business-related purpose or on private property; (3) appearing at that individual's workplace and/or work space for a non-business-related purpose; (4) appearing at the residence of that individual; (5) contacting that individual by telephone for a non-business-related purpose;(6) sending mail or electronic communications to that individual for a non-business-related purpose; (7) placing a non-business-related object on, or delivering an object to, that individual's workplace and/or workspace; (8) placing an object on or delivering an object to the individual's residence.

Property Damage – Property damage is intentional damage to or destruction ~~to or destruction~~ of property owned or leased by the University or its students, employees, contractors, vendors, or visitors.

Violent Behavior – Violent behavior includes any behavior, whether intentional or reckless, which results in bodily injury to another person and/or damage to property, and can include, but is not limited to: (1) injuring another person physically, including slapping, hitting, punching, pushing, poking or kicking; or physical gestures or actions which would be viewed by a reasonable person as threats to inflict physical harm; (2) engaging in behavior that creates a reasonable fear of injury in another person; (3) brandishing or using a weapon or other destructive devices or an object that reasonably appears to be a weapon, and where not otherwise allowed by law, possessing a weapon while on University premises or engaged in University business; (4) damaging property intentionally or recklessly; (5) threatening to injure an individual or damage property verbally, in the form of digital photography, or in written or electronic form; (6) committing acts motivated by or related to domestic violence or sexual harassment; (7) stalking, as defined above.

Guidelines for Reporting Violent Situations

The University encourages all employees to be alert to the possibility of violence on the part of current and former employees, current and former students, vendors, and visitors to the University. Supervisors are responsible to respond promptly, effectively, and in a manner consistent with University procedures when notified of an alleged incident of workplace violence, or when they observe workplace violence.

A person who believes that he or she has been the target of workplace violence or observes workplace violence must immediately report the alleged incident to his ~~or~~ her supervisor or manager, Human Resources, the University Police Department, and/or the city-of- residence police department. In emergency situations, the Police Department should be called immediately by dialing 911. The University also provides an Emergency Communication System for reporting activity that appears to be an immediate threat to an individual by calling any of the following numbers: on the Norman campus (405) 325-1911; on the Health Sciences campus (405) 271-4911; or on the Tulsa campus (918) 660-3333. The University prohibits retaliation against or harassment of individuals who act in good faith by reporting real or perceived violent behavior or violations of this policy.

All employees who commit violent acts or who otherwise violate this policy are subject to disciplinary action, up to and including termination of employment, for unacceptable personal conduct, and may also be subject to criminal prosecution. The University prohibits employees from making deliberately false or misleading reports of violence or threats of violence under this policy, and employees who make such reports will be subject to disciplinary action, up to and including termination of employment.

Other individuals who engage in acts of workplace violence as described above may be subject to different disciplinary action applicable to them through the Faculty Handbook, applicable disciplinary policies and procedures for each respective campus, University policy, and state or federal law.

(Regents, 6-1-12)

5.13 REMOVAL OF INDIVIDUALS NOT AFFILIATED WITH THE UNIVERSITY FROM UNIVERSITY PREMISES

There are times when a university must ask individuals not associated with it to leave its premises for a variety of reasons. This does not include individuals lawfully on the university's premises, nor will the removal of individuals violate their constitutional or statutory rights. The statute allowing a university to seek the removal of such individuals was recently amended. Oklahoma Statute Title 21, Section 1376. The statute indicates that any individual who is not a faculty member, staff member, or student of a university may be required to leave the university's

premises if the individual: (a) interferes with the peaceful conduct of university activities; (b) commits an act which interferes with the peaceful conduct of the university's activities; or (c) enters the university for the purpose of committing an act that may interfere with the peaceful conduct of university activities. Written notification to the individual of the available appeals and hearing procedures must be provided.

The Notice of Vacate citation complies with the ~~recently amended~~ statute by providing the individual with notice of the University's hearing and appeal procedures. The citation is designed to be issued by individuals unaffiliated with the respective campus by the Board of Regents through the University of Oklahoma Police Department, campus security, or other law enforcement entities if the individual has "interfered with the peaceful conduct" of ~~university~~ University activities. The appeals process permits the individual receiving a citation from the University to leave the premises with the right to appeal such order to the President or his/~~her~~ designated officer within ten business days of its receipt. The President or his/~~her~~ officer then has 15 business days within which to overturn the citation. If it is decided that the citation stands, there is no further avenue of appeal for the cited individual. The citation may be periodically amended to reflect the appropriate designated officer to which the individual must direct his-~~or~~/ her appeal.

Neither the ~~amended~~ appeals procedures for use by the University nor the citation alter, modify, or decrease any rights or appeals processes for faculty, staff, or students who are removed from the University's premises.

5.14 UNIVERSITY OF OKLAHOMA FIREARMS POLICY

Firearms and munitions of all types, as well as other weapons as identified in 21 O.S. 1277, are prohibited on all property owned, leased, or occupied by the Board of Regents at all times except as specifically authorized by law and/or University policy. Please refer to the Board of Regents *Policy Manual* for additional details.

(Regents, 4-25-96, 3-29-00, 1-27-04, 6-23-04, 3-9-16, 9-11-19)

5.15 PRIVATE FUND RAISING ~~FUNDRAISING~~

The President and University Advancement are responsible to the Board of Regents for all private ~~fund raising~~ fundraising for the University. This policy applies to all elements of the University and is designed to assist the President and University Advancement in coordinating and directing this very important function in the operation of the University. Given the variable nature inherent in privately raised funds, the President, Deans, and/or Directors, shall not commit funds for future years beyond what is already raised.

(Regents 9-2-76, 12-2-03, 9-11-19)

All cash gifts received by University departments and designated for the University of Oklahoma Foundation, Inc., or the University of Oklahoma Regents Funds, should be immediately forwarded to the Office of Alumni and Development for appropriate deposit into the OU Foundation or the OU Regents Fund approved account(s). All non-cash gifts (bonds, stocks, titles to property, etc.) or inquiries of such, should be forwarded to the Office of Alumni and Development for appropriate facilitation.

5.15.1 Health Sciences Center Office of University Advancement

The HSC Office of University Advancement 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~~ fundraising 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 University Advancement is the responsibility of the Vice President for University Advancement and the Health Sciences Center Assistant Vice President of the Office of University Advancement. All HSC faculty and/or other designated staff must have authorization from the HSC Office of University Advancement in conjunction with the Vice President for University Advancement and the Assistant Vice President to raise private funds.

5.15.2 University of Oklahoma Foundation, Inc.

The University of Oklahoma Foundation, Inc., was organized in 1944 as a trust and incorporated in 1955.

Gifts to the Foundation may be in the form of cash, securities, leases, royalties, literary and artistic collections, and real or personal property. Gifts may be made for a specific purpose or may be unrestricted. The Foundation is governed by its Board of Trustees.

5.16 UNIVERSITY OF OKLAHOMA PRESS

The University of Oklahoma Press, which was established in 1928 on the Norman campus, has won an international reputation through its publication of scholarly books. Of the books published by the Press, many have been written by faculty members of the University.

5.17 UNIVERSITY NAME, LOGOS, OTHER IDENTIFYING MARKS, AND SEAL

- (a) **Trademark Administrative Committee** – Responsibility for management of the University’s name, logos, other identifying marks, and seal (collectively “marks”) shall rest with a Trademark Administrative Committee (“TAC”). The Vice President for Marketing and Communications, the General Counsel, and the Athletic Director shall each appoint a representative to the three-member TAC.
- (b) **Trademark Policies and Procedures** – The TAC shall adopt, publish, and implement policies and procedures to ensure that the marks are utilized in a manner that best serves the interests of the University of Oklahoma. In no event should such use be disparaging, misleading as to sponsorship/affiliation, contradict public morals or decency, or reflect unfavorably upon the University.

Such policies and procedures should address mechanisms for non-commercial and commercial uses of the marks, both internal and external to the University. Additionally, the TAC should implement a style guide or other instrument for implementation University-wide that establishes uniform and consistent usage of the University’s marks.

- (c) **Trademark Office** – The TAC shall establish and oversee a University Trademark Office, which shall be responsible for implementation of policies and procedures regarding the University’s marks, including but not limited to the protection, licensing, management, and enforcement of the University’s marks. If desired and consistent with other applicable policies, the Trademark Office may contract with an official licensing agent to assist in one or more of these responsibilities.

(Regents 6-25-70, edited 1-23-91, 6-27-95, 3-5-97, 3-29-00, 1-27-04, 6-23-04, 6-23/25-08, 3-9-22)

5.18 CERTIFICATES

In issuing certificates for whatever purpose, the University and all its divisions shall conform to the following specifications stipulated by the Oklahoma State Regents for Higher Education and endorsed by the Board of Regents.

Certificates bearing the name and the Seal or Coat of Arms of the University may be issued only by the University, pursuant to the applicable legislation in each instance, as created by the President and Board of Regents and/or the State as represented by the Oklahoma State Regents for Higher Education or the Governor or Legislature of the State of Oklahoma. Academic colleges, schools, departments, and other subdivisions of the University do not have such authority- (Oklahoma State Regents for Higher Education policy, II-2-41,6).

The Office of Admissions and Records is charged with the responsibility of administering the regulations governing the issuance of certificates. A complete statement of detailed regulations regarding certificates may be secured from the Office of Admissions and Records.

(Regents, 10-8-64, 11-9-67, 5-14-70, 6-14-79, 10-16-85, 11-14-91, 1-27-98)

5.19 ~~TELEVISED INSTRUCTION SYSTEM~~

~~The Oklahoma State Regents for Higher Education maintains a statewide digital network named "Onenet." Onenet provides educational institutions access to the Internet. Onenet provides coordination and bridging services for televised classes using H.323 video protocol.~~

~~Most state colleges and universities and many hospitals are on the network. This system is particularly valuable for continuing education, seminars, and conferences. Both credit and non-credit programs may be transmitted. For further information, contact the Health Sciences Center Television Services.~~

5.20 OFFICIAL COMMUNICATIONS

~~The proper channels through which recommendations concerning the policies and/or administration of its governed entities, as a whole or in any of its parts, should be communicated to the Legislature for communicating with legislative or other Statestate or government officials are theis through the Senior Vice President and Provost, President and the Board of Regents. Further, any official statement made on behalf of the Board of Regents to the public through the press or otherwise, shall be made only by the Chair of the Board of Regents; provided, the President or his/her designee may publicly explain prior Board of Regents' action as deemed necessary and proper.~~

Nothing in the preceding subsection is intended to or should be construed to abridge the rights and privileges of individual Regents to publicly express their personal opinions on any matter or to abridge constitutional rights of employees to comment on matters of public concern or to prohibit any other rights of communication established by law.

(Regents, 12-7-36, 12-17-45, 3-9-49, 10-13-88, 3-21-95, 3-29-00, 12-2-03)

5.2120 NEWS RELEASES

The University Regents have requested that news releases for print, broadcast, and digital media, ~~radio, and television~~ that affect the welfare or reputation of the University be released only through the President's Office. This policy is not intended to restrict or censor any release of factual information, but to ensure that news releases are issued from a fully informed source.

The Vice President for Marketing and Communications is responsible to the President for all University news releases that interpret the policies of the University. Questions concerning this news release policy may be answered by the Division of Marketing and Communications ~~Office~~, and requests for approval of releases may be initiated with that office.

(Vice President for Public Affairs, 8-1-80, 10-1-93; Regents, 3-9-22)

5.2221 CONTACTS WITH REPORTERS

On occasion, reporters for print, broadcast, and emerging or social media, contact University faculty or staff members directly instead of working through the University's Division of Marketing and Communications ~~Office~~. There is no objection to this procedure. However, any faculty or staff member who is contacted by and either gives a statement to the press or arranges for a subsequent interview is requested to inform the Vice President for Marketing and Communications. This is an informational procedure only, and the cooperation of the faculty and staff is requested.

(Vice President for Public Affairs, 8-1-80, 10-1-93, 6-1-12; Regents, 3-9-22)

5.2322 PUBLICATIONS AND PROMOTIONAL MATERIALS POLICY, SOCIAL MEDIA

In order for all publications and promotional materials representing the University to convey a consistent and accurate message and image, externally disseminated publications must be reviewed by the Division of Marketing and Communications or the designated publications office. The full text of this policy is maintained by the Division of Marketing and Communications. More information on the OU's Social media policy can be found in <https://www.ou.edu/marcomm/social-media>

(Regents 4-4-91, edited 3-29-00, 1-27-04, 6-23-04, 3-9-22)

5.2423 ADVERTISING AND PROMOTION POLICY

The University will never knowingly accept or allow advertising that does not conform to industry standards and University guidelines. The University also adheres to specific guidelines in regard to alcoholic beverage advertising. This policy applies to all advertising and promotion in whatever format. Examples are books, brochures, posters, programs, directories, newspapers, signs, radio and television, videotape and audiotape, and electronically generated programming. Signs include those at the athletic facilities, on CART vehicles, and in other locations. This policy also applies to all events and activities organized by or sponsored by University departments or registered student organizations.

(Regents 1-13-83, 11-8-84, 12-8-88, 4-6-89, 3-29-00, 1-27-04, 6-23-04)

5.2423.1 Endorsement Prohibited

The University does not endorse any commercial product, program, enterprise, or idea. For purposes of this policy, employees are not prohibited from promoting OU Health.

(Regents, 1-27-04, 3-9-22)

5.2423.2 Purchasing Advertising

The University from time to time may wish to reach a certain public by purchasing advertising in the media. The material contained in this advertising may include, among other things, -matters related to increasing enrollments in regular or extension courses; promotional advertising, or informational material related to specific policies, projects, events, institutes, departments, and curricula. With the exception of employment advertising, no contracts for advertising should be entered into and no oral or written commitments may be made by any University employee without the prior written approval of the Vice President for Marketing and Communications or his/her authorized designee. Advance written approval of all layouts or copy must be obtained.

(Regents, 1-27-04, 6-23-04, 3-9-22)

5.2524 GENERAL ADMINISTRATIVE POLICIES AND PROCEDURES

5.2524.1 Purchasing/Procurement Procedures

~~The acquisition of goods and services is governed by State statute, State Regents policies, and OU Regents policies. The Purchasing Office assists departments in complying with these governing rules while at the same time acquiring goods and services timely. The main principles underlying the acquisition process are competition and fairness. Competition maximizes the opportunity for best value, and fairness ensures that all eligible vendors get a chance to do business with a State-supported institution.~~

~~For most small purchases (\$1 through \$5,000), departments may order directly from the vendor. There are exceptions which departments must understand and observe. All other acquisitions must be placed by the Purchasing Office.~~

The University of Oklahoma's Procurement Department (also referred to as the Purchasing Department) oversees the strategic direction and operational efficiency of procurement programs for the entire University system, including the Norman, Health Sciences Center, and Tulsa campuses and programs. Procurement has three primary objectives:

- Support the University's Mission by Creating Value – Ensure departments and business units and their faculty, staff, and students can effectively and efficiently accomplish their academic, research, and administrative missions by developing efficient procurement practices; engaging internal customers; managing supplier relationships; leveraging the buying power of the University, State of Oklahoma, and other cooperative groups and associations; negotiating cost effective contracts; and making procurement decisions in the best interest of the University.
- Ensure Open, Fair, and Honest Processes - An open, competitive process ensures fair and equitable treatment of potential suppliers; avoids conflicts of interests; increases the value to the University; protects against fraud, waste, or misuse; and builds trust and confidence in University processes.
- Maintain Accountability and Transparency – Inform and educate University administration, faculty, staff, students, alumnus, taxpayers, elected officials or bodies, and the general public on how the University uses and manages its resources and protects against waste or fraud. Transparency is essential to building and maintaining a relationship of trust and confidence between the University and the public.

Any agreement ~~you make~~made with a vendor may be an enforceable contract. ~~If you enter~~An individual who enters into one that is later found to be against governing laws, policies, and procedures, ~~you~~ may be held personally liable. ~~The OUHSC on line Policies and Procedures are~~The University Procurement's website is the best place to ~~start learning~~learn about University acquisition rules. ~~Additionally, the Purchasing Office has a web page that contains very useful information. Purchasing personnel are always ready to assist, in person or over the phone.~~

5.2524.2 Authority to Sign Contractual Documents

The authority for any individual to sign contractual documents on behalf of the University originates with the Board of Regents. The Board of Regents grants to the President the power to delegate such signature authority to appropriate University executives, officers, and directors. Unless the President specifically delegates this authority to an individual by formal written communication, the individual may not sign any document whatsoever that binds or has the appearance of binding the Board of Regents, the University, and/or any element thereof.

Such documents include, but are not limited to, purchase orders, grants, contracts, sub-contracts, licenses, leases, funding documents, applications, extensions and renewals, letters and/or memoranda of understanding, sales orders, assurances, work orders, and the like. The common feature of such documents is the obligation they impose on the University, the breach of which may impose legal liability on the University. Such documents may involve products and services that the University provides to other parties for compensation (revenue) and products and services that the University acquires from other parties in exchange for payment. They may also involve agreements by which duties and responsibilities of the parties involved are formally delineated, even though monetary or other valuable consideration may not be involved.

The delegated authority to sign contractual documents does not carry with it any exemption from other policies and procedures that otherwise govern. For example, the authority to sign a purchase order in the amount of \$100,000 does not exempt that transaction from competition and/or being processed by the Purchasing Department if such requirement would otherwise apply.

The Vice Presidents for Administration and Finance shall recommend to the President the positions and names of the individuals who should be authorized to sign contractual documents. Each recommendation shall include the nature of the authority delegated, the areas of activity to which it is limited, and the upper limit of the authority in terms of dollars. Upon Presidential approval:

- The original letter of authorization shall be forwarded to the individual to whom the authority is delegated;
- One copy shall be retained in the Office of the Executive Secretary of the Board of Regents, and
- One copy shall be retained in the respective Vice President for Administration and Finance and Legal Counsel Offices.
- All such authorizations, regardless of commencement date, shall expire upon termination from the position or upon revocation of authorization.
- Except as may be authorized in writing by the University's Office of Legal Counsel, all contractual documents shall be processed through the University's Office of Legal Counsel to ensure that certain legal limitations are not waived, ignored, or otherwise abridged.
- The Vice Presidents for Administration and Finance may recommend revocation of the signature authority of any individual at any time to the President. Upon the President's acceptance of the recommendation, the appropriate Vice President for Administration and Finance shall notify the pertinent officers of such revocation and the reason therefore.

(Regents 3-29-00, 1-27-04, 6-23.04)

5.2524.3 Property Controls

General

The Property Inventory Section of the Department of Financial Services is responsible for maintaining a permanent and detailed centralized inventory system for recording all tangible capitalized property that meets the University's approved cost threshold and were purchased with University funds, acquired by private gifts, or transferred from an outside source as required by the Federal Government, the State of Oklahoma Office of Management & Enterprise Services (OMES), and the University of Oklahoma Board of Regents. Additionally, Property Inventory coordinates physical inventories of University- and sponsor-owned tangible capitalized property and selected tangible non-capitalized property on an annual basis.

Accountability and Responsibility

- a. **Accountability.** Accountability for all moveable tangible property in use rests with department chairs, directors, and/or budget unit heads and is required in order to minimize risks of misuse, damage, theft, or loss of assets. Accountability is the requirement imposed on those individuals empowered with the authority to decide as to the acquisition, employment, and disposition of assets. Accountability cannot be delegated, but can ~~only~~ be transferred to other accountable individuals or discharged through the proper execution of Property Inventory procedure. If a breach of accountability results in significant loss (either instantly or cumulatively over time) to the University, appropriate administrative action may be taken.
- b. **Responsibilities.** Each department chair, director, and/or budget unit head is responsible for all property purchased or transferred to his/her area as reflected on the official inventory records of the University.

Off-Campus Usage of Assets

University Assets are to be used in OUHSC controlled locations. Assets may be allowed to be used by employees in off-campus locations with the proper authorization. In rare circumstances non-employees may be allowed to use assets off-campus.

For more information, please refer to the Property Inventory procedures and related forms found on the Financial Services website:

- **Financial Services – Property Inventory Policies and Procedures:**
<https://financialservices.ouhsc.edu/Departments/Auxiliary-and-Service-Unit-Accounting/Property-Inventory>
- **Financial Services – Property Inventory Forms:**
<https://financialservices.ouhsc.edu/Forms/equipment-removal-form>
<https://financialservices.ouhsc.edu/Forms/missing-equipment-notification>
<https://financialservices.ouhsc.edu/Forms/equipment-inventory-off-campus-authorization-form>

5.2524.4 Travel

University policy provides for reimbursement for travel-related expenses incurred by faculty, staff, and other non-employees in the conduct of University business. For the current travel-related policies, please refer to <http://www.ouhsc.edu/policy/#540>.

5.2524.5 Use of State Vehicles for Private Purposes

Oklahoma statutes prohibit the use of state-owned vehicles for private purposes. It is the policy of the University that passengers shall not be transported in state vehicles unless they are on state business. According to Oklahoma law, the use of state-owned vehicles to ride to and from an employee's place of residence, except in the performance of official duty, is expressly prohibited.

Employees of the University cannot be assigned a University-owned vehicle for use on a permanent 24-hour basis unless an exception under the statute has been granted. Requests for an exception must be submitted in writing to the President of the University. Further information is available through the Office of Enterprise Risk Management. More information about Enterprise Risk Management can be found at <https://risk.ouhsc.edu/>.

5.2524.6 Liability Insurance

~~The For all University employees working within the proper scope of their duties, the State of Oklahoma provides professional and liability coverage, including general liability, automobile liability, and professional liability through a self-insurance under the pool administered by OMES State Risk Management under authority 74 O.S. §85.58A. Coverage under this program corresponds with the Oklahoma Governmental Tort Claims Act for all employees who are acting within the proper scope of their duties. (OGTCA) 51 O.S. §151, et seq..~~ The liability coverage also extends to authorized volunteers for their operation of University-owned vehicles while acting within the scope of their authority if the authorized volunteer has completed and filed the Volunteer Acknowledgment and Release Form with the authorizing department. Copies of the State of Oklahoma Certificate of Self-Insurance are located in the glove compartment of all University vehicles. In addition, OMES State Risk Management has secured Out-of- State Liability Insurance and Foreign Liability Insurance that provide both General Liability and Automobile Liability coverage for University employees while acting within the proper scope of their duties while traveling outside the State of Oklahoma or internationally. Further information is available from the University's Office of Enterprise Risk Management.

Texting while driving anytime is a violation of Oklahoma law. Specifically, the law states that it shall be unlawful for any person to operate a motor vehicle on any street or highway within this state while using a hand-held electronic communication device to manually compose, send or read an electronic text message while the motor vehicle is in motion. "Text message" includes a text-based, instant message, electronic message, photo, video or electronic mail.

~~Further information is available from the Office of Risk Management.~~ Employees are prohibited by state law from texting or utilizing electronic devices while driving University vehicles or while driving private vehicles on University business. Failure to abide by this policy results in the loss of insurance coverage for any accident, and the employee will be held personally liable for any and all damages and injuries caused as a result of such accidents, regardless of actual fault. Further, smoking in University-owned, -rented, or -leased vehicles is prohibited by state law.

~~Effective November 1, 2015, texting while driving anytime is a violation of Oklahoma law. Specifically, the new law states that it shall be unlawful for any person to operate a motor vehicle on any street or highway within this state while using a hand-held electronic communication device to manually compose, send or read an electronic text message while the motor vehicle is in motion. "Text message" includes a text-based, instant message, electronic message, photo, video or electronic mail.~~

5.2524.7 Personal Vehicle Use

If a University employee or authorized volunteer is requested or permitted to use his or her personal vehicle for University business, the liability coverage outlined above extends to that employee while operating their personal vehicle just as if it were a University-owned vehicle, except as otherwise specified herein. The State of Oklahoma also requires such persons to have personal automobile liability insurance in force at the time of use. No physical damage (comprehensive and collision) insurance is provided by the ~~university~~University or the ~~state~~State for an employee's or volunteer's personal vehicle while that vehicle is being used on University business. Circumstances may require an employee to use his or her personal vehicle in emergent situations and/or when it has been confirmed that no University fleet vehicles are available. When private vehicles are used for ~~state~~State business purposes and reimbursement is expected pursuant to applicable state law, the transporting of private passengers should be held to a minimum. For additional information on this policy or questions, please contact the Office of Enterprise Risk Management on your campus.

5.2524.8 Leased/Rented Vehicles

The University's liability coverage extends to vehicles leased or rented by individuals or departments of the University while the vehicles are being used on University business. No physical damage insurance is provided by the University or ~~state~~State; physical damage coverage for the leased/rental vehicle must be purchased by the individual or department. For example, if using a rented vehicle while traveling on University business, employees/departments must purchase the Collision Damage Waiver unless a personal automobile insurance policy will extend physical

damage insurance to the rented vehicle, or the University contract with the auto rental company exempts liability for collision damage. Further information is available from the Office of [Enterprise Risk Management](#).

5.2524.9 Parking Regulations

The University of Oklahoma is empowered to regulate and enforce parking in the Oklahoma Health Center and Research Park. All employees and students wanting to park a vehicle on the OHC campus, including the University of Oklahoma Health Sciences Center, must register to park and pay the appropriate fee. Questions concerning parking should be directed to the Health Sciences Center Parking and Transportation Services (<https://www.ouhsc.edu/parking/>), (<https://parking.ouhsc.edu>), Research Park [825840](#), Suite [115150](#); or (405) 271-2020.

The University of Oklahoma Health Sciences Center does not pay for parking for employees or students.

5.2524.10 Police Department

The OU Health Sciences Center Police Department provides a number of services designed to assure safety and security for the Health Sciences Center Campus.

The OUHSC Police Department is open twenty-four hours a day, seven days a week to provide services expected of a police agency. The department shares a joint jurisdictional agreement with Oklahoma City Police Department, which extends the OUHSC Police Department boundaries. The area includes that property west of Lincoln Boulevard to Centennial Expressway and South from N.E. 13th street to N.E. 4th street and on the east side of Lincoln Boulevard from N.E. 15th street south to N.E. 8th street and from Lincoln Boulevard east to Lottie Avenue.

For more information about the jurisdictional boundary, visit: <https://www.ouhsc.edu/police/About-OUHSC-PD/Jurisdictional-Boundaries>

5.2524.11 Lost and Found Service

The OUHSC Police Department is responsible for providing a centralized lost and found service. According to state law, articles remaining unclaimed after six months will be disposed of in accordance to court order.

5.2524.12 Hazardous Weather Conditions Policy

It may become necessary to close part or all of the campus during inclement weather. When snow and ice has accumulated over the campus, the OUHSC Police Department will conduct an observation of the campus streets and major arteries into the Oklahoma Health Center area for road conditions. That evaluation will be passed on to the ~~Vice President for Administration and Finance~~ Weather Closure Committee. The determination of closing will be decided by the Senior Vice President and Provost in consultation with the ~~Vice President for Administration and Finance~~ Weather Closure Committee and with notice to a representative of OU Health. This will be done as early as possible. Notification to close the campus will be given by 6 AM, if at all possible. This information will be ~~placed~~ presented out using the Campus Weather Line (271-6499) University's Emergency Communication System via text, phone call, email, website and the Health Sciences Center Web Page other available outlets. In addition, this information will be distributed to the media via the HSC Police Department or the Division of Marketing and Communications.

(Regents, 3-9-22)

5.2524.13 Emergency Maintenance

Emergency maintenance after the normal work-day or on weekends or holidays should be reported to the OUHSC Police Department, who will immediately relay the information to ~~the Department of Site Support~~ Facilities Management.

5.2524.14 Telephone Service

The Oklahoma Health Center telephone system is supervised by Information Technology. Requests for installation of office telephones and related equipment should be submitted by the administrative head of a budget unit, and the cost is charged to the unit.

No employee may use a University telephone for a personal long-distance call ~~unless the call is charged to a home number or a personal calling card.~~

5.2524.15 Mail Service

The Central Mail Processing Services office is located in the Williams Pavilion. Building and room number should be used on correspondence. Mail processing delivers and collects United States mail as well as intra-building and intra-University mail.

Only official University mail may be metered for postage, insured, certified, or registered by Mail Processing Services. Postage is charged to the unit's budget account. Additional information is available by contacting Mail Processing Services.

An Interagency mailing service is operated by the State of Oklahoma for all state agencies located in the Oklahoma City area. Such mail should be placed in a campus mail envelope and clearly marked with the recipient agency and marked as inter-agency. Inter-agency mail will be picked up and delivered with all other campus mail. A list of the state agencies participating in the inter-agency mail service is available through the Department of Central Services web site.

5.2524.16 Central Addressing

Human Resources provides a Central Addressing function available for use by all OUHSC departments. It is located in Suite 270, Research Park 865, or call [\(405\) 271-2186](tel:4052712186). It has two functions:

- 1) Human Resources works in conjunction with University Printing to provide mailing labels for the Health Sciences Center and Tulsa campuses and programs.
- 2) Human Resources maintains a listing of all OUHSC employees, which is used to publish the campus telephone directory.

5.2524.17 Architectural and Engineering Services

Architectural and Engineering (A&E) Services provides professional design and project management services, engineering evaluations, and cost estimates for new construction and renovation projects to departments at the Health Sciences Center. Consultant architects and engineers are used when necessary. All projects for the Oklahoma City ~~and Tulsa campuses~~ campus must be routed through Facilities Management to determine if oversight will be handled by A&E Services. All projects for the Tulsa Campus must be approved and have oversight by A&E Services.

5.2625 FACILITIES

The University of Oklahoma Health Sciences Center Procedures Governing Use of University Facilities for Non-University Sponsored Activities was adopted July 1, 1997. This procedure gives priority to the use of facilities for University functions. It is administered by the respective building coordinator. ~~Facility repairs, maintenance, and renovation are managed by the Department of Operations~~ For Non-University Sponsored Activities, a Facilities Use Agreement is required to be filled out and submitted to the Director of Enterprise Risk Management for final approval. The Facilities Use Agreement is located on the Office of Enterprise Risk Management's website at <https://risk.ouhsc.edu/>. Facility repairs, maintenance, and renovation are managed by the Facilities Management Department . No modifications to OUHSC facilities shall be made without prior approval from Facilities Management.

5.26.1 — Facilities Management and Capital Planning

~~Facilities Management and Capital Planning~~

5.25.1 Operations

Operations is responsible for space planning and allocation processes, space surveys and facility studies, facilities inventory, lease management, campus master planning, and planning for the development of new facilities for campuses in Tulsa and Oklahoma City.

5.2726 PILOT PROGRAM FOR ENHANCEMENT OF EMPLOYEE WHISTLEBLOWER PROTECTION

Employees working on a federal, grant, or contract issued beginning July 1, 2013, through January 1, 2017, are subject to the rights and remedies of the Pilot Program for Enhancement of Employee Whistleblower Protection. An employee of a contractor, subcontractor, grantee, or sub-grantee may not be discharged, demoted, or otherwise discriminated against as a reprisal for “whistleblowing.”

Whistleblowing is defined as making a disclosure that the employee reasonably believes is evidence of:

- Gross mismanagement of a federal contract or grant
- A gross waste of federal funds;
- An abuse of authority relating to a federal contract or grant;
- A substantial and specific danger to public health or safety; or
- A violation of law, rule, or regulation related to a federal contract or grant (including the competition for, or negotiation of, a contract or grant)

To qualify, the employee’s disclosure must be made to:

- The employee’s manager, an administrative or executive officer of the University, or to the Office of Compliance;
- A court or grand jury;
- An official from the Department of Justice, or other law enforcement agency;
- A federal employee responsible for contract or grant oversight or management at the granting agency
- The Government Accountability Office;
- An Inspector General; or
- A member of Congress, or a representative of a Congressional committee.

An employee who believes that he or she has been subjected to prohibited reprisal may submit a complaint regarding the reprisal to the Inspector General of the agency that awarded the grant or contract.

Whistleblower protections cannot be waived by any agreement, policy, form, or condition of employment.

5.2827 FRAUD PREVENTION, REPORTING, AND WHISTLEBLOWER PROTECTION POLICY

The University prohibits fraudulent and dishonest behavior in the conduct of University business. It is the policy of the University to prevent, deter, and detect dishonest and fraudulent activities and consistently investigate suspected fraud. For the purposes of this policy, fraud is defined as the intentional, false representation or concealment of a material fact for the purpose of inducing another to act upon it. Fraudulent activities may include, but are not limited to:

- Misappropriation of University property or other fiscal irregularities;
- Intentional misrepresentation in, or forgery or inappropriate alteration of, any document used for University business, including, but not limited to: checks, promissory notes, or securities; purchasing and procurement materials; employee benefit or salary-related items such as time sheets, billings, claims, assignments, or changes in beneficiary; records relating to health; student-related items, such as grades, transcripts, loans, or fee/tuition documents; and

- Willful and unauthorized destruction of records, property, or equipment with the intent to conceal evidence of fraud, dishonest behavior, or irregularities in the conduct of University business

Research Misconduct (see Appendix P)

Fraud detected or suspected by a University employee must be reported immediately to the University's Internal Audit ~~or the University Fraud Reporting Hotline, department or if an individual would like to remain anonymous they can report concerns to the University's hotline, OU Report It at (844) 428-6531 or online at <https://ouhsc.ethicspoint.com!>~~

University employees are prohibited from taking any retaliatory action against an individual for good faith reporting, or for causing to be reported, suspected fraud. Any person who has been subjected to retaliation in violation of this policy or any person who knows that such retaliation has occurred should notify any of the following responsible offices: Internal Audit, Compliance Legal Counsel, the University President, or the Board of Regents. If confirmed, retaliation in violation of this policy shall result in appropriate disciplinary action, up to and including termination.

The Chief Audit Executive shall be responsible for the following:

- (1) managing investigations in response to reports of fraud, except when a real or reasonably perceived conflict of interest could compromise the validity of an investigation, as determined by the President of the University or the Board of Regents, in consultation with the General Counsel. In cases where a report of fraud implicates specialized subject matter or an area in which the University has established investigatory or review procedures (e.g., Academic Integrity, Compliance, Ethics in Research, Institutional Equity), the matter should be referred accordingly unless, as determined by the Chief Audit Executive in consultation with the General Counsel, such a referral is not in the best interest of the University.
- (2) conducting periodic facilitated fraud risk assessments to identify areas of concern and update the highest fraud risks in the University and collaborate with management to effectively manage, mitigate, and monitor these risks.

Investigations of suspected fraud shall, to the extent reasonably practicable and to the extent permitted by law, be conducted in a manner that protects both the participants in an investigation and the reputation of the person(s) who are the subject of an investigation. If an investigation reveals evidence that supports a finding of fraud, the investigative report shall be referred to the executive officer over the area, the President, and/or the Board of Regents for corrective action. Corrective action may include, but is not limited to, disciplinary action against the perpetrator and/or adjustments to policies, procedures, or controls, or referral to law enforcement.

The Chief Audit Executive is empowered to 1) make recommendations to academic and administrative units to promote fraud prevention (including identifying fraud risks) and deterrence, 2) adopt procedures consistent with generally accepted standards of fraud investigation to govern its conduct of fraud investigations, 3) administer the OU Report It! hotline; and 4) manage the appropriate referral of reports.

(Regents, 6-21-16)

5.28 INFORMATION TECHNOLOGY

OU Information Technology (IT) is a system wide organization that enables the achievement of the University's strategic goals in fulfillment of its purpose: We Change Lives.

Through its focus on streamlining and optimizing technology resources and its use of proven technologies, mature service management practices, and innovative design, OU IT unlocks efficiencies and creates capacity for investment in and support of key mission areas including research, cyber security, the student experience, and the administrative and operational systems that are fundamental to the University's operations and activities.

5.28.1 Policies, Standards, and Procedures

In support of efforts to protect key University information assets, manage risk, and ensure regulatory compliance, Information Technology oversees development of information system security policies, standards, and procedures.

Please refer to the OU IT Policy Web Site at <https://www.ou.edu/ouit/cybersecurity/policies> for a list of applicable policies and policy details

5.28.2 Campus Events and Activity Notices

Inside HSC (<http://inside.ouhsc.edu>) is the primary medium of electronic communication for announcements to the OUHSC campus. Members of the OUHSC community are encouraged to review this webpage regularly to stay informed of activities and events on the campus.

Any individual with an HSC computer account can post items to Campus Events and Activities at <http://news.ouhsc.edu>.

Items submitted to Campus Events & Activities:

- Should be concise and provide links to additional information or forms, as necessary.
- Will be governed by the Acceptable Use Policy (<https://www.ou.edu/ouit/cybersecurity>) with the recognition that the Electronic Bulletin Board messages are not necessarily University business.

5.28.3 Rounds and Seminars Website

The Rounds and Seminars website posts announcements of Grand Rounds and Seminars that are scheduled for the OUHSC community. Rounds and Seminars can be accessed through the InsideHSC link on the HSC web site or at <http://www.ouhsc.edu/rounds.aspx>. These events may also be posted under Campus Events and activities.

5.29 INTERNATIONAL TRAVEL REGISTRATION AND REVIEW POLICY

OU employees must register certain international travel prior to departure. This registration and review will allow OU to ensure, for example, that appropriate insurance is in place for the travel and to determine the need for export licenses or additional documents that enable employees to travel with or access OU data and equipment from the designated country.

The International Travel Registration and Review policy can be found at <https://universityok.navexone.com/content/dotNet/documents/?docid=47&public=true> and questions can be directed to the Office of Export Controls.

6. BENEFITS

Faculty who are dually employed by OU Health receive their benefits through OU Health and should refer to their OU Health letter of employment and the benefits information provided by OU Health. The information in this Section 6.1 through 6.12, but excluding 6.2, is not intended for individuals with a dual OU Health appointment.

(Regents, 3-9-22)

6.1 BENEFITS PROGRAMS

The University offers a comprehensive and competitive package of employee benefits. University sponsored benefit programs include: medical insurance, dental insurance, vision coverage, short and long-term disability coverage, life and accidental death and dismemberment insurance, and flexible spending accounts for healthcare and dependent care expenses.

The employee must be in a continuous appointment of at least a .5 FTE. Benefits begin on the first of the month after date of hire. If the employee has a 1.0 FTE and does not enroll within the initial 31-day enrollment period, he or she will automatically be enrolled in basic life insurance and AD&D coverage, but will be ineligible to enroll in other insurance programs until the next annual open enrollment period. Under certain circumstances, an employee may be eligible to enroll or modify elections if experiencing a qualified life event change during the plan year.

The University pays in full for employee life, and accidental death insurance. The University and employee share in the cost of employee and dependent medical insurance, depending on the employee's salary. The employee pays a reduced premium for dental insurance and in full for all other insurance benefits. Most employee payments can be made on a pretax basis through the 125 Cafeteria Plan. Employees employed at less than .75 FTE pay for benefits on a prorated basis within defined bands.

Workers compensation insurance is provided for all employees irrespective of employment status. Unemployment compensation is provided for all employees ~~except students,~~ including student employees paid by the University. Additional information on all of these benefits can be found on the Human ~~Resource~~Resources website at www.hr.ou.edu.

(Regents, 3-9-22)

6.1.1 Faculty Appointments – Benefits

Most continuous faculty at the Health Sciences Center are appointed on a twelve-month basis, for the period July 1 through June 30. Some faculty members are appointed on a nine- or ten-month basis, which generally covers the period August 1 through May 31. Faculty who are appointed on a nine- or ten-month basis must be paid over twelve months.

Departments ~~which~~that have faculty appointed on a nine- or ten-month basis will be responsible for the premiums normally paid by the University for the entire twelve-month period.

6.1.2 Benefits Continuation

The Consolidated Omnibus Budget Reconciliation Act of 1985 (COBRA) provides for continuation of medical, dental, and vision coverage for covered participating employees should they or their covered dependents become ineligible for coverage as a result of one of the following events: (1) the employee's termination of employment, reduction in hours, or death; (2) the employee's divorce or legal separation from a spouse; (3) the ineligibility of the employee's dependent child for continued plan participation at the end of the calendar month in which the child turns 26.

Employees with currently active coverage may continue participation up to one year in group insurance benefits, during an approved leave of absence period. –The cost of coverage during the leave period is the employee's responsibility. Employer paid subsidies are not provided during an unpaid leave of absence.

(Regents, 3-9-22)

6.2 RETIREMENT PLANS

This section contains a general summary of the University's retirement plans. Two retirement tracks are available at the University of Oklahoma. Retirement Track A for employees hired on or before December 31, 2022, includes a defined contribution plan and the Oklahoma Teachers' Retirement System (OTRS). Retirement Track B includes only a defined contribution plan. For employees hired on or after January 1, 2023, Retirement Track A includes Oklahoma Teachers' Retirement System. Retirement Track B includes a defined contribution plan.

~~In both~~ For employees hired on or before December 31, 2022, in either retirement ~~track~~ track, the University provides contributions for the employee to an employer-funded, tax-qualified defined contribution plan under Section 401(a) of the Internal Revenue Code. For employees hired on or after January 1, 2023, only Track B provides contributions for the employee to an employer-funded, tax-qualified defined contribution plan under Section 401(a) of the Internal Revenue Code. In Track A, employees choose to participate in OTRS. Both the University and the employee contribute to OTRS. All benefit eligible employees hired after July 1, 2004, must make a one-time irrevocable choice to participate in OTRS within their first 30 days of employment. Depending on the retirement track elected by the employee, the amount the University contributes to the defined contribution plan differs. ~~Electing OTRS in Retirement Track A requires a contribution from the employee and may yield an overall higher retirement benefit depending on certain variables.~~

The University also offers two voluntary retirement savings plans to which employees may contribute on a pretax basis. These programs are offered under sections *403(b) and 457(b) of the IRS Code (regardless of OUHSC FTE status). The accumulated value in these savings plans is tax deferred until money is withdrawn, but will be subject to applicable employment taxes when contributions are made. More details can be found on the Human Resources website at www.hr.ou.edu ~~https://hr.ou.edu/~~. The University of Oklahoma is a participating member in Social Security. ~~For additional~~ Additional information about Social Security ~~go to~~ is available at: www.ssa.gov.

*Employees who are dually employed are not eligible to participate in the University 403(b) but may participate in the 457(b). It is recommended that employees who are dually employed participate in either the 457(b) offered at OUHSC or the 457(b) offered at OU Health, but not both.

(Regents, 3-9-22)

6.3 OTHER RETIREMENT BENEFITS

This section provides a general overview of eligibility for retirement from the University of Oklahoma and the benefits (other than retirement plan benefits) available upon retirement.

6.3.1 Eligibility for Retirement

To be eligible for University of Oklahoma retirement benefits, an employee must meet one of these requirements: (1) has attained age 62 with at least ten years of benefits-eligible OU service; (2) has attained age plus (at least ten) years of benefits-eligible OU service equal to 80 or more (Rule of 80); (3) has attained any age with 25 years of benefits-eligible OU service. An employee is eligible to apply for disability retirement at any age with at least ten years of benefits-eligible OU service. Eligibility requirements to retire with benefits from OTRS are different from the requirements listed above. More details can be found on the Human Resources website at www.hr.ou.edu ~~www.hr.ou.edu~~.

6.3.2 Benefits Upon Retirement

Employees who meet the eligibility requirements for University retirement receive the following benefits package: (1) continued participation in health and dental insurance; (2) a parking permit, discount athletic tickets, use of designated University recreational facilities, and other miscellaneous benefits; and (3) lifetime passes to the University golf course for their personal use issued for weekday play to professors emeriti and other faculty and staff retirees who retired prior to January 1, 1994, will be honored. Benefits from the OTRS and the DCP and ORP are determined on an individual basis. More details can be found on the Human Resources website at www.hr.ou.edu.

Eligible employees of the University are entitled to certain benefits following the completion of a designated number of years of employment, the attainment of specified ages, or satisfaction of other requirements as set forth in this Policy ~~policy~~. For more complete details, please read the University of Oklahoma Retirement Policy. Human Resources for the respective campus will provide complete copies of the retirement policy upon request.

6.3.3 Phased Retirement

Individuals who are at least 55 years of age and have ten or more years of service may request permission to reduce their workloads and phase into another career or full retirement. The phased retirement program offers an attractive level of benefits during the phasing (~~The~~the University of Oklahoma Retirement Plan of May 18, 1998).

6.3.4 Retirees Returning to Work

State law prohibits rehire of retirees as consultants for two years following retirement. OTRS retirees may return to work as temporary employees in accordance with OTRS rules. OTRS regulations require a minimum of 60 calendar days between a retiree's last day of preretirement public education employment and any such postretirement employment. OTRS retirees should consult with OTRS before returning to work at any OTRS-participating institution to determine what, if any, impact on their retirement benefits a return to work might have. OU retirees not eligible for OTRS retirement benefits may return to work as temporary employees without a minimum waiting period. More details can be found on the Human Resources website at www.hr.ou.edu.

6.4 LEAVES POLICY

6.4.1 Leave of Absence Without Pay

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

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

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

- 1) Sabbatical or other leaves the ~~faculty~~employee has taken in the past six years, their dates and purposes.
- 2) The purposes of the proposed leave.
- 3) The contribution of the leave to the realization of the employee's or faculty member's goals and those of the University in research, teaching, or service.
- 4) The arrangements to be made by the department to handle the employee's work or courses that normally would be taught by the faculty member or to handle the faculty member's grants and/or contracts while on leave. The application should be specific and list the affected courses or other work and the arrangements that have been made for these courses and work.

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

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

University contributions to the Defined Contributions Plan, AD&D, group life, and medical and dental insurance, will not be made during a leave of absence without pay. Persons on such leave without pay may pay for their own contributions to the plans, except to the Defined Contribution Plan. Employer-paid subsidies are not provided during an unpaid leave of absence; the cost of coverage during the leave period is the employee’s responsibility.

(Regents, 11-12-43, 1-24-95, 1-27-04, 6-23-04)

6.4.2 Paid Time-Off (PTO)

Paid time off (PTO) is available to employees who hold benefits eligible appointments. Temporary employees and student employees are not eligible for paid time off. PTO may be used for vacation, personal illness, funeral attendance, illness of a family member, or other personal business. Unpaid leaves of absences cannot be taken if the employee has an accrued paid leave balance. Non-exempt employees may accrue compensatory leave which should be used first before any other paid leave is taken. Exempt employees working at least .50 FTE and up to .75 FTE will accrue paid leave in proportion to their FTE appointment. Non-exempt employees on the hourly payroll accrue paid leave on a pro-rata basis depending on the number of hours paid. The 40-hour work week will be the basis for the pro-rata computations. Paid leave time is accrued each pay period. Paid leave can be accrued up to a maximum of 336 hours. Paid leave is accrual as follows:

Category	Years of Service	Monthly Hours	Annual Accrual	Maximum Accrual
Executive and Administrative Offices, 12-Month Faculty	Each Year	22	33 days(264 hours)	42 days (336 hours)
All other Staff	1 - 5 years	18	27 days(216 hours)	42 days (336 hours)
All other Staff	6 - 10 years	20	30 days(240 hours)	42 days (336 hours)
All other Staff	11 years or more	22	33 days(264 hours)	42 days (336 hours)

Nine- and ten-month faculty accrue 96 hours (12 days) of extended sick leave per year. There is no maximum accrual amount for full-time faculty members with the rank of instructor or above who hold continuous appointments through the Norman and Health Sciences Center campuses.

Nine- and ten-month faculty do not accrue other paid leave. Absences of nine- and ten-month faculty for reasons other than personal illness or care of a qualified family member¹ will be charged as leave without pay. Such faculty members working at least half-time (.50 FTE) but less than full-time (1.0 FTE) will receive leave accrual based on their FTE appointment. There is no maximum on the accrual of extended sick leave. No cash payment will be made for any time accrued.

Dually employed faculty should contact Human Resources for specifics on their PTO and other benefits.

Authorized holidays falling within an employee's PTO period will be counted as holiday pay. Use of paid time off for other than personal illness or emergency must be scheduled in advance with supervisory approval. Employees must comply with departmental guidelines for reporting absences and approving time off work. Whenever possible, the University will grant earned paid time off at the convenience of the employee. However, departmental needs must be met. Cash payment to an employee in lieu of paid time off will not be permitted. No cash payment will be made for time accrued in the extended sick leave account.

6.4.3 Extended Sick Leave (ESL) Usage

Time accrued beyond the maximum allowance of paid time off will be deposited in an extended sick leave (ESL) account. There is no maximum extended sick leave amount one can accrue. An employee may transfer accrued paid time off to the extended sick leave (ESL) account. Time deposited in the extended sick leave (ESL) account may not

¹ Qualified family members are defined by the U.S. Department of Labor as child(ren), spouse, or parent. Child(ren) means a biological, adopted, or foster child, stepchild, legal ward, or child of a person standing in loco parentis, who is either under age 18, or age 18 or older and “incapable of self-care because of a mental or physical disability” at the time that FMLA leave is to commence. Spouse means a husband or wife as defined by or recognized in the state where the individual was married and includes individuals in a common law marriage or same-sex marriage. Parent means a biological, adoptive, step- or foster father or mother, or any other individual who stood in loco parentis to the employee when the employee was a minor. This term does not include parents-in-law.

be transferred back to the accrued time-off account. Time away from work because of vacation, ~~illness of a family member~~, funeral attendance, or other personal business is to be reported as paid time off. Absence due to personal illness is to be reported as paid time off for the first five consecutive working days per incident. Nine-and ten-month faculty will not be required to take the first five days of leave for a personal illness or for the care of a qualified family member as unpaid leave as nine- and ten-month faculty do not accrue paid time off.

Extended sick leave for the purpose of an absence due to the care of a qualified family member with a serious health condition is permissible for those eligible for FMLA and with an approved certified FMLA qualifying event. Extended sick leave for the care of a qualified family member may be used for no longer than 11 weeks for staff members and 12-month faculty and no longer than 12 weeks for nine-month faculty.

~~For staff and 12-month faculty w~~When there is no accrued time in the paid leave account, the first five days per incident of illness or care of a qualified family member must be leave without pay. Absence due to personal illness or care of a qualified family member -beyond five consecutive working days will be deducted from the extended sick leave account as long as if accrued time is available. When there is no accrued time in the extended sick leave account, absence due to personal illness or care of a qualified family member will be deducted from paid leave time. Scheduled paid leave time taken for consideration as time worked is defined in the Human Resources Overtime Policy. will be considered as time worked for the purpose of compliance with the University's overtime policy. Unscheduled paid leave time taken and extended sick leave time taken will not be considered as time worked for overtime purposes. An employee returning to work part time following an extended sick leave or for care of a qualified member may continue to draw from the extended sick leave account for the time not worked until a full release is given by the physician. Recurrence of the same illness within 30 calendar days of returning to work from an extended sick leave or for care of a qualified member may be considered a continuation of the incident and charged to extended sick leave.

Absences due to personal illness or illness of a qualified family member must be reported ~~in the time system on the monthly payroll certification or hourly time records.~~ A Personnel Action Form changing the employee's status to a paid leave of absence must be processed before any absence may be deducted from the extended sick leave account. The University will require acceptable medical documentation of illness or disability before allowing any charges to extended sick leave benefits. Leave for personal illness or the care of a qualified family member must be taken in the following order for staff and 12-month faculty: five days of paid leave time, extended sick leave, remaining paid leave time, leave without pay. For nine-month and ten-month faculty, leave must be taken in the following order: extended sick leave and leave without pay. Non-exempt employees may accrue compensatory leave, which should be used first before any other paid leave is taken. Duration of the disability is to be medically determined. No supervisor may compel an employee to return to work without a medical release. Pregnancy is to be treated as any other extended sick leave. An employee may continue normal duties through pregnancy or use available leave while unable to perform regular duties. Employees who utilize leave for pregnancy shall suffer no penalty, retaliation, or other discrimination. Employees on Extended Sick Leave (ESL) will not accrue Paid Time Off (PTO).

Dually employed faculty should contact Human Resources for specifics on their ESL and other benefits.

(Regents, 4-4-91, 6-19-96, 3-29-00, 1-27-04, 6-23-04, 10-22-08, 6-1-12)

~~6.4.4 — Extended Sick Leave Policy for Nine and Ten Month Faculty~~

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

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

Qualified Family Member Definitions

~~*Child(ren) means a biological, adopted, or foster child, stepchild, legal ward, or child of a person standing in loco parentis, who is either under age 18, or age 18 or older and "incapable of self care because of a mental or physical disability" at the time that FMLA leave is to commence.~~

~~Spouse means a husband or wife as defined or recognized in the state where the individual was married and includes individuals in a common law marriage or same sex marriage.~~

~~Parent means a biological, adoptive, step or foster father or mother, or any other individual who stood in loco parentis to the employee when the employee was a child. This term does not include parents in law.~~

(Regents, 4-4-91, 6-19-96, 1-27-04)

6.4.54 Administrative Leave

Administrative leave with pay is sometimes granted when it is determined to be in the University's best interest that an employee not return to work for a specified period of time or for designated emergency closings of the University due to inclement weather, natural disaster, pandemic situations, or other events as determined by the President. Time approved as administrative leave will not be charged to an employee's paid time off. Benefits-eligible employees, except those assigned to certain federal grants and contracts, are eligible to receive administrative leave with pay. Employees who are not benefits eligible are paid only for time worked and are not eligible for administrative leave. Authority to grant administrative leave requires prior approval by the President, appropriate provost, or appropriate vice president.

(Regents, 7-23-87, 1-27-04, 6-22-11)

6.4.65 Military Leave of Absence

Employees who are members of the Oklahoma National Guard or any branch of the United States military or its reserve components are entitled to a leave of absence with pay for the first 30 regularly scheduled calendar days of active military duty during any federal fiscal year (October 1 through September 30) when ordered by proper authority to active or inactive duty. The leave with pay will not be charged against paid leave or other accrued benefits. During the remainder of the leave of absence in any federal fiscal year, the University ~~may elect to~~ shall pay employees an amount equal to the difference between the employee's full regular pay from the University and their Oklahoma National Guard or United States military reserve component pay. Employees who are employed by the University for brief, non-recurring employment that is not expected to last indefinitely or for a significant period of time are not entitled to military leave except under limited conditions. Human Resources can be contacted for assistance regarding such determinations. Reference(s): 44 OS §209, Leave of absence to public officers and employees; 72 OS §48, Leave of absence during active or inactive duty or service – Public employees.

(Regents 3-9-72, 1-27-04, 6-22-11)

6.4.76 Re-Employment Rights After Military Leave

Reemployment rights and benefits following a military leave of absence are in conformance with applicable federal and state laws. Subject to certain exceptions, the person is entitled to reemployment in the job he or she would have attained but for the military leave, and with the same seniority, status, and pay, as well as other rights and benefits determined by seniority, if: (1.) the University received advance written or verbal notice of the service; (2.) the cumulative length of the absence and all previous service absences with the University does not exceed five years, except in certain circumstances; and (3) the person reports to, or applies for reemployment to, the University within the time provided in 38 USC § 4312, Reemployment rights of people who serve in the uniformed services, subsection (e).

6.4.87 Family and Medical Leave

This policy, in its entirety, is contained in Appendix L.

6.4.98 Shared Leave Policy

This policy, in its entirety, is contained in Appendix L.

6.4.109 Leave to Donate Bone Marrow or Organs

An employee of the University may be granted leave to donate bone marrow or organs. An employee who is granted a leave of absence pursuant to this Section shall receive his or her base pay without interruption during the leave of absence. An employee of the University who serves as a donor shall be granted a paid leave of absence of:

- 1) Up to five working days to serve as a bone marrow donor; and
- 2) Up to 30 working days to serve as a human organ donor

An employee's request for leave pursuant to this Section must be submitted through the departmental budget head to the Chief Human Resources (CHRO) ~~or, in his or her absence, the campus Human Resources Director (HRD) or their designee~~ and accompanied by written verification from the health care provider that the employee will serve as a donor.

6.4.110 Breastfeeding Support

The University supports ~~breastfeeding meeting the needs of nursing~~ mothers in the workplace ~~by providing flexibility to allow sufficient~~. The University will make reasonable effort to assist employees who are breastfeeding after returning to work in the following ways:

1. ~~Break time to express-~~ Employees should be provided flexible and reasonable breaks as needed to facilitate breastfeeding or breast milk ~~or~~ expression. To the extent a supervisor believes such breaks pose an undue burden, the supervisor shall consult with HR.
2. Location - Reasonable effort will be made to provide the employee, in close proximity of the work area, a comfortable and private location (other than a bathroom) that is shielded from view and free from intrusion close to an employee's work area with an electrical outlet to breastfeed ~~a baby brought in by a care provider~~. Time spent beyond the normal break time will be considered to be unpaid. The employee and the supervisor ~~or~~ express breast milk, as well as access to a nearby clean water source and a sink for washing hands and rinsing breast pump equipment. Designated lactation rooms and access information for each campus ~~can make arrangements to make up time lost or use~~ be found at <https://hr.ou.edu/Employees/Balancing-Work-Life/Nursing-Mothers>. If employees prefer, they may also breastfeed or express milk in their private office.
3. Environment - When possible, employees should have access to a refrigerator for the storage of expressed breast milk. Breast milk should be stored in a refrigerator designated for food and not for medication. Sealed containers of breast milk must be labeled with the employee's name and date.
4. Resources - Breastfeeding information and lactation consultant support ~~is available~~ paid leave in accordance with existing University policies 24 /7 via the Oklahoma Breastfeeding Hotline Call: 1.877.271.MILK(6455) or Text: OK2 BF to 61222. Additional information is available at:
 - a. https://www.ok.gov/health/Family_Health/Breastfeeding/index.Html
 - b. <https://www.ouhealth.com/health-services/pregnancy-childbirth/lactation-services-breastfeeding>

(Regents, 6-21-11)

6.4.11 Jury Duty

Judicial/Jury Leave Pay will be given to benefits-eligible employees who are 1) called for jury duty or 2) subpoenaed as a witness before a court of law, legislative committee, or judicial body.

Documentation is required to access time off for judicial (jury) leave and should be maintained in the department file.

6.5 HOLIDAYS

Each academic year, the University recognizes 1214 holidays, including New Year's Day, Martin Luther King Jr. Day, Memorial Day, Juneteenth, Independence Day, Labor Day, Thanksgiving Day, and Christmas Day, plus ~~four~~six other

holidays as listed in the annual holiday schedule. Employees eligible for benefits will be excused from work with pay on those days recognized by the University as holidays. A holiday falling on a Saturday will be recognized by the University on the preceding Friday. A holiday falling on a Sunday will be recognized by the University on the following Monday. When operations of the University require that employees be regularly scheduled to work on days otherwise recognized as holidays, such employees will be granted an equal amount of time off with pay on a date mutually agreed upon by the employee and the budget unit head.

(Regents, 3-9-22)

6.6 ATTENDANCE AT SUMMER INSTITUTES

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

- (a) The applicant will be expected to count the time spent in the institute as vacation time.
- (b) A maximum of two weeks beyond the applicant's entitlement of vacation time may be spent in the institute without loss of salary.
- (c) The frequency of such an arrangement may not be greater than once in three summers.

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

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

6.7 ATHLETIC TICKETS

Faculty and staff members may apply to purchase season tickets to varsity athletic events at reduced rates. For initial application for season football tickets, eligible faculty and staff members should file their applications during the first week in April. Delaying such action may result in tickets not being available when requested. Application cards are generally available in Human Resources in early April, or they may be obtained from the Athletic Ticket Office, Owen Stadium, in Norman. Once a faculty or staff member has received season football tickets, the Athletic Ticket Office will mail renewal applications (for next season) directly to the faculty or staff member. Further information may be obtained from the Athletic Ticket Office, Norman campus, at [\(405\) 325-2424](tel:4053252424).

6.8 CREDIT UNIONS

Faculty and staff who are members of FOCUS ~~Federal Credit Union and Tulsa Teachers~~ Federal Credit Union can authorize payroll deductions for loan repayments and/or savings.

6.9 ENROLLMENT OF FACULTY AND STAFF IN UNIVERSITY COURSES

The University places no limitations on the number of hours of coursework in which employees may enroll outside the individual's normal working hours. However, such coursework cannot interfere with the individual's duties as determined by the individual's supervisor and budget unit head. Full-time benefits-eligible employees may enroll in a maximum course load not to exceed five contact hours per week each semester and summer session during their regular working hours. Permission to enroll in a course during the employee's normal working hours must be obtained from the chair of the faculty member's department or the staff member's supervisor and the budget unit head. Under very rare circumstances, exceptions to the one-course limitation may be made by the appropriate provost/vice president through proper administrative channels.

Staff personnel will be required to make up time spent in class through arrangements approved by their supervisor unless course enrollment does not increase staff requirements or does not place extra demands on other employees. A decision should be reached by the budget unit head, the supervisor, and the employee at the time of enrollment

as to whether the time spent in class must be made up. Any time spent in class, even though occurring during the employee's regular schedule of working hours, shall not be considered as time worked for the purpose of calculating overtime pay unless attendance is required by the supervisor. Time spent in class during working hours must be indicated as such on an hourly employee's time record and noted on a monthly employee's payroll certification.

As authorized by the Oklahoma State Regents for Higher Education, a full-time benefits-eligible employee not designated as "temporary" who enrolls in regular coursework will be charged one-half the resident tuition general fee for such work up to six hours per semester or three hours per summer session, except as noted below. Employees enrolling under the reduced feetuition will not be required to pay the student facilities fee and the student health fee, nor will they be eligible for the services covered by those fees. Student ID cards of persons not paying fees will be coded to show they are not entitled to the services for which the fees are charged. The reduced fee does not apply to special fees or to special academic programs, such as those in Continuing Education and Public Service or Liberal Studies, which have special regulations regarding fee-waivers. Persons who are employed less than full time are not eligible for the fee reductions; all enrollment fees will be charged.

For those on a partfull-time appointment during the summer, a three-hour limitation will apply on the fee-waiver. A faculty member who is on a full-time nine-month appointment is considered to be full-time for purposes of any enrollment made during a following summer session. In such cases, those not on summer appointment may receive a one-half tuition waiver on six semester hours of credit. Under no circumstances will the reduced enrollment fee apply to more than six semester hours of coursework in a single semester or three hours in a summer session. Enrollment fees for hours taken over this maximum will be charged at the full rate. At the time of feetuition payment, the employee must present a Faculty/Staff Fee Waiver Application signed by the head of the budget unit. This form may be secured from the office of the budget unit head.

6.10 FACULTY HOUSE

The Faculty House, a University owned dining club, is located on the HSC Campus at 601 N.E. 14th Street. There are no dues for faculty, staff, or students. WiFi, video conferencing, and serves the Health Sciences Center campus and the metro Oklahoma City area. Hours of operation are 7:30 am until 2:00 p.m. Monday through Friday. Faculty House offers catering for groups from 10:00 a.m. to 3:00 p.m., serves breakfast from 7:30 a.m. until 10:00 p.m. and lunch from 11:30 a.m. until 2:00 p.m. They also handle food service for banquets and special events. The facility has an open dining room, and several private rooms, and catering services a seasonal patio for events.

OU Health Sciences Center employees, staff, students, and retirees are available. Faculty House provides delivery services for the HSC campus. A portion of allowed to dine at the Faculty House may be reserved at their expense and without a membership and are able to reserve the Faculty House for private functions at a discounted rate for special activities.

Further information may be obtained from the General Manager at 235-8212 or by visiting www.ouhsc.edu/facultyhouse/. More information is available at www.ouhsc.edu/facultyhouse/.

6.11 IDENTIFICATION CARD

The University provides an identification card to each employee appointed on a continuous basis at .50 FTE or greater and to each retiree. It is to be presented for securing the privilege of using various facilities and activities available to University employees. The card is good only during the period of employment or retirement and does not authorize the holder to obligate the University in any manner. Department heads are responsible for the return of an employee's staff identification card upon the employee's termination from University employment.

Volunteer faculty are also eligible to receive an identification card upon completion of the "Volunteer Faculty-OneCard Photo ID" form and the approval of the appropriate department. The card is to be presented on request when using University facilities. The initial card is provided free of charge; replacement cards cost \$20.00.

Cards may be obtained from the OneCard Office, 865 Research Parkway, Room 240A, from 8:00 a.m. to 5:00 p.m., Monday through Friday.

The initial card is provided free of charge; replacement cards cost \$20.00.

6.12 UNIVERSITY HEALTH CLUB, UNIVERSITY RESEARCH PARK HEALTH CLUB, AND OU TULSA FITNESS CENTER

The University Health Club is a premier health and fitness facility. With 65,000 square feet of space, the University Health Club incorporates the latest technological advancements in fitness and wellness. The facility is located inside the Harold Hamm Oklahoma Diabetes Center, 1000 North Lincoln Boulevard, on the OUHSC campus.

The University Research Park Health Club is a premier health and fitness facility that occupies 6,000 square feet of space, incorporating the latest technological advancements in fitness and wellness. This facility is conveniently located within the University Research Park Complex on the first floor of 865 Research Parkway.

For a list of services, hours of operation, and membership rates, call (405) 271-1650.

OU Tulsa Fitness Center is available to all HSC students, medical residents, paid faculty, and staff is housed in the Founders Student Center located at 4502 E. 41st Street. For questions or concerns please contact OU-Tulsa Student Affairs at 918-660-3100 or TulsaSA@ou.edu

7. LIBRARY FACILITIES

7.1 ROBERT M. BIRD HEALTH SCIENCES LIBRARY

The Robert M. Bird Health Sciences Library is responsible for the informational materials and services that are needed to support the research and educational programs on the Health Sciences Center campus and serves as the major resource for health information in Oklahoma. The Library supports graduate, professional, and undergraduate levels in medicine, nursing, pharmacy, dentistry, public health, communication sciences and disorders, medical imaging and radiation sciences, nutritional sciences, and rehabilitation sciences (occupational therapy and physical therapy).

7.1.1 Collections

The Library collection contains more than 300,000 physical books, journals, audiovisuals, and electronic resources. The Library provides print and electronic access to approximately 9,000 journal subscriptions, 230,000 book titles, and 170 databases.

The Library has several special collections. The Native American Health Collection contains resources of a historical nature, as well as reports of current research and clinical care related to the health and well-being of American Indians. The Archive Collection contains books, journals, and manuscripts that are of historical value. Included in this collection are archives related to the Health Sciences Center and the history of health care in Oklahoma. The Historical/Digital Collections is available on the Library's Homepage and reflects some of the individual collections in the Archive Collection, located in the History of Medicine. The History of Nursing Collection contains materials distributed throughout the main collection that reflects the development of the nursing profession with an emphasis on Oklahoma nursing. The Library circulates most books; the archives and journals are non-circulating.

7.1.2 Services

The Library serves the Health Sciences Center community as well as health professionals, institutions, and consumers in the State. Access to the Library's resources and policies can be located at the Library's Home page, <http://library.ouhsc.edu>.

Library faculty provide tours, orientation, reference assistance, course-related bibliographic instruction, and seminars on using research tools. These activities are accomplished through one-on-one consultations, small group appointments, and class instruction. Library faculty seek opportunities to collaborate with other campus faculty in community outreach; activities around information access, storage, organization or retrieval; and systematic reviews and other pertinent research.

The online catalog is available for searching print and electronic titles owned by the Library. The online catalog and electronic resources are available over the campus network and remotely to students, faculty, and staff affiliated with the University of Oklahoma Health Sciences Center. For assistance in using any of the resources contact the Reference and Instructional Services Department. The Library provides informational workstations for accessing the catalog, bibliographic databases, electronic books, journals, and information on the Internet, as well as access to word processing, spread sheet, database, and Internet software.

When materials are unavailable they can be borrowed through interlibrary loan. The Library is a member of several networks designed to expedite the transfer of information between libraries in an efficient manner.

A computer lab is available for teaching and training. Other spaces are available for meetings, group collaboration, videoconferencing, and campus social functions. Self-service photocopying, faxing, and scanning is available on the third floor, inquire at the Service Desk. Additional technologies such as 3D printing are available. See the Library web site for additional information concerning rooms, reservations, technologies, and services.

Facilities and services of the University of Oklahoma Libraries, Norman campus, as well as the Library facilities at the OU-Tulsa campus are available to Oklahoma City Health Sciences Center personnel.

7.2 SCHUSTERMAN LIBRARY, UNIVERSITY OF OKLAHOMA - TULSA

The Schusterman Library at OU-Tulsa is the primary library for all OU and OUHSC faculty, staff, and students in the Tulsa area. The Schusterman Library supports the OUHSC degree programs located in Tulsa in medicine, nursing, allied health, dentistry, and public health, as well as OU undergraduate and graduate programs in architecture, computer science, education, engineering, human relations, library and information studies, organizational dynamics, public administration, and social work.

7.2.1 Collections

The Library collection contains more than 12,000 physical books, and over 67,000 physical journal volumes, with 135 active print journal subscriptions. OU-Tulsa students, faculty, and staff have complete access to all electronic resources provided by their respective main campuses. The online catalog is available for searching print and electronic titles owned by the Library

The Library's textbook reserves collection provides access to textbooks that students require for their coursework. The Rotation Reserves section provides access to selected print books used in clinical rotations by both medical and PA students in the School of Community Medicine. The Library also makes available for users an extensive collection of technology items, such as Chromebooks, webcams, chargers, and adapters.

7.2.2 Services

The Library provides interlibrary loan and document delivery for the OU-Tulsa campus. When materials are not available through the Library's collection, these can be requested and provided through interlibrary loan.

The Library serves all members of the OU-Tulsa campus. Information about the Library's services and policies are available on the Library's website: <https://library.tulsa.ou.edu> and offers a variety of services that enhance and support teaching and research on the OU-Tulsa campus.

Through chat, online, individual and group consultations, librarians collaborate on research questions, citation assistance, and presentation design.

8. RESEARCH

8.1 OFFICE OF RESEARCH ADMINISTRATION

The Office of Research Administration (ORA) serves as a central resource to faculty and staff for all aspects of research, training, and public service activities and for the execution of professional service, affiliation, and certain provider contracts. The office provides information regarding funding sources and opportunities; reviews and approves completed proposals and grant applications for compliance with University, federal, state, and sponsor requirements prior to submission to external sponsors; and negotiates, and executes all basic research, clinical research, public service, professional service, provider, and affiliation agreements. ORA serves as the University's liaison with external agencies and organizations for all administrative and contractual matters. ORA has Institutional Official signature authority for submission of grants and execution of research and service-related contracts. The ORA is under the leadership and direction of the Vice President for Research- (VPR).

8.1.1 Proposals and Contracts

The Office of Research Administration, in conjunction with the VPR, supports faculty and staff participation in research, training, and service activities by (1) assisting in the identification of sources of external funding support via electronic announcements; (2) assisting in the preparation of completed proposal applications by reviewing all required budget and form pages for compliance with applicable federal and state laws and regulations, and sponsor and/or University policies and requirements; (3) assisting investigators with federal contract applications and negotiations, subcontracts, and collaborative projects with other institutions, including assisting with the preparation outside review of program project and center grants, federal contract applications and negotiations, and subcontracts, if needed; (4) reviewing, negotiating, and executing clinical and basic research agreements, including but not limited to: clinical trial, material transfer, confidentiality, and subcontract agreements; and (5) reviewing, negotiating, and executing professional service, affiliation, and provider agreements, including but not limited to: consulting and speaking agreements; student and resident affiliation agreements; and medical provider agreements for certain Colleges.

8.1.2 Routing Proposals

All completed grants grant applications and proposals in final form, including science-related documents (e.g., Specific Aims, Research Strategy, Significance, Innovation, Approach, Budget), must be routed through and reviewed by the ORA at least three (3) full University business days prior to the sponsor's deadline for standard applications and five (5) full University business days for large, multi-project applications. This includes all proposals to state, federal, non-profit, foundation, and industrial/pharmaceutical sponsors, regardless of the type of submission (hard copy or electronic). If the internal deadline is missed, the VPR or their designee may approve a waiver of the policy upon the investigator's request. All solicited and unsolicited (investigator-initiated) proposals are required to be routed to ORA for approval prior to submission to the sponsor, including submissions proposing that University investigators participate as subcontractors with other institutions. In certain cases, the ORA will execute a confidentiality agreement prior to the submission of investigator-initiated proposals to sponsors to protect the interests of the University and investigator. An authorized agent of the Board of Regents of the University of Oklahoma in the ORA must sign all proposals prior to submission to the sponsor. Faculty do not have the authority to sign any proposal or grant application, nor to submit any electronic applications without the prior written approval of an Institutional Official in the ORA.

8.1.3 Routing Contracts

All research training, professional, provider, public service, and clinical trial contracts must be routed through the ORA for legal, fiscal, and administrative review prior to signature approval by an authorized agent of the Board of Regents of the University of Oklahoma in ORA. Contracts include agreements; letter agreements; memoranda of understanding; affiliation, data use, business associate, material transfer, confidentiality, license, consulting, speaking, fee for service, provider, and other professional service contracts; proposals that will be binding if accepted; amendments; contract modifications; and any other arrangement that obligates the University, its resources and/or its employees. Faculty may not legally bind the University by signing such contracts; therefore, all contracts must be signed by an authorized agent of the Board of Regents of the University of Oklahoma.

(Revised, 3-9-22)

8.1.4 Funding Opportunities

The ORA disseminates sponsored program and funding information through weekly electronic newsletters and e-mail notices to announce: -(1) special funding opportunities; (2) program deadlines; and (3) new directions or changes in programs, policies and procedures within the University and at granting agencies.

The ORA maintains a web page (<http://research.ouhsc.edu>) featuring: -(1) ORA and University forms; (2) web site links to relevant University offices and sponsors; (3) current information regarding University and sponsor policies, including indirect cost rates (facilities and administrative costs), fringe benefit rates, and other important University and sponsor information necessary for the proper completion of proposals and processing of contracts; (4) links to a variety of internal and external funding announcements; (5) links to funding agency web sites; and (6) access to publicly available University award information.

(Revised, 3-9-22)

8.1.5 Institutional Committee Reviews

All protocols for human ~~subjects~~subject research, animal research, and research involving the use of recombinant DNA, gene therapy, microorganisms, biological toxins, and human gene transfer must be approved prior to the initiation of such research. In most cases, sponsors require certification of institutional approvals on a “just-in-time” basis, that is, when applicants (either investigators or ORA) are notified that just-in-time -information is needed. This notification is not a notice of award nor should it be construed to be an indicator of possible funding. Investigators are responsible for obtaining all required approvals in accordance with University and sponsor policies and for assuring required approvals are maintained for the duration of an award. Investigators must coordinate obtaining required approvals with the following offices prior to the initiation of research or service projects requiring approvals: Institutional Review Board (IRB), Institutional Animal Care and ~~Utilization~~Use Committee (IACUC), Institutional Biosafety Committee (IBC), Conflict of Interest Office, Radiation Safety Committee, and Environmental Health and Safety Office. These approvals must be provided to ORA by the deadline request by the sponsor. Depending on where the activity is performed, investigators may also need to obtain additional approvals from the Veterans Affairs Medical Center, the Oklahoma Medical Research Foundation, OU Health, Dean McGee Eye Institute, and/or other committees, centers, or entities.

(Revised, 3-9-22)

8.2 DIVISION OF COMPARATIVE MEDICINE

The Division of Comparative Medicine has three primary functions at the 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 present training sessions to research technicians, laboratory animal technicians, and faculty on the use of laboratory animals in research. In conjunction with the Institutional Animal Care and Use Committee, the Division of Comparative Medicine veterinarians review research protocols that involve laboratory animals. The Division of Comparative Medicine is accredited by the American Association for Accreditation of Laboratory Animal Care. The Health Sciences Center has an approved Assurance on file with the National Institutes of Health, (NIH), Office of Laboratory Animal Welfare, for the use of animals in research, testing, and training programs.

(Revised, 3-9-22)

8.3 RESEARCH COUNCIL

The Research Council is charged with the promotion and development of research and creative activity throughout the University community. The Council recommends to the President, through the Senior Vice President and Provost, faculty nominees for the George Lynn Cross Research Professorship.

(Revised, 3-9-22)

8.4 POLICY FOR CONSULTING ON GRANTS AND RESEARCH CONTRACTS AWARDED TO THE HEALTH SCIENCES CENTER

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~~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, as well as the University, scrutinize consulting arrangements and may determine the services to be unnecessary or unauthorized. Such disallowed costs must be reimbursed with unrestricted or non-sponsored funds.

~~In an effort to~~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~~Professional service agreements not involving grants or research must be approved through the University's normal approval process, see Section 3.5.3.

(Revised, 3-9-22)

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, 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)~~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) Any relationship to the University and/or 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.

(Revised, 3-9-22)

After the Award:

If a consultant line was not included in the proposal, the following steps must be taken:

- 1) A rebudget request must be sent to ORA and funds adjusted to include the consulting budget category. Justification for the need ~~for~~of 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 an Institutional Official in the 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.

(Revised, 3-9-22)

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) A ~~rebudget~~re-budget request must be sent to ORA and funds adjusted to include 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 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~~an ORA Institutional Official and the 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; Revised, 3-9-22)

8.5 SPONSORED PROGRAMS INCENTIVE PLAN POLICY

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.

Policy

University Faculty salaries will be budgeted on sponsored research and grants and contracts commensurate with actual time and effort. Corresponding salary released from institutional accounts (e.g., PPP, state revolving, and other unrestricted funds) is available for performance incentive payments. Performance incentive payments will not be charged directly or indirectly to federally-funded programs. Released University 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, or a portion may be released to the faculty member as added incentive payment.

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)

8.6 POLICY REGARDING PRINCIPAL INVESTIGATOR ELIGIBILITY AT THE UNIVERSITY OF OKLAHOMA HEALTH SCIENCES CENTER

Principal Investigators (PIs) on sponsored projects shall hold faculty (regular or temporary appointments) or staff paid appointments, full-time or part-time, at the University of Oklahoma Health Sciences Center. However, if a funding agency has more restrictive requirements regarding who can serve as a principal investigator on a project, the funding agency's requirements supersede this policy.

If allowable by the sponsor, graduate students, postdoctoral fellows, and residents may apply for external funding provided that a University faculty member agrees to serve as the Principal Investigator and ~~account sponsor~~ sponsoring mentor on the project, and to be responsible to the University for the completion of all deliverables, including required project reports. Graduate students, postdoctoral fellows, and residents may submit individual training or fellowship applications with the written support of their mentor.

This is a University of Oklahoma Health Sciences Center policy. The ~~Vice President for Research~~ VPR must approve any exception to this policy in advance of submission of a grant or contract proposal to a funding agency.

8.7 UNIVERSITY OF OKLAHOMA HEALTH SCIENCES CENTER POLICY ON LEVEL OF EFFORT COMMITTED ON SPONSORED PROGRAMS

The University of Oklahoma Health Sciences Center treats all aspects of sponsored programs administration consistently, regardless of funding source. Therefore, pursuant to federal regulations, ~~the~~ OUHSC faculty and staff may not have total effort commitments (sponsored and non-sponsored) in excess of 100 percent (see definition of Commitment overlap below). Faculty or staff who have University responsibilities in addition to those committed on

sponsored programs, including but not limited to teaching, administration, or clinical activities, must reserve the appropriate amount of effort as agreed upon with the Department Chair and/or Dean of their respective College for those commitments and, therefore, may not commit 100% paid or unpaid effort to sponsored grants and/or contracts.¹

~~Excerpt from NIH Notice: "Commitment overlap occurs when a person's time commitment exceeds 100 percent, whether or not salary support is requested in the application. While information on other support is only requested for key personnel (excluding consultants), no individuals on the project may have commitments in excess of 100 percent."~~

~~NIH Reference: <https://grants.nih.gov/grants/guide/notice-files/NOT-OD-12-101.html>~~

8.8 ALLOWABLE SALARY ON OUHSC GRANTS AND CONTRACTS FOR OUHSC EMPLOYEES WITH VA APPOINTMENTS

8.8.1 OUHSC "Institutional Base Salary" (IBS) is the salary that is guaranteed annually by the employee's department, approved by the Board of Regents of the University of Oklahoma, and documented in the OUHSC Annual Budget and the salary from OU Health for dually employed faculty. For the purpose of receiving compensation on grants or contracts, the IBS is derived solely from the OUHSC portion of the employee's total compensation. Institutional Base Salary does not include Professional Practice Plan compensation or other clinical compensation that is not guaranteed and approved by the University Regents. For dually employed COM faculty, institution base salary includes total compensation for both University and the affiliated institution.

University of Oklahoma Health Sciences Center (OUHSC) employees with VA appointments will be compensated for time and effort on OUHSC grants and contracts in accordance with the NIH Grants Policy Statement regarding compensation of Federal employees for all grants and contracts received at OUHSC, regardless of funding source

https://grants.nih.gov/grants/policy/nihgps/HTML5/section_17/17.3_va-university_affiliations.htm

OUHSC and the Veterans Administration Medical Center (VAMC) are required by federal granting agencies to establish an agreement (Memorandum of Understanding) to determine the total effort and set of responsibilities between the two entities. An OUHSC employee with a paid OUHSC appointment can be paid for their time spent on OUHSC grants and contracts as part of their OUHSC appointment.

Federal salary cannot be included in the OUHSC ~~Institutional Base Salary~~ IBS on grants and contracts. Only the OUHSC portion of salary may be used to determine the amount of allowable compensation on grants and contracts. The allowable salary is based on the percentage of the OUHSC appointment that is applicable to the effort devoted to the project. If the OUHSC employee does not receive salary from OUHSC, then salary cannot be requested or charged to a grant or contract.

An individual with an 8/8th appointment at the VA with a paid appointment at OUHSC can be compensated on an OUHSC grant or contract as part of their OUHSC appointment based on their OUHSC Institutional Base Salary alone. The total effort and set of responsibilities between the two entities and the percentage of effort at each institution must meet the test of reasonableness for such individuals.

8.8.2 Base Salary Calculations for Dually Employed OUHSC and OU Health (OUH) Clinical Faculty

IBS calculation for OUHSC/OUH dually employed faculty should be performed as outlined below:

All dually employed OUHSC/OUH Clinical Faculty who submit a proposal to an external sponsor should adjust their OUHSC salary to the equivalent of 1.0 FTE in their proposal budget. Example: Professor X has a dual OUHSC/OUH appointment. If his/her OUHSC (academic) FTE appointment is 0.2 FTE and the base salary in PeopleSoft is \$40,000,

¹ Excerpt from NIH Notice: "Commitment overlap occurs when a person's time commitment exceeds 100 percent, whether or not salary support is requested in the application. While information on other support is only requested for key personnel (excluding consultants), no individuals on the project may have commitments in excess of 100 percent."

Professor X (in coordination with their department support) should adjust his/her FTE and base salary to 1.0, which would result in an IBS of \$200,000 to report on the grant application when preparing the budget. If these adjustments exceed a sponsor's salary cap, the salary cap should be used.

Adjusting the OUHSC IBS to 1.0 FTE equivalent allows flexibility for any necessary adjustments that need to be made regarding academic and clinical FTE splits at time of award, while still being compliant with OUHSC IBS policy.

As OUHSC/OUH dually employed Clinical Faculty receive additional awards, they will need to work with their departments to adjust their OUHSC (academic) FTE accordingly to align with their research commitment needs, while still appropriately reflecting their committed effort for each award. **Example:** Faculty with an academic appointment of 0.2FTE would have a maximum of 2.4 calendar months (CM) available for OUHSC academic/research commitments. If they need more than 2.4 CM for their combined academic/research award commitments, then OUHSC FTE would need to be increased and OUH clinical FTE decreased as necessary to prevent any potential FTE over-commitment for OUHSC/OUH dually employed faculty.

(Revised, 3-9-22)

8.9 UNIVERSITY OF OKLAHOMA HEALTH SCIENCES CENTER FACILITIES AND ADMINISTRATIVE COSTS POLICY FOR EXTERNALLY FUNDED PROJECTS

See the Office of Research Administration web site for current rates and applicable forms

1.0 POLICY

1.1 It is the policy of the University of Oklahoma Health Sciences Center to collect the full applicable rate of facilities and administrative costs reimbursement on all externally funded projects, including research, public service, training and instruction grants and contracts.

~~1.2 For all projects funded by federal agencies, or funded with federal dollars (including federal dollars passed through other agencies), the applicable rate is based upon the University's current federally negotiated facilities and administrative costs rate agreement. The only exception to the negotiated rate is for those federal programs where a lower rate is specified and published in the sponsored program announcement.~~

~~1.3 For all projects funded by state and local agencies, private industry and foundations _____.~~

1.2 For all sponsored projects, the applicable facilities and administrative costs rate is based upon the type of program (research, training, instruction, public service, fee-for-service) and the current negotiated indirect cost rate for research or the University's published facilities and administrative costs rate for training, instruction, public service, or fee for service programs. The only exception to the negotiated rate is for those federal programs or entities where a lower rate is specified and published.

1.4~~3~~ Any requests for an exception of the applicable indirect cost rate must follow the exception process described in Section 4.0.

2.0 BACKGROUND AND DEFINITIONS

2.1 This policy provides guidelines for the University of Oklahoma Health Sciences Center regarding the reimbursement of facilities and administrative costs for all externally funded projects.

2.2 The total cost of all externally funded projects consists of both direct and indirect expenses. The University must pay for all associated facilities and administrative costs of every program, regardless of whether it is reimbursed by the sponsor or not.

2.3 Federal regulations (2 CFR 200 and the Federal Cost Accounting Standards) require that the same type of costs be treated consistently as direct or facilities and administrative costs on sponsored programs. This policy provides guidance to assure compliance with all applicable federal regulations.

(Revised, 3-9-22)

2.4 Definitions

Direct costs are those that are readily identifiable with a specific project and which can be charged directly to that project. Direct costs include such items as salaries, fringe benefits, equipment, consumable materials and supplies, travel, subject/participant costs, and subcontracts.

Facilities and administrative (F&A) costs, formerly known as indirect costs, are actual costs incurred by the University to support externally funded projects. These costs are to be reimbursed by the sponsor for common University expenses that cannot be directly charged to a single project and include: 1) infrastructure costs (rent, heating, air, janitorial services) and 2) support services (IT, library, purchasing, accounting, research administration, animal resources, and federally mandated assurance boards and offices [Institutional Review Board, Institutional Animal Care and Use Committee, Institutional Biosafety Committee]).

On-campus/off-campus facilities and administrative costs rates - On-campus and off-campus facilities and administrative costs rates for research are determined by the DHHS negotiated cost rate agreement and are to be utilized for all ~~federally sponsor~~ funded research. The applicable on- and off-campus indirect cost rate(s) for research, public service, training, and instruction ~~are published annually by Administration and Finance and~~ can be found on the Vice President for ~~Health Sciences~~ Research webpage.

The off-campus rate applies only to activities performed in facilities not owned/leased by the Health Sciences Center institution and to which rent is directly allocated to the project(s). If more than 50% of a project is performed off-campus, the off-campus rate will apply to the entire project.

(Revised, 3-9-22)

3.0 APPLICABLE FACILITIES AND ADMINISTRATIVE COSTS RATES BY FUNDING SOURCE AND TYPE OF PROGRAM

3.1 FEDERAL - The University's current federal negotiated facilities and administrative costs rates apply to all federally funded programs, with the exception of Federal Training Grants ~~or other awards excluded by statute~~. This includes funds received directly from federal agencies and funds received indirectly from federal agencies as "flow-through" or "pass-through" funds from other institutions, i.e. subawards and subcontracts.

3.2 STATE - The current applicable facilities and administrative costs rate applies to all programs funded by State of Oklahoma agencies (including OSDH, ODHS, OHCA and others). The State agency must also provide written certification to the Office of Research Administration regarding the source of their funding, federal versus non-federal, in order to determine the applicable facilities and administrative costs rate. All research grants or contracts funded by federal flow-through funds are required to include the University's current negotiated facilities and administrative costs rate.

3.3 NON-PROFIT/FOUNDATION - The applicable facilities and administrative costs rate applies to all programs sponsored by Non-Profit agencies and Foundations. Most non-profit entities limit F&A. OUHSC will accept the sponsor's F&A policy if the policy is published on the sponsor website, in the official program announcement, or on the sponsor-approved application form.

3.4 INDUSTRY: CLINICAL TRIALS - The facilities and administrative costs rate for Clinical Trials funded by Industry/Pharmaceutical companies may vary but must include 25% for core Institutional overhead costs. Departmental or College Administrative cost rates may be included in addition to the Institutional 25%. ~~There will be no Any exceptions to the core Institutional/Department or College rate of 25% for Clinical Trials sponsored~~ must be approved by Industry/Pharmaceutical companies. the VPR and dean in writing in advance.

3.5 INDUSTRY: BASIC RESEARCH – The University's current federal negotiated facilities and administrative costs rate applies to all basic research programs sponsored by for-profit Industry/Pharmaceutical companies. There will be no exceptions to the institutional rate for industry funded research.

3.6 See the Office of Research Administration web site for all applicable facilities and administrative costs rates based upon funding source and type of program.

4.0 REQUESTS FOR EXCEPTIONS

- 4.1 Exceptions to this policy will only be granted in rare circumstances. Facilities and administrative costs must be included using the University's federally-negotiated rates, with the exception of ~~Federal Training Grants; those excluded by statute.~~ All other deviations are subject to administrative approval by the Vice President for Research. If sponsor guidelines limiting facilities and administration costs are publicly documented, no exception request is required. All other requests to reduce F&A must be provided with each proposal requesting an exception. ~~Projects funded by the for-profit sector must accrue F&A at the appropriate negotiated rate.~~
- 4.2 All requests for exceptions to the University's Facilities and Administrative Costs Policy must be made in the electronic proposal routing form.
- 4.3 The Vice President for Research or delegate will make the final decision.
- 4.4 The Senior Vice President and Provost, the Vice President for Administration and Finance, and the Vice President for Research, will monitor the cost to the University of approved facilities and administrative costs exceptions on a continuing basis.

(Effective July 1, 2009; Revised, 3-9-22)

8.10 POLICY REGARDING FACILITIES AND ADMINISTRATIVE (F&A) COSTS ON CLINICAL TRIALS

~~In September 1992 and August 1994 the Provost and Vice President for Research, respectively, issued memoranda regarding the University's policy for recovery of facilities and administrative (F&A) costs (formerly known as indirect costs) on clinical trials involving human subjects. The purpose of this memorandum is to restate the policy to more precisely define the basis for determining which clinical studies are subject to the twenty-five percent (25%) F&A assessment by the Provost's Office.~~

Seventy-five percent (75%) of all F&A ~~received from clinical trial studies is~~ costs are recovered by Office of the Vice President for Research if the clinical study meets the VPR when all of the following requirements are met:

- 1) The study is sponsored by an industrial company; i.e., pharmaceutical, device companies, ~~etc.;~~
- 2) The study is clinical; i.e., involves living human subjects;
- 3) The study involves a drug or device;
- 4) Payment by the sponsor ~~may be~~ based upon number of patients enrolled, delivery of patient case report forms, a fixed fee lump sum, etc.;
- 5) The sponsor imposes no fiscal audit requirements on the University.

Any required college, department or section F&A charges are in addition to the 25% F&A costs recovered. All appropriate F&A costs (the Provost's 25% plus college, department or section charges) must be negotiated with the company by the investigator and included in the budget either 1) as a separate line item (administrative fees, F&A costs, etc.), or 2) added to the cost of each direct cost line item.

Basic, pre-clinical (nonclinical) research projects and other human studies not involving living human subjects are subject to the University's current negotiated F&A costs. As with all sponsored studies, investigators and staff are required to allocate and charge their actual percent effort to all clinical study accounts, as well as all other costs directly benefiting the clinical study.

(Restated February 21, 2006; Revised, 3-9-22)

8.11 SERVICE AS PROMOTIONAL SPEAKER FOR PRIVATE INDUSTRY

- **Employees may not serve as promotional speakers for a company's particular products or services.**
- University employees may serve as educational speakers and discuss products or services generally.
- OUHSC policy requires that all contracts for employees to serve as educational speakers for private industry must be routed through SoonerTrack.
 - Educational speaker agreements with annual cumulative payments below \$5,000 and meeting certain criteria can be signed by the appropriate College Dean

- Educational speaker agreements with annual cumulative payments at or above ~~\$5,000~~ ~~all agreements meeting certain criteria independent of payment amount~~, \$5,000 must be negotiated and executed by ORA.

[Note: In this policy, the term “industry” means biomedical, pharmaceutical ~~and~~, medical device companies, and companies that make other products used in the treatment of patients or the provision of health care. For purposes of this policy, employees are not prohibited from promoting OU Health.]

Faculty members may speak at an industry-sponsored program only if the faculty member retains full control and authority over professional material the faculty member presents and does not allow such communications or presentations to be subject to prior approval by any commercial interest other than approval for the use of proprietary information.

Activities with any of the following characteristics may not be undertaken at any location, whether on-site or off-site:

- a) A company has the contractual right to dictate what the faculty member says
- b) A company (not the faculty member) creates the slide set (or other presentation materials) and has the final approval of all content and edits. Slides prepared by a company that depict generic anatomical or biological structures or functions may be used in a presentation by a faculty member if 1) the content is accurate and of high quality and 2) no company logo or name appears on the slide.
- c) The faculty member receives compensation from the company and acts as the company’s employee or spokesperson for the purposes of dissemination of company-generated presentation materials or promotion of company products
- d) A company controls ~~the~~ all publicity related to the event.

Some of the prohibited activities can occur in the context of “speakers’ bureaus”, and the conditions of the speaking engagement must govern the decision as to whether ~~or not~~ the activity is acceptable under this policy. For questions or clarification, please contact your department chair or dean.

(Senior Vice President and Provost, 6-27-16; Revised, 3-9-22)

8.12 ETHICS IN RESEARCH

The University’s Ethics in Research Policy is included in Appendix P

8.13 SBIR/STTR PROGRAMS

Under Small Business Innovation Research (SBIR) and Small Business Technology Transfer (STTR) programs, small businesses are encouraged to partner with a research university to perform innovative research and/or to assist in technology transfer from the university. A University Employee may participate in the SBIR/STTR project only through a contract between the University and the Company that outlines the Employee’s responsibilities and/or University benefits or with written authorization by the Dean and Vice President for Research.

SBIR/STTR programs can produce a variety of complex situations with regard to Conflicts issues.

Therefore, Employees are required to comply with the following:

- a) A University Employee with any role on an SBIR/STTR project must submit the entire grant application (University’s portion and small business’s portion) to the Office of Research Administration (ORA) to enable the appropriate reviews to take place before submission of the application to the funding agency.
- b) The principal investigator for the small business SBIR/STTR application and the principal investigator for the subcontract to the University must be different individuals.
- c) If a University Employee or his/her Family has a Financial Interest in a Company, that individual may not bring Research into his/her University laboratory through an SBIR or STTR contract involving that Company, except through a contract between the Company and the University and prior approval by the Conflict of Interest Office
- d) The Company must provide evidence of availability of functioning space (independent of University resources) in which Research activities can and will take place prior to submission of the grant application.

- e) The Employee must notify the Vice President for Research and/or ORA in writing upon receipt of an SBIR/STTR award. If the Employee is serving as the principal investigator of the small business concern on an SBIR grant he/she must also provide documentation of approval from the appropriate Dean to reduce his/her University appointment to commit the required minimum 51% effort as the SBIR principal investigator of the small business concern. For STTR awards, Employee must serve as principal investigator in their University capacity, unless otherwise allowed by the Conflict of Interest Office.
- f) Prior to start of the project, a contract between the University and the Company must be executed outlining the Employee's responsibilities and/or University benefits or the Employee must obtain written authorization by the Dean and the Vice President for Research to proceed. There must be a clear distinction between the work done by or on behalf of the Company and the work performed by or on behalf of the University.
- g) The Employee must work through his/her college/department to reduce his/her appointment if serving as the principal investigator on an SBIR award.

8.14 INTERNATIONAL TRAVEL REGISTRATION AND REVIEW POLICY

See Faculty Handbook, Section 5.28 for information.

8.15 EXPORT CONTROLS

Faculty members must comply with U.S. export control regulations when their work involves restricted publications; international travel; international collaborations; restrictions from the sponsor or contract; proprietary information or software; work with international faculty, staff, or students; hosting international visitors; international shipments; or international transactions.

Compliance with Export Control regulations also limits activity with entities listed on a United States Government Restricted Party List.

Export Control's policies and procedures can be found at https://www.ou.edu/exportcontrols/policies_procedures_guidelines

9. COMPLIANCE

9.1 OFFICE OF COMPLIANCE

The mission of the Office of Compliance is to enhance through a Compliance program a compliance consciousness for OU's workforce and trainees by promoting the highest standards of ethics and integrity through awareness, training, education, monitoring, oversight, review, and appropriate responses to confirmed violations. Through this enhanced consciousness, compliance with all applicable laws, regulations, and University policies is promoted. Additionally, the Compliance Office establishes OU's Standard of Conduct ("Standards"), which is a non-exclusive compilation of guidelines and responsibilities regarding ethical and legal standards that all University employees are expected to follow when performing services for or on behalf of OU. Both the complete Compliance Program and the Standards of Conduct are located on the Office of Compliance website, <http://compliance.ouhsc.edu>.

The Office of Compliance also effectively and efficiently operates and/or provides direction, guidance, and/or oversight for the following compliance-focused departments and programs:

- Healthcare Billing Compliance
- ~~Compliance Outreach~~
- Radiation Safety
- Human Research Protection Program / Institutional Review Board
- Environmental Health and Safety
- Institutional Biosafety
- Institutional Animal Care and Use Committee ("IACUC")
- ~~Accessibility & Disability Resource Center~~
- HIPAA Compliance Program

9.1.1 Healthcare Billing Compliance

The mission of the Healthcare Billing Compliance Office is to maintain high ethical standards and regulatory compliance in all activities of documentation and coding for billing professional services.

The Healthcare Billing Compliance Office is a central resource in promoting education and monitoring regulatory compliance for medical and dental documentation, coding, and billing. The Office assists in identifying and eliminating potential risks by conducting activities such as providing education and training on regulations from federal, state, and regulatory agencies affecting professional billing; conducting compliance validation reviews and clinical trial billing reviews; recommending any needed changes or additions to billing policies and procedures; researching inquiries concerning proper billing practices; reviewing, investigating, and responding to reports of potential non-compliance; and recommending remedial actions for non-compliance.

The Healthcare Billing Compliance office maintains a web page that includes federal and state regulations affecting professional billing, along with forms and other helpful information relating to professional billing activities: <http://compliance.ouhsc.edu/hcbo/Home.aspx> -- <https://compliance.ouhsc.edu/HBCO>

9.1.2 ~~Compliance Outreach~~

~~The mission of Compliance Outreach are 1) to communicate the goals and purpose of the University of Oklahoma's Office of Compliance to the University community and 2) to facilitate the exchange of essential information between that community and the Office of Compliance.~~

~~Compliance Outreach develops and maintains Office of Compliance departmental websites that support and inform the University Community about ongoing compliance activities. Additionally, Compliance Outreach coordinates, develops, and monitors essential Compliance Program training initiatives designed to provide information regarding compliance activities to the University community.~~

9.1.3 Environmental Health and Safety Office (EHSO)

The mission of the Environmental Health and Safety Office (EHSO) is to “develop and coordinate appropriate policies and programs to promote occupational health: reduce accidents and injuries, protect ~~ouf~~ the University environment; and provide technical assistance to administration, faculty, staff, and students ~~of OU~~ regarding environmental and occupational health and safety regulatory compliance~~u.~~”

The EHSO provides health, safety, and environmental services for the University, including off-campus facilities, to facilitate compliance with all environmental and occupational health and safety regulations. These regulations include, but are not limited to, those promulgated by OSHA, EPA, the Oklahoma Department of Environmental Quality, the Oklahoma Department of Labor, and the Department of Transportation.

All University employees and students must perform their jobs and responsibilities in compliance with all applicable University policies and state and federal laws and regulations relating to the protection of workers’ safety. Employees must become familiar with and complete required training on the worker safety laws, regulations, and University policies and programs that ~~apply~~ to their jobs. 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.

All University employees must manage and dispose of hazardous chemical, biological, and other ~~wasteswaste~~ in a manner that maximizes protection of human health and the environment and is in accordance with all applicable local, state, and federal laws and regulations. Additional information about the Environmental Health and Safety Office is available at <http://compliance.ouhsc.edu/ehso/Home.aspx>.

9.1.43 Human Research Participant Protection (HRPP)

The mission of the Office of Human Research Participant Protection (HRPP) is to protect the rights, privacy, and welfare of all human participants in research projects conducted by OU faculty, staff, and students, as well as ~~thatthose~~ conducted under its oversight.

The HRPP is accredited by the Association for the Accreditation of Human Research Protection Programs (AAHRPP) and has an approved Assurance on file with the Office of Human Research Protection.

The HRPP is established to support the University’s commitment to the protection of human participants in research. The goals of the HRPP are to provide safety for human participants in research, to educate the University’s researchers on applicable regulations governing human subject research, and to provide continuous quality improvement of the University’s research activities.

The University has established an HRPP on each of the Norman and Oklahoma City campuses. The Institutional Review Boards (IRBs) of each HRPP function autonomously in the application of federal regulations and ethical principles to OU research involving humans, regardless of sponsorship or performance site location.

The IRBs are University Committees. As such, the IRBs serve OU as a whole, rather than a particular college or department, and any institution for which the University of Oklahoma is designated as the IRB of record in the Assurance filed with OHRP.

All research activities involving human participants must be reviewed and approved by the appropriate IRB. All investigators conducting research involving human participants at OU are required to complete the designated training related to the ethical conduct of research. Intervention or interaction with human participants in research, including recruitment, may begin only after the IRB has reviewed and approved the research project.

Additional information about the Human Research Protection Program is available at:

<http://compliance.ouhsc.edu/hrpp/Home.aspx>.

9.1.54 Institutional Animal Care and Use Committee (IACUC)

The mission of the Institutional Animal Care and Use ~~ProgramCommittee~~ (IACUC) is to provide for the safe and humane animal use of animals in education and research. ~~The IACUC carries out this mission through theits review applications for and monitoring of proposals describing the use of animals in research, testing, or~~

~~educational/training activities submitted by Health Sciences Center faculty; to inspect on a semi-annual basis all ; recurring review of the University's program for animal care and use; inspection of facilities where animals are housed; to inspect on a semi-annual basis all laboratories that use animals and to ensure that all and other locations where animal activities take place; review of concerns involving animals; and the evaluation and assessment of training for individuals involved with the use of animals in research are properly trained for these.~~

~~The University has established an IACUC to oversee the Animal Care and Use Program for each of the Norman (OU) and Oklahoma City (OUHSC) campuses. Each campus Animal Care and Use Program and its IACUC functions autonomously in the application of federal regulations, policies, and ethical principles regarding research and training activities that involve vertebrate animals, regardless of sponsorship or performance site location. The OUHSC Animal Care and Use Program is accredited by AAALAC International. The OU and OUHSC Animal Care and Use Programs each maintain separate Animal Welfare Assurances with the Office of Laboratory Animal Welfare at the National Institutes of Health, and Research Facility Registrations with the Animal Care division of the United States Department of Agriculture - Animal Plant and Health Inspection Service.~~

~~The Faculty and staff appointed by the Institutional Official of each campus Animal Care and Use Program is accredited by the Association for Assessment and Accreditation of Laboratory Animal Care International (AAALAC), and has an approved Assurance on file with the National Institutesmake up the membership of Health Office of Laboratory Animal Welfare as a facility that uses animals in research, testing, and training programs.~~

~~The responsibilities of theeach IACUC. Members also include qualified individuals who are carried out by a Program Director and a committee composed of Health Sciences Center faculty and graduate students with expertise in the areas of research or training under consideration. unaffiliated with the University. The IACUC} is ultimately responsible for reviewing, requiring modification(s) if necessary, and approving all research protocols that involveactivities involving the use of live vertebrate animals in research and teaching. IACUC approval is required before the initiation of any research studies or educational programs can be initiated. animal activities. Additional information about the Institutional Animal Care and Use ProgramOUHSC IACUC is available at <http://compliance.ouhsc.edu/iacuc/Home.aspx>. Additional information about the OU IACUC is available at <https://www.ou.edu/acup>.~~

9.1.65 Radiation Safety Office (RSO)

The mission of the Radiation Safety Office (RSO) is to facilitate the safe use of radioactive materials and radiation producing equipment in education, research, and medical care; to keep personnel and public exposure As Low As Reasonably Achievable (ALARA); and to ensure that radioactive materials/devices are used in accordance with the standards of regulatory compliance.

In the State of Oklahoma, the use of radioactive materials, radiation therapy devices, and analytical x-ray devices is regulated by the Oklahoma Department of Environmental Quality (DEQ). The Norman and HSC campuses each hold DEQ licenses that permit the use of radioactive materials. The use of diagnostic x-ray devices is regulated by the Oklahoma State Department of Health. University radiation-producing devices are permitted and registered by the applicable agency.

Radiation Safety Committees oversee the use of radiation and radioactive materials on their respective campuses/facilities. The use of all radioactive materials and ionizing radiation for patient care, teaching, and research purposes must be reviewed and approved by the appropriate Radiation Safety Committee. The Radiation Safety Officer for each Committee is responsible for implementing the policies and procedures for the safe use of radioactive materials, ensuring regulatory compliance of such policies, and providing radiation safety training and consulting to the staff and management of that campus.

The responsibility for radiation safety is on the individual authorized to use radiation or radioactive materials. Therefore, all authorized users of radioactive materials and users of radiation producing devices must be familiar with the Radiation Safety Manual and ensure that those working under their supervision are properly trained. The University's licenses and the pertinent regulations are available for review in the respective Radiation Safety Offices. Additional information about the Radiation Safety Office is available at <http://compliance.ouhsc.edu/rso/Home.aspx>.

9.1.76 Institutional Biological Safety Committee (IBC)

The OUHSC Institutional Biosafety Committee (IBC) is charged with reviewing and approving the biological safety of all OUHSC, OU-Norman, and OU-Tulsa basic and clinical research activities involving (i) recombinant DNA and -gene transfer including transfer to humans, microorganisms, and viruses, and unless classified as exempt under Section III-F of the NIH Guidelines for Research Involving Recombinant or Synthetic Nucleic Acid Molecules; (ii) any work requiring biosafety levels 2 and 3 (BSL-2 and BSL-3) containment; and (iii) any work with biological toxins. Clinical research involving recombinant or synthetic nucleic acid molecules that is not approved by outside IBC services also must be reviewed and approved by the OUHSC IBC.

All basic and clinical research activities involving recombinant DNA or gene transfer, including transfer to humans, microorganisms, viruses, and biologic toxins, must be performed in compliance with federal, state, and local regulations governing such research. For any research project involving the use of these potentially biohazardous materials, the Principal Investigator and any Co-Investigator must: 1) review the applicable requirements and determine the biological safety issues related to the project; 2) develop appropriate standard operating procedures that are consistent with all applicable requirements and are designed to control potential biohazards associated with the project; 3) receive approval from the responsible IBC at the respective OU campus; simultaneous with initiation for projects classified under Section III-E of the NIH Guidelines for Research Involving Recombinant or Synthetic Nucleic Acid Molecules and before initiation in all other cases specified above; 4) train all employees on the appropriate biological safety procedures applicable to the research; and 5) notify the responsible IBC at the respective OU campus of any changes in protocol, procedures, biosafety level, personnel, or research site during the implementation of the research.

The IBC will perform periodic site visits to laboratories to verify that laboratory facilities and work practices are consistent with the biological risk and associated biosafety requirements. Additional information about the Institutional Biosafety Committee is available at <http://compliance.ouhsc.edu/ibc/Home.aspx>.

~~9.1.8 Disability Resource Center (DRC)~~

~~The University of Oklahoma is committed to providing equal employment and educational opportunities for qualified individuals with disabilities in all programs, services, and activities. The Disability Resource Center (DRC), unless otherwise provided, is the central point of contact for all requests for reasonable accommodation. The DRC will make accommodation determinations in accordance with Section 504 of the Rehabilitation Act of 1973, as amended, and the Americans with Disabilities Act (ADA) of 1990, as amended. Accommodations on the basis of disability are available by contacting the Disability Resource (405) 325-3852 Voice or at (405) 325-4173/TDD or by emailing drc@ou.edu. Information regarding accommodations is also available at www.ou.edu/drc.~~

~~Please refer to Section 5.3 of the Faculty Handbook for the University's Reasonable Accommodation Policy and to Section 4 for Student Policies and Services.~~

~~Individuals who have complaints alleging discrimination based upon a disability may file them with the University Equal Opportunity Office in accordance with prevailing University discrimination grievance procedures.~~

~~9.1.9~~

9.1.7 HIPAA Compliance Program

The University of Oklahoma is committed to protecting and safeguarding the Protected Health Information (PHI) created, acquired, and maintained by its Health Care Components and Health Plans in accordance with the Privacy and Security Regulations of the Health Insurance Portability and Accountability Act of 1996 (HIPAA), and as amended, and with applicable state and federal laws. The HIPAA Compliance Program includes Privacy, Security, and Audit divisions.

The University Privacy Official is responsible for the HIPAA Compliance Program, including the development and implementation of the University's HIPAA policies, and for receiving, coordinating, and managing the investigation of HIPAA complaints and violations. The HIPAA Security Officer is responsible for activities related to the development, implementation, maintenance, and adherence to the University's HIPAA Security policies and procedures. The HIPAA

Compliance Auditor is responsible for ensuring that the Health Care Components of the University are in compliance with certain aspects of the HIPAA Compliance Program.

The University requires all workforce members (employees, students, and volunteers) in its designated Health Care Components to take HIPAA Privacy and Security training upon hire/enrollment/appointment and at least annually.

For a list of designated Health Care Components, see the HIPAA Privacy Definitions policy, "Health Care Components"; ~~for.~~ For more information regarding HIPAA Privacy and Security, ~~please visit the HIPAA website at: <http://compliance.ouhsc.edu/Home/HIPAA.aspx> or see: <https://apps.ouhsc.edu/hipaa/>.~~

10. APPENDIX A**CHARTER OF THE GENERAL FACULTY AND THE FACULTY SENATE – HEALTH SCIENCES CENTER****PREAMBLE**

The ~~Regular~~General Faculty of ~~the~~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; to provide a forum for the discussion of faculty concerns; and to ~~facilitate faculty-administration division of labor and reciprocally supportivesupport~~ collaboration in achieving the goals and purposes of the Health Sciences Center. (HSC).

This Charter is not intended to abridge the rights and privileges of any member or sub-group of the ~~Regular~~General Faculty (i.e., department or college faculty ~~group~~groups) to determine matters of their rightful jurisdiction, academic freedom, and responsibility.

ARTICLE I**10.1 NAME**

The name of this organization shall be: "The ~~Regular~~General Faculty of ~~the~~The University of Oklahoma Health Sciences Center."

ARTICLE II**10.2 PURPOSE**

The 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 creative/scholarly activity, and professional and University service and public outreach; and
- 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 teaching~~, research and creative/scholarly activity, and ~~the provision of services~~professional and University service and public outreach in any matters affecting the welfare of the Health Sciences Center; and
- ~~D. To promote collaborative effort within and among faculty, professions, and colleges; and~~
- ~~E.D. To respect while respecting~~ the rights and jurisdictions of the individual ~~Colleges~~colleges in the Health Sciences Center.

ARTICLE III**10.3 MEMBERS****10.3.1 Section I. Members**

The membership of the ~~Regular~~General Faculty of the Health Sciences Center shall be composed of all ~~full-time faculty~~General Faculty members ~~with as defined in the unmodified rank of assistant professor or above who hold tenure track, tenured, or consecutive term appointments. The 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.~~HSC Faculty Handbook.

10.3.2 Section 2. Voting Rights

All members ~~with of the unmodified rank of assistant professor or above and who hold tenure track, tenured, or consecutive term appointments,~~General Faculty shall have full voting rights unless otherwise stated in this Charter.

10.3.3 Section 3. Proxy

No votes shall be cast by proxy.

ARTICLE IV**10.4 POWERS****10.4.1 Section 1. Governance Powers**

The governance of the Faculty of the Health Sciences Center is vested in the ~~Regular~~General Faculty of the Health Sciences Center, subject to the provisions of Article III, Section 1 above.

10.4.2 Section 2. Exercise of Powers

These governance powers shall be exercised either by the ~~Regular~~General Faculty or by the Faculty Senate (see Article VII, Section 5).

10.4.3 Section 3. Accountability of Senate

The Faculty Senate shall be ~~subject~~accountable to the ~~orders of the Regular~~General Faculty, and none of the Senate's acts shall conflict with actions taken by the ~~Regular~~General Faculty.

ARTICLE V**10.5 OFFICERS****10.5.1 Section 1. Officers**

The Officers of the ~~Regular~~General Faculty shall be the Officers of the Faculty Senate: Chair, Chair-Elect, Secretary, and Secretary-Elect. These Officers constitute the Executive Committee of the Faculty Senate.

~~These~~The Executive Committee officers shall perform the duties prescribed by this Charter, by the parliamentary authority adopted by the ~~Regular~~General Faculty, and any other activities necessary to achieve the purposes of the ~~Regular~~General Faculty of the Health Sciences Center.

There may be liaisons from the General Faculty as needed and as approved by a simple majority vote of the Faculty Senate Executive Committee and filled by the designated body. The duties of liaisons will be defined upon the formation of the position.

10.5.2 Section 2. Election of Officers

~~The officers shall be elected yearly by and from among the representatives who compose the Faculty Senate.~~

The Chair-Elect and Secretary-Elect shall be elected yearly from the Faculty Senate by a simple majority vote of the Faculty Senate with voting by means designated by the current Chair and tabulation of ballots by a Chair designee. In the subsequent year, the Chair-Elect and Secretary-Elect shall serve out the offices of Chair and Secretary, respectively. The duration of an office shall be one year.

10.5.3 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.

10.5.4 Section 4. Replacement of Faculty Senate Officers

- (a) A vacancy in the office of Chair shall be filled by the Chair-Elect. If that is not possible, a candidate to fill the vacancy shall be nominated by the Committee on Committees and approved by a simple majority vote of the Faculty Senate with voting by means as designated by the Chair and tabulation of ballots by a Chair designee.
- (b) A vacancy in the office of Secretary shall be filled by the Secretary-Elect. If that is not possible, a candidate to fill the vacancy shall be nominated by the Committee on Committees and approved by a simple majority vote of the Faculty Senate with voting by means as designated by the Chair and tabulation of ballots by a Chair designee.
- (c) A vacancy in the office of Chair-Elect or Secretary-Elect shall be filled by a candidate nominated by the Committee on Committees and approved by a simple majority vote of the Faculty Senate with voting by means as designated by the Chair and tabulation of ballots by a Chair designee.

- (d) Any Chair-Elect or Secretary-Elect who fills a vacancy shall serve the remainder of the outgoing officer's current term and then serve the next full term.
- (e) If the Committee on Committees recommends more than one candidate for a position, the candidate will be selected by a simple majority vote of the Faculty Senate.

ARTICLE VI

10.6 MEETINGS OF THE GENERAL FACULTY

10.6.1 Section 1. Meetings

The ~~Regular~~General Faculty shall meet at least twice yearly, usually in October and April.

10.6.2 Section 2. Annual Meeting

The 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 Faculty Senate activities, and for any other business that may arise.

10.6.3 Section 3. Special Meetings

- (a) Special meetings of the ~~Regular~~General Faculty may be called by the Chair of the Faculty Senate, by the Senior Vice President and Provost of the Health Sciences Center, or by written petition of a total of thirty (30) ~~Regular~~General Faculty of whom no more than fifteen (15) belong to any one college.
- (b) The purpose of the meeting shall be stated in the call.
- (c) Every ~~Regular~~General Faculty member shall be notified.
- (d) Except in cases of emergency, at least seven (7) ~~days~~calendar days' notice shall be given, and the meeting shall be called within thirty (30) calendar days of the presentation of a petition.

10.6.4 Section 4. General Faculty Quorum

Sixty (60) members of the ~~Regular~~General Faculty of the Health Sciences Center, representing three or more Colleges, provided no more than thirty (30) of the quorum number are from any one college, constitute a quorum for the General Faculty.

ARTICLE VII

10.7 THE FACULTY SENATE

10.7.1 Section 1. Members

- (a) The Faculty Senate shall be composed of at least three (3) members of the RegularGeneral Faculty from each OUHSC College except the Graduate College, which shall have one representative. Each college with program(s) in Tulsa will be responsible for formulating the distribution of representation between Oklahoma City and Tulsa campus. One additional representative ~~shall~~ may be elected by each College for each additional one hundred (100) RegularGeneral 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 Senior Vice President and Provost of the Health Sciences Center or ~~his designate~~ their designee shall be an *ex-officio* member of the Faculty 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.~~

10.7.2 Section 2. Election

- (a) Representatives of 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) Prior to April 1, each College shall elect its new representatives to fill out-going Senate positions and inform the Chair of the Faculty Senate.
- (c) Except for the Graduate College, Senators shall 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 elected to which represent 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.

10.7.3 Section 3. Replacement of Faculty Senate Members

- (a) The Faculty 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 simple majority vote of the RegularGeneral Faculty members of that College.
- (b) Should a Senator be unable to fulfill the duties of that office for any reason, that name may be removed from the rolls upon written request to the Faculty Senate Secretary from that Senator or from the Faculty of the represented College.
- (c) In the event of the removal of a Senator from the rolls for any reason, the First faculty of the

~~removed Senator's College shall select an~~ Alternate ~~will to~~ fill that position for the remainder of the ~~academic year. At the next annual College election, a Senator will be elected to fill the unexpired~~ Faculty Senate term.

- (d) In the event there is no alternate to complete the unexpired term, the Faculty of the College will be asked to fill the vacancy. The procedure by which the vacancy is filled is determined by each College.

10.7.4 Section 4. Officers

The Officers ~~of the Faculty Senate~~ shall be: Chair, Chair--Elect, Secretary, and Secretary--Elect. These Officers constitute the Executive Committee of the Faculty Senate.

There may be liaisons from the General Faculty as needed and such other officers as are provided for in the Charter as approved by a simple majority vote of the Faculty Senate Executive Committee and filled by the designated body. The duties of liaisons will be defined upon the formation of the position.

10.7.5 Section 5. Powers

- (a) The Faculty Senate shall exercise the governance of powers of the ~~Regular~~General Faculty of the Health Sciences Center as delegated by the ~~Regular~~General Faculty.
- (b) The Faculty Senate shall conduct the affairs of the ~~Regular~~General Faculty between the latter's meetings, make recommendations to the ~~Regular~~General Faculty, and perform such other duties as are specified in the Charter and Operating Procedures or Bylaws, and/or are necessary to achieve the objectives of the ~~Regular~~General Faculty.
- (c) Any member of the ~~Regular~~General Faculty may bring matters relating to the governance before the ~~Regular~~General 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 a Charter as well as Operating Procedures.

10.7.6 Section 6. Meetings

- (a) The Faculty Senate shall generally meet at least nine (9) times a year and at other times as necessary.
- (b) The Faculty Senate shall report significant Faculty Senate activities to the ~~Regular~~General Faculty in the spring Annual Meeting of the ~~Regular~~General Faculty.

10.7.7 Section 7. HCS Faculty Senate Quorum

A simple majority of the members of the Faculty Senate constitutes a quorum for the HSC Faculty Senate.

ARTICLE VIII

10.8 COMMITTEES

10.8.1 Section 1. Standing and Special Committees

Standing or special committees of the ~~Regular~~General Faculty and/or Faculty Senate shall be established as deemed necessary to facilitate faculty governance.

10.8.2 Section 2. Committee Membership

- (a) The Chair of the ~~Regular~~Faculty Senate shall be an *ex-officio* member of any and all standing and special committees without voting privileges.
- (b) All members of the ~~Regular~~General Faculty are eligible to serve on special or standing committees, provided that the membership is proportional among the ~~colleges~~Colleges in roughly the same ratio as ~~are seats~~College representation in the Faculty Senate.
- (c) The Health Sciences Center Student Association may be invited to nominate a student to serve on selected Faculty Senate Committees.

ARTICLE IX

10.9 LIAISON WITH THE HEALTH SCIENCES CENTER SENIOR VICE PRESIDENT AND PROVOST

10.9.1 Section 1. Function

The Faculty Senate shall serve as an advisory body to the Senior Vice President and Provost of the Health Sciences Center and to other administrative officers of the University in relation to matters of interest and importance to the General Faculty.

10.9.2 Section 2. Faculty Assistance to Administration

At the beginning of each academic year, the Faculty Senate shall provide to the Senior Vice President and Provost of the Health Sciences Center a list of nominees who are willing and able to serve during the ensuing year on the Health Sciences Center committees or councils. The Senior Vice President and Provost shall recommend the nominations to the President of the University, who shall make the appointments.

10.9.3 Section 3. State of the Health Sciences Center Message

At the first meeting of the ~~Regular~~General Faculty each academic year, the President of the University and the Senior Vice President and Provost of the Health Sciences Center, shall be invited to ~~orally~~ present to the ~~Regular~~General Faculty of the Health Sciences Center a statement on the State of the Health Sciences Center and ~~his (their)~~ recommendations for furthering the progress of the Health Sciences Center.

10.9.4 Section 4. Disposition of Requests for Action

Requests from the Faculty Senate for action by the Administration or by the ~~University~~University's Board of Regents shall be directed to the Senior Vice President and Provost of the Health Sciences Center, who

will then forward these requests to the President of the University.- The Senior Vice President and Provost of the Health Sciences Center shall, within thirty (30) calendar days, report verbally or in writing to the Faculty Senate the disposition of any request for action or information received. -The reports shall include the rationale for actions taken or not taken.

ARTICLE X

10.10 INTER-SENATE LIAISON COMMITTEE

10.10.1 Section 1. Purpose

The purpose of the Senate Liaison Committee shall be to routinely facilitate the exchange of information between the OUHSC Senate, Faculty, Staff, and Student Senates; the University President;; and the Norman Campus Faculty Senate.

10.10.2 Section 2. Composition

The Senate Liaison Committee shall be composed of the Chair, Chair-Elect, and the Secretary of the Faculty Senate.

10.10.3 Section 3. Meetings

- (a) The Committee will meet as often as necessary with the University President and representatives of the Norman Campus Faculty 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 Faculty Senate.

ARTICLE XI**10.11 PARLIAMENTARY AUTHORITY**

The rules contained in the current edition of Robert's Rules of Order Newly Revised, shall govern the RegularGeneral 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 Faculty may adopt.

ARTICLE XII**10.12 AMENDMENT OF THE CHARTER****10.12.1 Section 1. Amending**

The Charter may be amended from time to time ~~in any particular~~ as follows:

- (a) Amendments of this Charter and ensuing Rules and Operating Procedures may be proposed at any regular or special ~~meeting~~meetings of the Faculty Senate.
- (b) Amendments must be approved by a two--thirds (2/3) vote of the Faculty Senate with voting by ~~mail ballot~~means designated by the Chair.
- (c) Amendments shall be submitted to each Faculty Senate member for vote at least fifteen (15) calendar days prior to tabulation of ballots by a Chair designee.

10.12.2 Section 2. Effective Date

Amendments shall be effective immediately upon approval by a two-thirds (2/3) vote of the University of Oklahoma Board~~Faculty Senate~~ of Regents~~the Health Sciences Center~~.

ARTICLE XIII**10.13 ADOPTION**

This Charter shall be effective once approved by a majority of the RegularGeneral Faculty in each of the Colleges of the Health Sciences Center and approved by the Board of Regents, signed by the President of the Board and sealed by the Executive Secretary of the Board of Regents.

(This Charter was approved by the Faculty Senate 7/12/74, the General Faculty 7/25/74, and the

~~A-10 HSC FACULTY HANDBOOK~~

University Regents 7/26/74. Updated 6/25/84. Approved by the Faculty Senate 9/5/02 and the University Regents 12/3/02. Revised 11/30/05. Revised and approved by the Faculty Senate 2/24/23.

11. APPENDIX B**CHARTER OF THE GRADUATE FACULTY AND THE GRADUATE COUNCIL****ARTICLE I****11.1 NAME**

The name of this organization shall be: "The Graduate Faculty of the University of Oklahoma Health Sciences Center."

ARTICLE II**11.2 PURPOSE**

The purpose of this organization shall be:

- A. To develop, recommend, and implement policies relating to graduate education on the Health Sciences Center campus;
- B. To assist the graduate faculty in its functions of teaching, research, and public service;
- C. To promote excellence in graduate teaching and research; and
- D. To promote collaborative effort, exchange of information, and mutual understanding among graduate faculty.

ARTICLE III**11.3 MEMBERS****11.3.1 Section 1: Membership**

~~(a) Members~~

~~(a) _____ The Members of the Graduate Faculty of the Health Sciences Center are the~~Eligibility

An active graduate faculty members of the rank of instructor or above who 1) have been appointment confers Membership in the Graduate Faculty, as either a Full Member or an Associate Member. To be eligible for a graduate faculty appointment, applicants must first have an academic appointment in one of the colleges offering graduate instruction at OUHSC. Members of the Graduate Faculty are appointed to the Graduate College by action of their respective departments/programs and with the approval of the Graduate College Dean, and 2) hold a non-. A temporary graduate faculty appointment is not sufficient for either Full or Associate Membership in the Graduate College. The appointment~~Faculty.~~

~~(b) Full Members~~

Faculty with an unmodified title (assistant professor, associate professor, or professor) at the University of Oklahoma Health Sciences Center may apply for Full Membership. Full Members shall be reviewed at intervals of five years by the Graduate Faculty Appointments Committee and the Graduate Council.

~~(b)(c) Associate Members~~

The Associate Members of the Graduate Faculty of the University of Oklahoma Health Sciences Center are all other faculty who hold appointments in the Graduate College. The appointment of Associate Members shall be reviewed every three years by the Graduate Faculty Appointments Committee and the Graduate Council.

11.3.2 Section 2: Voting Rights

Full Members of the Graduate Faculty shall have full-voting rights. Each Member must declare in votes of the Graduate Faculty and when serving as voting members or voting officers of the Graduate Council. For the purposes

~~of selecting representatives and determining quorum, each Member's affiliation will be the college in which his or her vote may be cast, usually the college of his or her major of their primary academic~~ appointment. –Associate Members shall not have the right to vote.

11.3.3 Section 3: Proxy

No votes shall be cast by proxy.

ARTICLE IV

11.4 POWERS

11.4.1 Section 1: Governance Powers

The governance of graduate affairs on the Health Sciences Center campus is vested in the Graduate Faculty of the Health Sciences Center.

11.4.2 Section 2: Limits of Powers

The governance powers of the Graduate Faculty shall not abridge those of the University ~~Administration~~ administration, of the General Faculty of the Health Sciences Center, nor of the individual colleges ~~on~~ of the Health Sciences Center ~~campus~~.

11.4.3 Section 3: Exercise of Powers

The governance powers of the Graduate Faculty shall be exercised either by the Graduate Faculty or by the Graduate Council (see Article VII) acting on behalf of the Graduate Faculty.

11.4.4 Section 4: Accountability of the Council

The Graduate Council shall be subject to the ~~orders~~ direction of the Graduate Faculty. None of the Council's acts shall conflict with actions taken by the Graduate Faculty.

11.4.5 Section 5: Review of Dean's Performance

The Graduate Council shall review regularly, at intervals not exceeding five years, the performance of the Dean of the Health Sciences Center Graduate College and shall report the findings to the Senior Vice President and Provost of the Health Sciences Center.

ARTICLE V

11.5 OFFICERS

11.5.1 Section 1: Officers

The Officers of the Graduate Council shall be the Officers of the Graduate Faculty: President, Vice President, and Secretary. These officers shall perform the duties prescribed by this charter, by the parliamentary authority adopted, and by the Graduate Faculty.

11.5.2 Section 2: Selection of Officers

The Dean of the Health Sciences Center Graduate College shall serve as President of the Graduate Council. The Vice President and the Secretary shall be elected yearly by and from the representatives who compose the Graduate Council.

11.5.3 Section 3: Eligibility

No member shall hold more than one office at a time. ~~No member, except the Secretary, The Vice President~~ shall not serve more than two consecutive terms in the same office.

ARTICLE VI

11.6 MEETINGS

11.6.1 Section 1: Meetings

- (a) Meetings may be called by the Graduate Council, ~~Health Sciences Center, by or~~ the Dean of the Graduate College, or upon written petition of a total of fifteen (15) Members of the Graduate Faculty of the Health Sciences Center.
- (b) The purpose of the meeting shall be stated in the call.
- (c) All Graduate Faculty shall be notified.
- (d) Except in cases of emergency, at least ~~seven (7)~~five (5) University business days notice shall be given and the meeting shall be called within ~~thirty (30)~~twenty (20) University business days of presentation of a petition.

11.6.2 Section 2: Quorum

Twenty (20) Members of the Graduate Faculty of the Health Sciences Center, representing two or more Colleges, constitute a quorum of the Graduate Faculty, provided that no more than ten of the quorum number are from any one college.

ARTICLE VII

11.7 THE GRADUATE COUNCIL

11.7.1 Section 1: Members

- (a) The Dean of the Health Sciences Center Graduate College, who shall serve as President, ~~with and cast a tie-breaking vote on the second ballot,~~ except in matters related to his or her review the Review of Dean's Performance, as stated in Article IV, Section 5.
- (b) One student representative, elected by the Graduate Student Association.
- (c) Graduate Faculty Members, recommended by the college being represented by the Faculty Member and formally appointed by the Graduate Council:
 - (1) Representatives from each college depending on the number of Members of the Graduate Faculty in each college:

Graduate Faculty Members	Number of Representatives
1-30 <u>1-30</u>	1
31-90 <u>31-90</u>	2
91-149 <u>91-149</u>	3
≥150 <u>≥150</u>	3
151-210 <u>151-210</u>	4

- (2) Additional representatives from colleges depending on the number of graduate students enrolled in graduate programs of departments of such college:

Students	Additional Representatives
0-74 <u>0-74</u>	0
75-149 <u>75-149</u>	1

150---224	2
225---299	3
300-374	4

11.7.2 Section 2: Terms

- (a) Faculty representatives from a college shall be ~~elected by Members of the Graduate Faculty of that college,~~appointed for terms of three years.
- (b) Terms of office of members of the Graduate Council shall excluding President, be staggered. ~~Specific methods of accomplishing this shall be determined by each college.~~
- (c) No Member of the Graduate Faculty, excluding the President, shall serve more than two consecutive terms as a member of the Graduate Council.
- (d) Elections shall be held annually ~~inbetween~~ April and June. Terms shall start on July 1.
- (e) Faculty vacancies during a term shall be filled by appointment by the Graduate Council upon recommendation from the college being represented. Student vacancies shall be filled by action of the Graduate Student Association.

11.7.3 Section 3: Eligibility

~~All~~Full Members of the Graduate Faculty as defined in Article III, Section 1, are eligible to serve as Members of the Graduate Council. Associate Members of the Graduate Faculty are not eligible to serve as Members of the Graduate Council.

11.7.4 Section 4: Meetings

- (a) The Graduate Council shall typically meet at least six times each academic year and at other such times as necessary.
- (b) A quorum for meetings of the Graduate Council will be a majority of the Members defined in Section 1 of this Article.

11.7.5 Section 5: Disposition of Requests for Action

Requests from the Graduate Council for action shall be directed ~~to~~through the Dean of the Health Sciences Center Graduate College, who shall act on behalf of the Graduate Council in carrying out the request(s). The Dean, as well as the Graduate Council, shall ~~within thirty (30) calendar days~~ report in writing their disposition of any request for action or information received from the other party(ies) typically within thirty (30) calendar days. The reports will include rationale for actions taken or not taken by the Graduate Council and/or Dean.

ARTICLE VIII

11.8 COMMITTEES

11.8.1 Section 1: Standing Committees

There shall be the following standing committees of the Graduate Council: a) Curriculum Review, b) Graduate Student Appeals, c) Graduate Faculty Appointments, d) Research and Graduate Student Affairs, and e) Program Evaluation.

11.8.2 Section 2: Other Committees

There shall be other standing or special committees as the Graduate Faculty and/or the Graduate Council shall, from time to time, deem necessary to carry on the work of the Graduate Faculty.

11.8.3 Section 3: Committee Membership

~~(a)~~—Each committee shall have a Councilor as a member, with vote.

~~(b)~~(a) Each committee shall have a graduate student as a member, with vote. Such student shall be selected by the Graduate Student Association.

~~(c)~~(b) ~~All~~Full Members of the Graduate Faculty are eligible to serve on special or standing committees.

11.8.4 Section 4: Appointment of Committees

At the beginning of the academic year, the Graduate Council, with the advice of the Dean of the Health Sciences Center Graduate College ~~and of the Senior Vice President and Provost of the Health Sciences Center~~, shall appoint the committees of the Graduate Council. The Dean shall not participate in the appointment of ~~his or her~~the Dean's own review committee.

ARTICLE IX

11.9 INTER-COUNCIL LIAISON COMMITTEE

11.9.1 Section 1: Purpose

The purpose of the Inter-Council Liaison Committee shall be to exchange information between the ~~Graduate Councils on the~~ Health Sciences Center and Norman ~~campuses~~campus Graduate Councils.

11.9.2 Section 2: Composition

The representatives from the Health Sciences Center shall be the Health Sciences Center Graduate Dean and two members of the Graduate Council of the Health Sciences Center, who are selected by that Council.

11.9.3 Section 3: Meetings

The Deans of the two Graduate Colleges shall arrange for meetings of the Inter-Council Liaison Committee.

ARTICLE X

11.10 PARLIAMENTARY AUTHORITY

The rules contained in the current edition of Robert's Rules of Order, Newly Revised, shall govern the Graduate Faculty and the Graduate Council in all cases to which they are applicable and in which they are not inconsistent with this Charter nor any special rules of order ~~which~~that the Graduate Faculty may adopt.

ARTICLE XI

11.11 AMENDMENT OF THE CHARTER

11.11.1 Section 1: Amending

(a) Amendments to this Charter and ensuing by-laws may be proposed for debate at any regular or special meeting of the Graduate Faculty; at any meeting of the membership by majority vote of the members present and voting; at any meeting of the Graduate Council by majority vote of the Council members present; or by petition bearing the signature of at least fifteen (15) Members of the Graduate Faculty.

A meeting of the Graduate Faculty to discuss the proposed amendment(s) will be called by the Graduate Dean in accordance with Article VI, Section 1b, 1c, and 1d prior to any vote.

(b) Voting on proposed amendments shall be by mail ballot. To be approved, a proposed amendment requires affirmation both by two-thirds (2/3) of the Graduate Faculty voting, and, in each college, by a majority of the Graduate Faculty there voting.

- (c) Amendments shall be submitted to each Graduate Faculty member for vote at least ~~fifteen (15)~~ten (10) University business days prior to tabulation of ballots.
- (d) All amendments shall be forwarded ~~through~~to the Senior Vice President and Provost, ~~for consideration by the President.~~

11.11.2 Section 2: Effective Date

Amendments shall be effective after approval by the Senior Vice President ~~of the University of Oklahoma~~ and Provost.

ARTICLE XII

11.12 ADOPTION

This Charter shall become effective when it has been approved by a majority of the Graduate Faculty voting in each of the Colleges of the Health Sciences Center and by the Senior Vice President ~~of the University of Oklahoma~~ and Provost.

(3-2017)

12. APPENDIX C – STUDENT ACADEMIC POLICIES

C.1 ACADEMIC APPEALS POLICY AND PROCEDURES

The Academic Appeals policy is established to provide students with an appeal mechanism by which they can request a hearing before an Academic Appeals Board. An Academic Appeals Board shall be established in each college of the University 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 three-year term. Student members of the Board will be appointed for a term of one year by the dean of the college, upon recommendations from the college student association president.

It shall be the primary function of a Board, through an appointed Hearing Panel, to adjudicate appeals described below:

- 1) Appeals of an academic evaluation in a course or course component, appeals related to a thesis or dissertation defense, or appeals related to a general or comprehensive exam* in which the student alleges there was a ~~prejudiced-biased~~ or capricious evaluation by the instructor(s) or evaluator(s). For purposes of this policy, ~~bias is defined as unreasoned or unfair judgment against a person, prejudice is defined as resulting from or having a bias against.~~ Capricious is defined as not logical ~~or reasonable~~, impulsive or unpredictable.

* Any thesis, dissertation, or general or comprehensive exam appeals by a Graduate College student must be submitted to the Graduate College Dean and shall be heard by the Graduate College Appeals Board. [\[See 4.16.2 1\)\(d\)\]](#)

- 2) Appeals of suspension or dismissal under the Student Professional Behavior in an Academic Program Policy, the basis of which the student alleges is ~~prejudiced-biased~~ or capricious.
- 3) Appeals of academic program-related decisions resulting in the student being dismissed from a program or being required to repeat a semester or year, the basis of which the student alleges is ~~prejudice-biased~~ or capricious.

All students may obtain assistance in interpretation of appeals policies and procedures in their respective college student affairs office or in the Office of the Vice Provost for Academic Affairs.

Both parties shall have the right to be accompanied by a personal advisor or legal counsel throughout the hearing. Provided, however, that the faculty member may have legal counsel at the hearing only if the student does. The Hearing Panel may have its counsel present throughout the hearing, regardless of whether the parties are represented. ~~These individuals~~ advising the student or faculty member may shall not question witnesses or address the panel.

4.16.1 Academic Appeals Hearing Panel

Each Academic Appeals Hearing Panel shall generally consist of 3 faculty and 3 student members from the college's Academic Appeals Board. However, to allow flexibility for unforeseen scheduling conflicts, a minimum of 2 faculty and 2 student members shall be sufficient for a hearing to convene. If that minimum number cannot attend, the hearing date will be re-scheduled. In all instances, the membership of the Hearing Panel must remain equally balanced between faculty and students. The dean or his/her designee will appoint one of the faculty members to serve as Chair of the Hearing Panel. The Chair serves as a voting member of the panel.

4.16.2 Academic Appeals Process

All appeals under this policy must be handled according to the following processes.

- 1) **Appeals of an Academic Evaluation Related to a Course or Course Component, a Thesis or Dissertation Defense, or -a General or Comprehensive Exam:**

The responsibility for academic evaluations of students rests with the instructors or evaluators.

The sole basis for an appeal of an academic evaluation in a course or course component, or appeal related to a thesis or dissertation defense, or appeal related to a general or comprehensive exam, under the Academic Appeals Policy is an alleged ~~prejudiced~~biased or capricious evaluation by the instructor(s) or evaluator(s). The burden of proof shall be upon the student, who must establish by a preponderance of the evidence (i.e., more likely than not) that the evaluation was ~~prejudiced~~biased or capricious. The Academic Appeals Board is not the forum for other grievances related to a course or academic assignment (e.g., disappointment in a grade or dissatisfaction with the instructor or the course). Such matters should be discussed with the department chair or college dean.

The appeal process includes an informal resolution procedure as well as a procedure for formal appeal to the Academic Appeals Board. If a student feels he or she has received a ~~prejudiced~~biased or capricious evaluation by an instructor or evaluator, the student must first seek an informal resolution through the process noted in (a) and (b) below. **Note: Graduate student appeals related to a thesis or dissertation defense or general or comprehensive exam skip to the process noted in (d) below.**

- (a) **Conference with the Instructor or Evaluator:** The student shall set forth his or her allegation of a ~~prejudiced~~biased or capricious evaluation in a written statement that details the circumstances giving rise to the allegation and provide the statement to the instructor or evaluator. A conference between the student and instructor or evaluator shall be held in an attempt to discuss and resolve the matter per the following timeline.

- (1) **Timeline:** In cases of an evaluation made known to a student during the term, the student must provide the detailed written statement above, notifying the instructor or the evaluator of the dispute over the academic evaluation, and must attempt to resolve differences no later than 10 University business days after the results of the evaluation are made known to the student. In cases of end-of-term evaluations, the student must provide the detailed written statement above, notifying the instructor or evaluator of the dispute over the 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.

- (b) **Conference with the Department Chair:** If the dispute is not resolved to the satisfaction of the student after the conference with the instructor or evaluator, the student must attempt to resolve the matter with the department chair. (In those instances in which the complaint is against the department chair as the instructor or evaluator, references to the “department chair” shall refer to the dean.)

- (1) **Timeline:** The student must request a meeting with the department chair within 10 University business days of the student’s meeting with the instructor or evaluator. The department chair must be given a copy of the detailed written statement provided to the instructor or evaluator pursuant to subsection (a) above.

As part of this informal resolution process, the department chair will: 1) meet with the student and consider the information contained in the detailed written statement provided by the student; 2) remind the student that the responsibility for academic evaluation rests with the instructor or evaluator; 3) explain that the appeal must be based on an articulated ~~prejudiced~~biased or capricious action of the instructor or evaluator; 4) confer with the instructor or evaluator, if deemed necessary; 5) attempt to resolve the matter; and 6) advise the student about the academic appeals process and procedures if there is no resolution and the student decides to request a hearing on the matter. The chair should make no statement about whether the matter should go to a hearing or whether a hearing will be granted.

- ~~(b)~~(c) **Request for a Hearing:** If the dispute is not resolved to the satisfaction of the student after the conference with the department chair, then the student may request a hearing on such matter, through the dean ~~(In those instances in which complaint is against the dean as the instructor, references to the “dean” shall refer to the Vice Provost for Academic Affairs)~~ of the college offering the course. ~~(In those instances in which complaint is against the dean as the instructor, references to the “dean” shall refer to the Vice Provost for Academic Affairs).~~ Any thesis, dissertation, or comprehensive exam appeal by a Graduate College student shall be heard by the Graduate College Appeals Board. [See 4.16.2 1)(d)]

If a student failed to notify an instructor or evaluator or department chair or failed to attempt resolution within the timelines above, the dean shall deny any request for a hearing unless, in the view of the dean, 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).

- (1) **Timeline:** The student shall make a written request to the dean for a hearing within 10 University business days following the day when the attempts at resolution in paragraph (b) above is completed. The Dean must be provided a copy of the detailed written statement provided to the instructor pursuant to subsection (a) above.

The filing of a written request for a hearing related to graduate student appeals of a thesis or dissertation defense or a general or comprehensive exam shall be made to the Graduate College Dean within 10 University business days following the day the graduate student was notified of the evaluation.

The dean shall deny any request for a hearing that does not meet the deadline in subsection (a) above unless, in the view of the dean 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). Furthermore, if in the judgment of the dean the case does not meet the criteria for appeal the dean may refuse the student a hearing.

- (2) **Selection of a Hearing Panel and Chair:** Upon receiving notice of a student's request for a hearing, if the dean determines that the timelines have been met and that the student's allegation meets the criteria for appeal, the dean or his/her designee shall schedule a Hearing Panel selected randomly from the college's Academic Appeals Board. The dean or his/her designee will appoint one of the faculty members to serve as Chair of the Hearing Panel.
- (3) **Prior to the Hearing:** The Chair of the Hearing Panel will notify the student and the instructor or evaluator in writing and request, by a date determined by the Chair, the following documentation:

(1) A list of proposed witnesses to be called

(2) A copy of the written statement provided to the instructor, and

(1)(3) a brief summary of the testimony of each proposed witness (including the instructor and the student)

(2)(4) Two copies of the exhibits proposed to be presented

Once the documentation has been received by the Chair, each party will be provided with the other party's documentation and given an opportunity to make objections, per the Chair's instructions. The Chair, in consultation with Legal Counsel, will determine the relevance of submitted documents based on pertinence to the student allegation of bias or capriciousness.

a. Hearing Procedures

1. The Chair of the Hearing Panel shall obtain a copy of the Hearing Guide for the Academic Appeals Hearing Panel from the Office of the Vice Provost for Academic Affairs.
2. The Chair of the Hearing Panel shall preside at the hearing, keep order throughout the hearing process, exercise control over the hearing for efficiency and relevancy, and determine all relevant timelines including the extension of any such timelines.
3. The Chair of the Hearing Panel will notify the student and the instructor or evaluator in writing of the applicable hearing procedure, the date and location of the hearing, and all relevant timelines.
4. Meetings of the Hearing Panel, including the hearing, are closed to the public

The student and then the instructor or evaluator will be allowed to give a five-minute opening statement and a five-minute closing statement. After the opening statements, the Hearing Panel shall provide the parties an opportunity to present their respective positions, including the presentation of pertinent documentary evidence and witness testimony. Each party shall be given the opportunity to cross-examine witnesses presented by the other. The Hearing Panel may also directly question any witnesses and will consider any relevant documents presented.

- (1) The Hearing Panel will make determinations about the facts and the credibility of witnesses and determine by majority vote whether the student has proven by a preponderance of the evidence that the academic evaluation was ~~prejudiced~~biased or capricious.
- (2) In the event of a tie vote, the finding will be that the student did not meet the burden to prove by majority vote that there was a ~~prejudiced~~biased or capricious evaluation.

~~(j)~~The instructor's or evaluator's grade, or assessment, will not become final until the appeal is concluded or is withdrawn by the student. In cases where the student proves there was a ~~prejudiced~~biased or capricious evaluation, the instructor(s) or evaluator(s) will re-evaluate the student's performance in the course, or in the thesis or dissertation defense or general or comprehensive exam, whichever was appealed, according to the applied criteria. ~~The student's dean has the responsibility to confirm that the appropriate evaluation is recorded on official student records, or that re-evaluation has occurred in the case of thesis or dissertation defense or general or comprehensive exam appeals~~

~~(j)(i)~~ _____

~~(k) Meetings of the Hearing Panel, including the hearing, are closed to the public.~~

~~(j)(i)~~ In cases involving an evaluation related to a course or course component, the decision of the Hearing Panel (i.e., the evaluation was or was not proven to be ~~prejudiced~~biased or capricious) shall be communicated in writing to the dean of the college, who shall notify the student's dean (if different), the student, the instructor or evaluator, and the Vice Provost for Academic Affairs. ~~The student's dean has the responsibility to confirm that the appropriate evaluation is reported to the Registrar and recorded on official student records, or that re-evaluation has occurred in the case of thesis or dissertation defense or general or comprehensive exam appeals~~

~~(m)(k)~~ The findings and recommendations of the Hearing Panel shall be final and not appealable within the University unless the student submits written evidence to the Senior Vice President and Provost of (1) manifest procedural irregularities that effectively denied the student a fair hearing; (2) new and significant evidence that could not have been discovered by a reasonably diligent student before or during the original hearing; or (3) probable inequity in the disposition of the matter.

Harmless deviations from prescribed procedures may not be used to invalidate the finding or proceeding. Technical departures from these procedures and errors in their application shall not be grounds to overturn the Hearing Panel's finding unless, in the opinion of the Senior Vice President and Provost, the technical departure or errors prevented a fair determination of the issues.

~~(n)(l)~~ Appeals of the Hearing Panel's Findings

Appeals, on the basis of ~~(l)~~ (1), (2), or (3) above, shall be made in writing to the Senior Vice President and Provost within 10 University business days of the time such grounds for appeal are discovered or should have been discovered. Consideration of 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 the Senior Vice President and Provost deems appropriate.

In all cases, the President and the Board of Regents reserve the right to review, at their discretion, the decision of the Senior Vice President and Provost for manifest error or inequity.

2) Appeals Under the Student Professional Behavior in an Academic Program Policy

- (a) Students who are suspended or dismissed due to violations of the Student Professional Behavior in an Academic Program Policy may request a hearing under the Academic Appeals Policy according to the procedures noted herein. The sole basis for an appeal under the Student Professional Behavior in an Academic Program Policy is alleged ~~prejudice-bias~~ or capriciousness in the suspension or dismissal decision or action. The burden of proof shall be upon the student, who must establish by a preponderance of the evidence (i.e., more likely than not) that the suspension or dismissal was ~~prejudiced/biased~~ or capricious. A student may not appeal an action taken simply because he/she does not agree with it.
- (b) **Timeline:** A hearing request must be made within 10 University business days following the day when the student was notified of the suspension or dismissal. Appeals related to violations of the Student Professional Behavior in an Academic Program Policy are handled according to the procedures noted below.
- (c) **Request for a Hearing:** The student shall make a written request for a hearing to the Senior Vice President and Provost, within 10 University business days following the day when the student was notified of the suspension or dismissal. The student shall set forth his or her allegation of a biased or capricious decision to suspend or dismiss in a written statement that articulates the circumstances giving rise to the allegation and will provide the statement with the hearing request. The Senior Vice President and Provost shall deny any request for a hearing that does not meet the request deadline unless, in the view of the Senior Vice President and Provost, 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). Furthermore, if in the judgment of the Senior Vice President and Provost, the case does not meet the criteria for appeal, the Senior Vice President and Provost may refuse the student a hearing
- ~~(d) The Senior Vice President and Provost shall deny any request for a hearing that does not meet this deadline unless, in the view of the Senior Vice President and Provost, 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). Furthermore, if in the judgment of the Senior Vice President and Provost, the case does not meet the criteria for appeal the Senior Vice President and Provost may refuse the student a hearing.~~
- ~~(e)(d)~~ **Selection of a Hearing Panel and Chair:** Upon receiving notice of a student's request for a hearing, if the Senior Vice President and Provost determines that the deadline has been met and the request meets the criteria for appeal, the Senior Vice President and Provost or his/her designee shall select members (see 4.16.2) and schedule a Hearing Panel selected randomly from the college's Academic Appeals Board. The Senior Vice President and Provost or his/her designee will appoint one of the faculty members to serve as Chair of the Hearing Panel. The Chair of the Hearing Panel is a voting member.
- ~~(f)(e)~~ **Prior to the Hearing:** The Chair of the Hearing Panel will notify the student and the Dean in writing and request, by a date determined by the Chair, the following documentation:
- (1) A list of proposed witnesses to be called,
 (2) A copy of the allegation provided with the hearing request, and
~~(1)(3)~~ a brief summary of the testimony of each proposed witness
- ~~(2)(4)~~ tTwo copies of the exhibits proposed to be presented.
- ~~(3)(5)~~ Once the documentation has been received by the Chair, each party will be provided with the other party's documentation and given an opportunity to make objections, per the Chair's instructions.
- ~~(g)(f)~~ **Hearing Procedures**
- (1) The Chair of the Hearing Panel shall obtain a copy of the Hearing Guide for the Academic Appeals Hearing Panel from the Office of the Vice Provost for Academic Affairs.

(2) The Chair of the Hearing Panel shall preside at the hearings, to keep order throughout the hearing process, to exercise control over the hearing for efficiency and relevancy, and to determine all relevant timelines including the extension of any such timelines.

~~(3)~~ The Chair of the Hearing Panel will notify the student and the dean, who shall act as the respondent in appeals under the Student Professional Behavior in an Academic Program Policy, of the applicable hearing procedure, the date and location of the hearing, and all relevant timelines.

~~(4) (i) Meetings of the Hearing Panel, including the hearing, are closed to the public.~~

~~(3)(5)~~ The student and then the respondent will be allowed to give a five-minute opening statement and a five-minute closing statement. After the opening statements, the Hearing Panel shall provide the parties an opportunity to present their respective positions, including the presentation of documentary evidence and witness testimony. Each party shall also be given the opportunity to cross-examine witnesses presented by the other. The Hearing Panel may also directly question any witnesses and will consider any relevant documents presented.

~~(4)(6)~~ The Hearing Panel will make determinations about the facts and the credibility of witnesses and determine by majority vote whether the student has proven by a preponderance of the evidence that the suspension or dismissal was ~~prejudiced~~biased or capricious.

~~(5)(7)~~ In the event of a tie vote, the finding will be that the student did not meet the burden to prove by majority vote his or her claims that there was a ~~prejudiced~~biased or capricious decision to dismiss or suspend the student.

(h) The decision to suspend or dismiss will not become final until the appeal is concluded or is withdrawn by the student. In cases where the student proves there was ~~prejudice~~bias or capriciousness in the suspension or dismissal decision or action, the student shall be reinstated to the program under such terms and conditions as in effect at the time of the decision or action.

~~(i) Meetings of the Hearing Panel, including the hearing, are closed to the public.~~

(j) In cases involving Student Professional Behavior in an Academic Program, the Hearing Panel will transmit in writing its finding to the Senior Vice President and Provost, who shall notify the dean of the college, the student's dean (if different), the student, and the Vice Provost for Academic Affairs.

(k) The findings of the Hearing Panel shall be final and not appealable within the University unless the student submits written evidence to the Senior Vice President and Provost of (1) manifest procedural irregularities that effectively denied the student a fair hearing; (2) new and significant evidence that could not have been discovered by a reasonably diligent student before or during the original hearing, or (3) probable inequity in the disposition of the matter. Harmless deviations from prescribed procedures may not be used to invalidate the finding or proceeding. Technical departures from these procedures and errors in their application shall not be grounds to overturn the Hearing Panel's finding 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.

(l) **Appeals of the Hearing Panel's Findings**

Appeals, on the basis of **(k) (1), (2), or (3)** above, shall be made in writing to the Senior Vice President and Provost within 10 University business days of the time such grounds for appeal are discovered or should have been discovered. Consideration of 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 the Senior Vice President and Provost deems appropriate.

In all cases, the President and the Board of Regents reserve the right to review, at their discretion, the decision of the Senior Vice President and Provost for manifest error or inequity.

3) Appeals of Academic Program-Related Decisions

- (a) Students who are dismissed from a program or required to repeat a semester or year may request a hearing under the Academic Appeals Policy according to the procedures noted herein. The sole basis for an appeal of an academic program-related decision is alleged ~~prejudice-biased~~ or capriciousness in the dismissal or requirement to repeat. The burden of proof shall be upon the student, who must establish by a preponderance of the evidence (i.e., more likely than not) that the dismissal or requirement to repeat a semester or year was ~~prejudicedbiased~~ or capricious. A student may not appeal an action taken simply because he/she does not agree with it.
- (b) **Timeline:** The student shall make a written request for a hearing within 10 University business days following the day when the student was notified of the academic program-related decision. Appeals related to academic program-related decisions are handled according to the procedures noted below.
- (c) ~~The student shall make a written request for a hearing~~ **Request for a Hearing:** The student shall make a written request for a hearing to the Senior Vice President and Provost within 10 University business days following the day when the student was notified of the academic program related decision. The student shall set forth his or her allegation that the dismissal or requirement to repeat a semester or year was biased or capricious in a written statement that details the circumstances giving rise to the allegation and will provide the statement to with the request to the Senior Vice President and Provost.
- (d) The Senior Vice President and Provost shall deny any request for a hearing that does not meet this deadline unless, in the view of the Senior Vice President and Provost, 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). Furthermore, if in the judgment of the Senior Vice President and Provost, the case does not meet the criteria for appeal, the Senior Vice President and Provost may refuse the student a hearing.
- (e) **Selection of a Hearing Panel and Chair:** Upon receiving notice of a student's request for a hearing, if the Senior Vice President and Provost determines that the deadline and criteria for appeal have been met, the Senior Vice President and Provost or his/her designee shall schedule a Hearing Panel selected ~~randomly~~ from the college's Academic Appeals Board (see 4.16.2). The Senior Vice President and Provost or his/her designee will appoint one of the faculty members to serve as Chair of the Hearing Panel. The Hearing Panel Chair serves as a voting member.
- (f) **Prior to the Hearing:** The Chair of the Hearing Panel will notify the student and the Dean in writing and request, by a date determined by the Chair, the following documentation:
- (1) A list of proposed witnesses to be called and a brief summary of the testimony of each proposed witness.
- ~~(4)~~(2) A copy of the student's statement alleging that the dismissal, or requirement to repeat a semester or year was biased or capricious,
- ~~(2)~~(3) Two copies of the exhibits proposed to be presented
- Once the documentation has been received by the Chair, each party will be provided with the other party's documentation and given an opportunity to make objections, per the Chair's instructions.
- (g) **Hearing Procedures**
- (1) The Chair of the Hearing Panel shall obtain a copy of the Hearing Guide for the Academic Appeals Hearing Panel from the Office of the Vice Provost for Academic Affairs.

(2) The Chair of the Hearing Panel shall preside at the hearings, to keep order throughout the hearing process, to exercise control over the hearing for efficiency and relevancy, and to determine all relevant timelines including the extension of any such timelines.

~~(3)~~ The Chair of the Hearing Panel will notify the student and the dean, who shall act as the respondent in appeals related to academic program-related decisions of the applicable hearing procedure, the date and location of the hearing, and all relevant timelines.

~~(4) — (i) — Meetings of the Hearing Panel, including the hearing, are closed to the public.~~

~~(3)(5)~~ The student and then the respondent will be allowed to give a five-minute opening statement and a five-minute closing statement. After the opening statements, the Hearing Panel shall provide the parties an opportunity to present their respective positions, including the presentation of documentary evidence and witness testimony. Each party shall also be given the opportunity to cross-examine witnesses presented by the other. The Hearing Panel may also directly question any witnesses and will consider any relevant documents presented.

~~(4)(6)~~ The Hearing Panel will make determinations about the facts and the credibility of witnesses and determine by majority vote whether the student has proven by a preponderance of the evidence that the academic-program related decision was ~~prejudiced~~biased or capricious.

~~(5)(7)~~ In the event of a tie vote, the finding will be that the student did not meet the burden to prove by majority vote his or her claims that there was a ~~prejudiced~~biased or capricious decision.

(h) In cases where the student proves there was ~~prejudice~~bias or capriciousness in the academic program-related decision, the student shall be reinstated (if dismissed) or the requirement to repeat a semester or a year will be withdrawn. The student shall be reinstated under such terms and conditions as were in effect at the time of the decision.

~~(i) Meetings of the Hearing Panel, including the hearing, are closed to the public.~~

(j) The Hearing Panel will transmit in writing its finding to the Senior Vice President and Provost, who shall notify the dean of the college, the student's dean (if different), the student, and the Vice Provost for Academic Affairs.

(k) The findings of the Hearing Panel shall be final and not appealable within the University unless the student submits written evidence to the Senior Vice President and Provost of (1) manifest procedural irregularities that effectively denied the student a fair hearing; (2) new and significant evidence that could not have been discovered by a reasonably diligent student before or during the original hearing, or (3) probable inequity in the disposition of the matter.

Harmless deviations from prescribed procedures may not be used to invalidate the finding or proceeding. Technical departures from these procedures and errors in their application shall not be grounds to overturn the Hearing Panel's finding unless, in the opinion of the Senior Vice President and Provost, the technical departure or errors prevented a fair determination of the issues.

(l) **Appeals of the Hearing Panel's Findings**

Appeals, on the basis of (k) (1), (2), or (3) above, shall be made in writing to the Senior Vice President and Provost within 10 University business days of the time such grounds for appeal are discovered or should have been discovered. 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 the Senior Vice President and Provost deems appropriate.

In all cases, the President and the Board of Regents reserve the right to review, at their discretion, the decision of the Senior Vice President and Provost for manifest error or inequity.

(Regents, 6-19-16, 1-26-99, 12-3-02, 6-25-08, 12-11-11, 12-7-12, 1-24-13, 9-14-17)

C.2 ACADEMIC MISCONDUCT CODE

This Code applies to students, former students, and graduates

12.1 ACADEMIC MISCONDUCT

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, including unpermitted and/or unattributed use of artificial intelligence tools;
- (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.

12.2 REPORTING ACADEMIC MISCONDUCT

12.2.1 WHO MAY FILE

Any University administrative, faculty, or staff member may bring a complaint of academic misconduct by submitting a written report as provided hereafter. Students who identify an act of academic misconduct should report that act, in writing, within 10 University business days of discovery, to an administrative, faculty, or staff member so that a complaint may be forwarded to and filed by the instructor of the course involved.

12.2.2 INVESTIGATION OF MISCONDUCT

Before imposing a grade penalty ~~or filing a complaint of academic misconduct,~~ the faculty or staff member ~~may shall~~ initiate a preliminary inquiry to determine whether the incident meets the definition of misconduct under **Section 12.1**. During the course of this inquiry, the faculty or staff member may discuss the matter with the student suspected of misconduct.

12.2.3 FACULTY MEMBER ELECTS TO RECOMMEND ADMONITION

12.2.3.1 A faculty member may conclude that an incident that meets the definition of misconduct under **Section 12.1** nevertheless merits an admonition rather than a disciplinary sanction as defined in **Section 12.5**. In particular, a faculty member might conclude (but is not required to conclude) that the incident is more appropriately treated as an instructional rather than a disciplinary matter. When the faculty member concludes that an admonition is the more appropriate action, the faculty member may elect to reduce a student's grade and/or require additional, remedial academic work, as stated in the course syllabus, without first filing a charge of academic misconduct, subject to the following limitations and conditions:

- (a) **NOTE: Scope and Timeframe Limits:** The admonition option is intended for assignments and examinations that do not involve a semester-long activity and when the incident in question is not of an egregious nature. The faculty member may not use the admonition option for an incident of misconduct on a final examination, a term paper or project, an examination that determines the status of graduate students (e.g. qualifying, candidacy, general, comprehensive and certification examinations and defenses of theses and dissertations), a master's thesis, or a doctoral dissertation;
- (b) **Grade Penalty Limits:** A faculty member who elects to use the admonition option may impose no grade reduction greater than loss of all credit for the assignment at issue, ~~U~~ unless otherwise specified in the course syllabus. Provided, however, in no event shall a student receiving an admonition receive a grade penalty of F or U for the course; and,
- (c) **Admonition Requirements and Timeline:** A faculty member who elects to use the admonition option must do the following within 10 University business days after discovery of the incident, and before imposing the grade reduction or other requirement:
 - 1) inform the student of the nature of and basis for the misconduct;
 - 2) give the student an opportunity to explain;
 - 3) inform the student of the intent to recommend admonition to the Vice Provost for Academic Affairs, admonish the student and explain the grade reduction or other requirement to be imposed;
 - 4) where appropriate, instruct the student to resolve any confusion the student may have had regarding what constitutes proper academic conduct; and
 - 5) inform the student how to appeal the decision. Notice of procedures for appeal shall be provided in writing; such notice shall be presumed adequate if provided in the course syllabus with a reference to this policy on the consequences of accepting the admonition and the procedures for appeal.
 - 6) The student may contest the admonition by contacting the Vice Provost for Academic Affairs within ten (10) University business days from the date of the instructor's notice to the student and scheduling a meeting as provided below in **Section 12.3**.

- 12.2.3.2 **Notification about a Misconduct Allegation:** The faculty member shall notify their dean in writing of the incident and the recommendation for admonition, ~~ordinarily~~ within 10 University business days of discovery of the incident. The dean shall forward notice of the incident to the student's dean, if different, and to the Vice Provost for Academic Affairs, ~~ordinarily~~ within 10 University business days of receipt of notice from the faculty member. Following consultation with the faculty member's dean and the student's dean, the Vice Provost for Academic Affairs shall notify the faculty member and the student whether the recommendation for admonition is accepted.
- 12.2.3.3 Unless the Vice Provost for Academic Affairs imposes a disciplinary sanction as described in **Section 12.5**, a student who accepts an admonition and resulting grade reduction under this subsection shall not be deemed to have admitted guilt for an act of academic misconduct; provided, the record of the admonition may be used in any subsequent academic misconduct proceeding, as appropriate, to establish the student's prior familiarity with the fundamental rules of academic integrity.
- 12.2.3.4 In cases of repeated offenses or otherwise as appropriate, the Vice Provost for Academic Affairs may announce a disciplinary sanction as provided in **Section 12.5**. Prior to imposing such a sanction, the Vice Provost for Academic Affairs shall send notice to the student, ordinarily within 10 University business days of receipt of notice of repeated offense(s) from the student's dean but in no case more than ~~45-30~~ University business days after discovery of the incident. Notice of the Vice Provost for Academic Affairs intent to impose a sanction shall be treated as a "complaint" for purposes of notice and hearing as provided in **Sections 12.3 and 12.4** of this Code. The disciplinary sanction shall not be imposed until the student is permitted the opportunity to respond as provided in **Sections 12.3 and 12.4** of this Code.

12.2.4 FACULTY MEMBER ELECTS TO FILE A CHARGE OF ACADEMIC MISCONDUCT

12.2.4.1 Notification of Dean

The individual bringing the complaint of academic misconduct must notify the dean in writing with a brief description of the evidence 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 who discovers an incident in a particular course, ~~he or she~~ must notify ~~his or her~~ the dean with a brief description of the evidence ~~(and notify as well as the student's dean, if different,)~~ and impose a grade penalty as noted below. A faculty member 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 recommended~~ additional penalties to the extent of denying credit in the course. The faculty member's grade sanctions ~~and any recommended additional penalties~~ will not become final until the student is found guilty by the Academic Misconduct Board, defaults, or admits the charges. The student's dean has the responsibility to confirm that the appropriate grade is reported to the Registrar and recorded on official student records.
- (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, the dean of the accused student shall be notified. If no particular class is involved (e.g., submission of a falsified application), the Vice Provost for Academic Affairs shall be notified.

12.2.4.2 Notification of the Student

The student's dean shall initiate academic misconduct procedures against the student. The dean shall (1) notify the student in writing of the charge of academic misconduct, (2) describing the alleged act and the grade penalty and any additional penalties recommended determined by the instructor, if a course is involved, and (3) inform of the student about the 's-right to request a hearing. Notice shall be provided to by serving the student either in person, or by mail to the last address provided to the University, or to the student's University email address if the student is enrolled. The dean shall simultaneously send notification to the Vice Provost for Academic Affairs.

Enrollment status: 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 student code proceedings are ongoing.

12.3 CONFERENCE WITH VICE PROVOST FOR ACADEMIC AFFAIRS

Within five University business days of the date of the Dean's notification letter, 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 penalties 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. Failure to submit a written request 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 disciplinary sanctions, if any. Provided, however, that if the student admits to the charges but wants to confer with the dean, the student may or to submit a written statement concerning the charge and any related extenuating circumstances that may, by the dean's consideration, affecting the imposition of disciplinary sanctions. ~~The student may provide a statement and request to confer 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 a 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~~ the dean's discretion, may terminate the case.

12.4 HEARING

12.4.1 Academic Misconduct Boards

Each college shall establish an Academic Misconduct Board (AMB). Membership of the AMB for a hearing 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.

An AMB hearing panel, consisting of two students and three members of that college's faculty, will be selected to hear each case. The dean of the college shall appoint an additional faculty member from the AMB to serve as the hearing panel chair. The chair who shall be a nonvoting member of the six-member hearing panel.

Responsibilities of the Hearing Panel Chair: The chair is responsible the AMB and to be responsible for the board's administrative matters, including scheduling of the hearing cases, notification to hearing participants, of hearings notification of hearing panel and decisions, and dispensation of hearing related maintenance of records.

~~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.~~

12.4.2 Selection of AMB ~~to Hear the Appeal~~ Hearing Panel

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.

12.4.3 Scope of Hearing

The ~~Board~~ AMB Hearing Panel will consider the information and arguments presented, make findings of facts of matters in dispute, and determine whether, by a preponderance of the evidence, the student did engage in the alleged act.

Students who elect to have legal counsel representation at the hearing shall furnish the name of such counsel, when identified, but no later than ten University business days before the hearing to the dean and the chair of the AMB.

~~The Board will also hear any evidence and argument by the parties~~ may present to the panel relevant evidence and argument concerning extenuating circumstances that may affect decisions about what disciplinary actions might be imposed. The Panel and may will make recommendations to the dean concerning disciplinary sanctions. (Section 12.5)

12.4.4 Hearing Procedures

- (a) ~~Each AMB~~ The Chair, in consultation with the panel members Legal Counsel, shall ~~establish~~ use the procedures to be followed for the hearing.
- (b) The Chair will advise request, p ~~Prior to the hearing, that~~ each party of the deadlines for furnishing shall furnish to the other party a list of witnesses to be called, including a brief description of expected testimony, and copies of exhibits to be used at the hearing, as requested by the AMB chair. The chair will provide these documents to the parties.
- 7) ~~Students who elect to have legal counsel representation at the hearing shall furnish the name of such counsel, when identified, but no later than ten University business days before the hearing to the dean and the chair of the AMB.~~
- (c) The Chair will distribute W ~~written~~ notification of a hearing ~~must be distributed~~ to the parties involved at least ten University business days in advance of the hearing date. Written notification, and must ~~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 University business days prior to the hearing.
- ~~(5)(6) The hearing will be closed to the public and shall be confidential.~~

(e) Students who fail to appear after ~~proper~~ notice will be deemed to have admitted to the charges against them.

~~(h) Hearings shall be closed to the public and shall be confidential.~~

(f) Hearings shall be ~~tape~~ recorded or transcribed.

12.4.5 Responsibilities of Hearing Participants

1. Principals in the Case: (a) The burden of proof shall be upon the complainant, who must establish the guilt of the student by a preponderance of the evidence. (b) Principals in the case shall have opportunity to question witnesses and present information and argument deemed relevant by the AMB Chair.

~~2. Witnesses:~~ (a) Witnesses shall be asked to affirm that their testimony is truthful. (b) Prospective witnesses other than the complainant and the student are excluded from the hearing during the testimony of other witnesses. (c) All parties, witnesses, and the ~~public~~ principals in the case shall be excluded during AMB deliberations.

~~Witnesses shall be asked to affirm that their testimony is truthful.~~

~~(j) The burden of proof shall be upon the complainant, who must establish the guilt of the student by a preponderance of the evidence.~~

~~(l) 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.~~

~~(l) 3. Hearing Panel Members:~~ Formal rules of evidence shall not be applicable in these proceedings. ~~(1) The chair of each the AMB Hearing Panel shall give effect to the privileges recognized by law. (2) 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 at least five University business days prior to the hearing.~~

~~(k)(i)~~

~~(c) 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.~~

~~(d) Principals in the case shall have reasonable opportunity to question witnesses and present information and argument deemed relevant by the AMB.~~

(m) (3) Final decisions of all the AMB Hearing Panels concerning guilt or innocence and recommendations to the student's dean regarding disciplinary 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 with the Chair to convey with the majority report.

12.4.5 Findings of AMB

- (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 finding 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 student's dean shall notify the student and the Vice Provost for Academic Affairs in writing of the decision of the AMB and the dismissal of the charges within ten university business days after receiving the AMB decision. The matter is then ended, and the grade is recorded appropriately. It is the responsibility of the dean to ensure that the grade is properly record in the student record and provided to the Registrar. The AMB record of the case shall be destroyed by the chair of the AMB Panel 20 University business days after transmittal of the ~~decision~~finding.
- (b) 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 (See 12.5). The AMB Panel Chair will transmit the ~~is~~ finding and recommendations ~~must be transmitted~~ to the student's dean, along with the recording of the hearing, and to the Vice Provost for Academic Affairs in writing within five University business days of the conclusion of the hearing. The student's dean shall notify the student and the Vice Provost for Academic Affairs 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 student's dean shall end the process.

12.5 DISCIPLINARY SANCTIONS

12.5.1 Additional Recommendation of Disciplinary Sanctions

The AMB Hearing Panel may recommend to the student's dean 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 it 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 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.

- (d) Dismissal – If a student is reinstated after a dismissal, it is only after a complete reconsideration of his or her case by the Senior Vice President and Provost.

(e) ~~Expulsion~~ – Termination of student status for an indefinite period, intended to be permanent. A permanent notation of expulsion for academic misconduct shall be made on the student's transcript. Such notation shall be permanent.

(1) ~~_____~~

(2) ~~Expulsion~~ – Termination of student status for an indefinite period, intended to be permanent. A permanent notation of expulsion for academic misconduct shall be made on the student's transcript. Such notation shall be permanent. If a student is reinstated after an expulsion, it is only after a complete reconsideration of his or her case by the Senior Vice President and Provost.

12.5.2 Determination of Disciplinary Sanction

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.

12.6 APPEALS

Decisions regarding the facts and the disciplinary sanction 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 in writing, to the Senior Vice President and Provost; 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 given 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 or she 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 sanctions 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 reserve the right to review, at their discretion, any decision of a hearing body for manifest error or inequity.

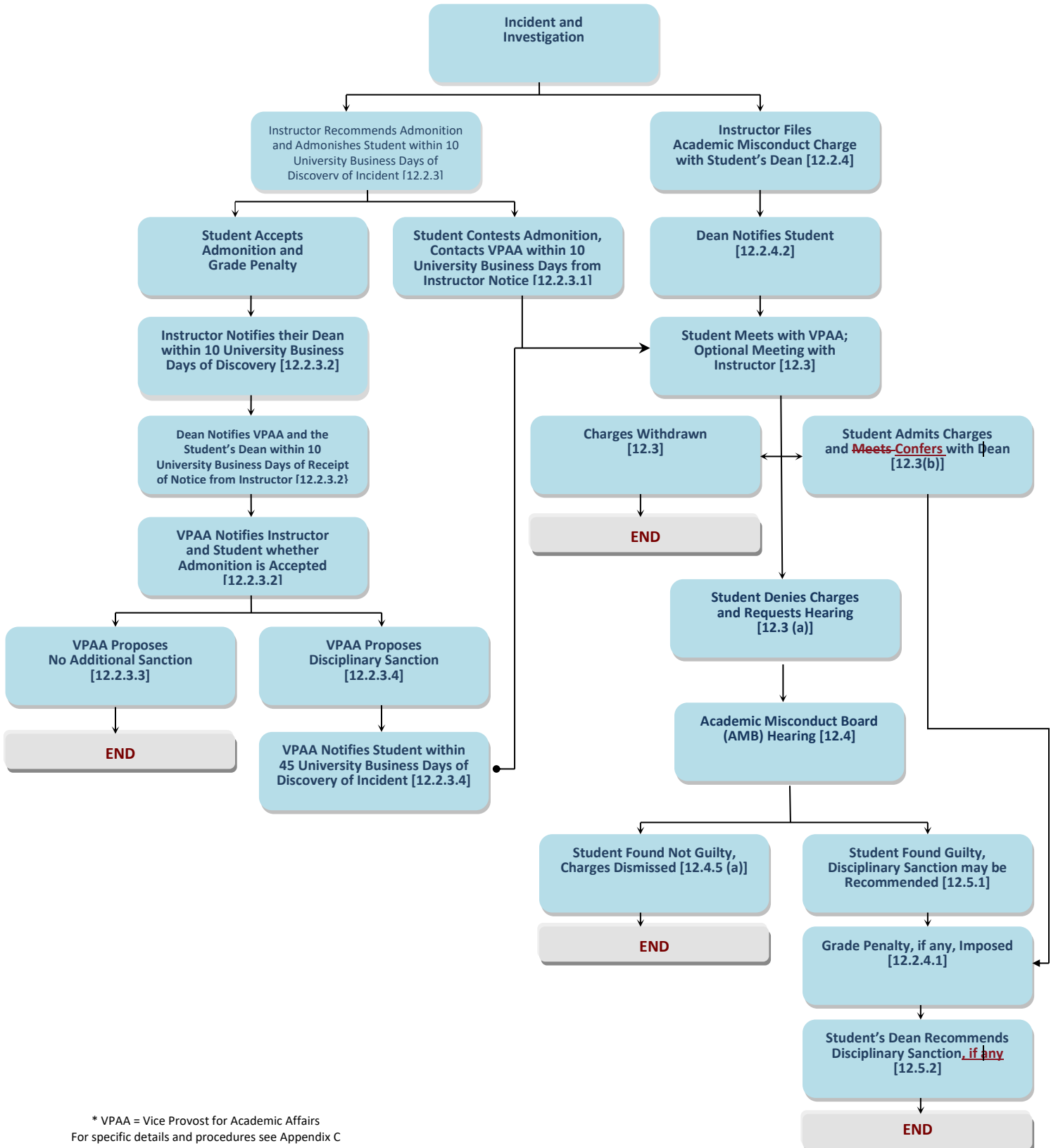
(Regents, 6-9-98, 1-26-99, 12-3-02, 6-25-08)

12.7 ACADEMIC MISCONDUCT IN OFF-CAMPUS OR ONLINE COURSES

The principles of academic integrity, due process, and confidentiality apply fully in all courses offered by any ~~Health Sciences Center~~ academic unit. When an allegation of academic misconduct arises in a course in which instruction is primarily given or received in a place, or through a delivery mode, other than geographically co-located with the academic unit, the Health Sciences Center campus, procedures shall be employed ~~which that~~ are consistent with those in Section 12 to protect the rights of all parties as provided by law and University policy. The definition of academic misconduct in such classes and the procedure for filing a charge, notification, hearing, appeal, and sanction shall be the same as those ~~for the Health Sciences Center campus, as~~ cited in Section 12. All travel and related costs shall be borne by the student.

(Regents, 6-25-08)

**OUTLINE OF ACADEMIC MISCONDUCT PROCEDURES
HEALTH SCIENCES CENTER**



* VPAA = Vice Provost for Academic Affairs
For specific details and procedures see Appendix C

C.3 STUDENT PROFESSIONAL BEHAVIOR IN AN ACADEMIC PROGRAM POLICY HEALTH SCIENCES CENTER

The University of Oklahoma Health Sciences Center (OUHSC) strives to attract, matriculate, and train health professions and public health, biomedical, and pharmaceutical sciences graduate students (hereinafter referred to as ~~OUHSC~~ students) who ~~not only~~ possess the intellectual capacity for health professions and graduate study ~~but and~~ also have a high capacity for ethical and professional behavior. Since training in ethical and professional behavior is an integral part of training in the health professions, conduct during training is an academic issue. Professionalism is one critical cornerstone of a successful academic program, just as it is a cornerstone of the responsible conduct of research, maintaining integrity and compassion in the delivery of health care, and building a collegial and conscientious health professions team.

Circumstances may arise during a student's course of study that call into question the capacity or commitment of the student to maintain this academic standard. As such, the colleges and training programs retain the responsibility and authority to determine a student's fitness to continue in the program of study.

The process of transitioning from a student to a health care professional or scientist requires study, self-reflection and self-management on the part of learners. Ethical and professional behaviors are critical to the effective education of OUHSC students, and are considered a core competency in the academic program, and, thus, are a key factor in academic good standing. When a student accepts an offer of admission into OUHSC a health sciences programs, he or she commits to comply with all regulations, including those regarding ethical and professional conduct, established by the University, ~~the OUHSC~~, the respective College, and the Program.

As a distinct learning community within the University, ~~the OUHSC has~~ health sciences educators have established the Student Professional Behavior in an Academic Program Policy (referred to as "the Policy" or "this Policy") and adopted procedures for addressing standards of ethical and professional behavior for OUHSC students. The policy and procedures identify student responsibilities and rights in conjunction with standards of fairness, privacy, and due process. They are derived, in part, from the standards of conduct adopted by national organizations that accredit the University (e.g., Higher Learning Commission (HLC), OUHSC health professions programs (e.g., ASAHP Association of Schools Advancing Health Professions (ASAHP), CODA, Commission on Denatal Accreditation (CODA), National League for Nursing Accrediting Commission (NLNAC), Liaison Committee on Medical Education (LCME), Accreditation Council for Pharmacy Education (ACPE), Council on Education for Public Health (CEPH) or license or certify OUHSC learners (e.g., National Commission on Certification of Physician Assistants (NCCPA), state licensing boards) and the standards of ethical and professional behavior adopted by national and local professional organizations.

Since training in ethical and professional behavior is integral to the education of OUHSC students, violations of this Policy will be considered as academic issues. Failure to meet ethical and professional behavior standards will result in action up to, and possibly including, dismissal and may jeopardize advancement and graduation.

In addition to the academic and clinical-related requirements of each college and program, this Policy and its related procedures shall govern academic and professional behavior at the OUHSC. In the event any OUHSC college and/or health professions program develops a statement of principles and responsibilities related to standards of ethical and professional behavior specific to its respective profession, such statements must conform to ~~the this~~ Policy and its procedures.

This Policy is not intended to address the types of student conduct violations described in the University of Oklahoma Student Rights and Responsibilities Code, Section VI 1-22; academic misconduct, as described in [Section 4.18](#) and [Appendix C](#) of the OUHSC Faculty Handbook. For cases in which both the Student Rights and Responsibilities Code and the Student Professional Behavior in an Academic Program Policy may apply, this Student Professional Behavior in an Academic Program Policy shall take precedence.

A. Objectives

1. ~~To d~~ Document the priority placed by the Health Sciences Center on the academic standards related to student ethical and professional behavior.

2. ~~To p~~Provide students, faculty, and staff with clear articulation of the expectations regarding student ethical and professional behavior.
3. ~~To p~~Provide the OUHSC colleges with clearly articulated authority to act when dealing with student ethical and professional behavior issues.
4. ~~To i~~Identify procedures for managing and addressing student ethical and professional behavior issues.
5. ~~To e~~Ensure standards of fairness, privacy, and certain processes are applied, as applicable.

B. Scope

All OUHSC students are expected to demonstrate high standards of ethical and professional behavior in all educational and clinical settings, including but not limited to:

1. classroom-based milieu (e.g., classrooms, lecture halls, laboratories, simulations, on-line and technology-based classes);
2. professional, clinical and community/clinical sites that are part of the learning program (e.g., hospitals, clinics, community health centers, community-based organizations, ambulatory settings);
3. other settings not part of the formal learning program but which contribute to the learning process (e.g., student-run special interest group meetings and activities, clubs and governance structures, interactions with University or OUHSC administrators and other members of the campus or community); and,
4. Other settings as described below:

This Policy is intended to guide the ethical and professional behavior of students studying in the OUHSC programs. It is not intended to directly guide or address behavior that is a part of a student's private life, but such behavior may come to the attention of the OUHSC in several ways and become the focus of a Policy investigation or charge:

- a) Conduct may be reported to a member of the faculty or administration by a variety of sources (e.g., police, friends, parents, other agencies) that raises a concern about the student's capacity to continue his or her studies. If such reported conduct raises a concern about the safety of the student or the safety of others that the student may have contact with at the institution or includes behavior that could indicate an issue with moral, ethical, or personal values that would preclude satisfactory functioning in the discipline, an investigation may be conducted and action taken on the basis of the investigation.
- b) If a student is charged with an offense in the civil justice system and the University becomes aware of and verifies this circumstance through self-report of the student or a reliable, verified source, the University may elect to not pursue an investigation until the outcome of the civil court proceeding is known, unless the alleged offense is such that allowing the student to continue his or her studies could be detrimental to the safety of patients or others, as determined by the OUHSC Vice Provost for Academic Affairs.
- c) If a student is charged with a criminal offense, he or she is obligated to report this to the college Dean immediately. If a matriculating student has been charged with a criminal offense between the time he/she wrote an application and the time he/she arrives at school, or at any time while a student, he/she must inform the Dean of the charges before the first day of classes. If the University later discovers that a student withheld disclosure of a criminal charge, he/she may be subject to immediate dismissal by the Dean. Depending upon the nature of the criminal charge, the student may not be allowed to continue the course of study until there is final disposition of the criminal charge either by verdict, plea, or dismissal. This is consistent with the obligation of the University to ensure the safety of patients and others.

OUHSC students are expected to hold themselves to the highest standards of ethical and professional conduct. As part of their education and training, these students must begin to practice professional behaviors that they will uphold for the rest of their professional lives. Fundamental attributes of professionalism and ethical and professional behavior include, but are not limited to, civility, honesty and integrity, dedicated desire to learn and respect for the academic process, concern for the welfare of patients and their families, a commitment to patient confidentiality, respect for the rights of others, emotional maturity, and self-discipline.

While not all inclusive, examples of unacceptable ethical and professional behavior include but are not limited to the following:

1. Lack of integrity and honesty (e.g., lying about, misrepresenting, or not reporting information about care given, clinic errors, or any action related to clinic functions; acting outside the scope of his/her role in a clinical, academic, professional or administrative setting). **NOTE:** Allegations of academic misconduct, including but not limited to cheating, plagiarism, fabrication, fraud, destruction, bribery or intimidation, assisting others in any act proscribed by the Academic Misconduct Code, or attempting to engage in such acts, as defined under the Academic Misconduct Code are addressed in the Academic Misconduct Code.
2. Failure to demonstrate professional demeanor or concern for patient safety (e.g., use of offensive language and gestures, being under the influence of alcohol or drugs in the educational or clinic setting). Failure to demonstrate professional demeanor -with patients and families (e.g., insensitive to the patient's or family's needs, inappropriate personal relationships with patients or members of their families, lack of empathy)
- ~~2-3.~~ Unmet professional responsibility (e.g., not contributing to an atmosphere conducive to learning due to poor attendance, punctuality issues, and/or distracting, or insensitive behavior in class, lab, or clinic; poor personal hygiene; needing continual reminders to complete responsibilities in a timely manner; not responding to requests [written, verbal, e-mail, telephone] in a timely manner; breaching patient confidentiality)
- ~~3-4.~~ Exhibiting disruptive or threatening behavior (e.g., pushing, punching, throwing things, making inappropriate gestures, threats, verbal intimidation, language that belittles or demeans, negative comments with racial, ethnic, religious, age, gender or sexual overtones, making impertinent or inappropriate written entries in the medical record or making statements attacking students, faculty or staff)
- ~~4-5.~~ Lack of effort toward self-improvement and adaptability (e.g., resistant or defensive in accepting constructive criticism; remaining unaware of own inadequacies; resisting considering or making suggested changes to improve learning, behavior, or performance; not accepting responsibility for errors or failure; abusive or inappropriately critical, arrogant)
- ~~6.~~ Lack of respect for cultural diversity (e.g., inappropriate interpersonal interaction with respect to age, culture, race, religion, ethnic origin, gender, sexual orientation) race, color, national origin, sex, sexual orientation, genetic information, gender identity, gender expression, age, religion, disability, political beliefs, or status as a veteran.
- ~~5-7.~~ Exhibiting diminished relationships with members of the health care team (e.g., not functioning appropriately within the health care team or not demonstrating the ability to collaborate with fellow students, staff)
 - ~~1)-Exhibiting diminished relationships with patients and families (e.g., insensitive to the patient's or family's needs, inappropriate personal relationships with patients or members of their families, lack of empathy)~~
- ~~6-8.~~ Failure to maintain and safeguard the confidentiality of patient and research participant information, including paper and electronic records, verbal communications, and social networking and electronic media sites
- ~~7-9.~~ Failure to comply with college and program academic and clinical-related requirements (e.g., training, immunization, HIPAA)

C. Procedures for Handling Breaches of Ethical and Professional Behavior Standards

Violations of this Policy will be handled as follows:

1. Who May File

Complaints about possible breaches of ethical and professional behavior may be initiated by individuals within the College or Department/Section (students, faculty, staff, and administration) or by external sources (patients, families, visitors, extramural rotation sites, other agencies with which a student has had contact). If reported elsewhere, the initial complaint should be promptly forwarded to the student's program director or assistant/associate dean of student affairs or directly to the Dean of the College. The formal complaint must be in writing, with a brief description of the evidence, and submitted within 10 University business days after discovery of the incident, exclusive of University breaks and academic intercessions.

2. Complaints Review and Investigation; Sanctions

Any egregious unethical or unprofessional behavior must be reported to the Dean and could result in the student's being immediately suspended or dismissed from the program. Examples of egregious or unprofessional behavior would include but are not limited to patient endangerment, unacceptable patient management, inappropriate alteration of patient records, or behavior that poses a danger to persons or property or an ongoing threat of or disruption of the academic process. The Dean must consult with the Vice Provost for Academic Affairs, Legal Counsel and other officials as appropriate to determine if the matter should proceed under other applicable University policies. Should the Dean take the immediate action of suspending or dismissing a student from the program, the student may request a hearing under the Academic Appeals Board process, as described in Section 3 below.

Informal Resolution. For less egregious unethical and unprofessional behavior, rather than filing a formal complaint about professional behavior, the faculty member or program director may conclude (but is not required to conclude) that the incident is more appropriately treated as an instructional rather than a disciplinary matter. In such cases, the faculty member or program director will contact the student directly to discuss the issue, provide feedback, and make suggestions for how the behavior at issue can be improved. If the faculty member or program director believes that an effective resolution resulted from meeting with the student, no further action is required. The incident shall be documented in the student's file with college student affairs and may be used in the future, where applicable, to indicate a pattern, practice, failure to benefit from redirection.

Formal Resolution. In the event that the faculty member or program director determines that giving the student feedback about issues of concern was not successful in resolving the issue or if the behavior is of a significant or serious nature (but not warranting immediate suspension or dismissal), a Professionalism Concerns Report (PCR) will be completed by the faculty member or program director. The focus of this PCR process is educational, with the goal of helping the health professions student move forward successfully in coursework, clinical practice experience, and interactions within the Health Sciences Center community.

A PCR must be filed with the college's assistant/associate dean of student affairs within 10 University business days from the time the behavior was observed or reported, exclusive of University breaks and academic intercessions. The PCR indicates what steps the student is directed to take to resolve the matter and re-establish credibility for professional behavior in the academic program.

Following receipt of the PCR, the college's assistant/associate dean of student affairs will meet with the student to discuss ways in which the resolution of the concern that generated the PCR and by which unprofessional behavior can be improved, thus allowing the student adequate opportunity to establish or renew a ~~make~~ commitment to appropriate behavioral changes. The student will be asked to sign the PCR to acknowledge that the PCR has been reviewed and may respond to the PCR by providing additional written information. The college's assistant/associate dean of student affairs may require remedial action, such as a corrective action plan, mandated counseling or probationary status, which

shall be noted on the PCR. The PCR is then forwarded to the college Dean and to the Graduate College Dean, if applicable.

Unresolved or Repeated Professionalism Concerns: In the event that a student fails on three occasions to meet the expected standards of ethical and professional conduct as documented by PCRs and/or documentation in the student's file, the assistant/associate dean of student affairs or if appropriate, the Graduate College Dean, has the option to place the student on probation, suspend the student, or dismiss the student, depending on the nature of the student's behavior. Prior to any such action, the student affairs dean, Graduate College Dean, or other appropriate administrator will meet with the student, identify the concerns, identify the anticipated action, and provide the student an opportunity to present his/her version of events leading to the situation. Within 3 days of such meeting, the student will be provided notice of the action taken. If dissatisfied with the action taken, the student may request a hearing in accordance with Section 3 below.

3. Appeal Process

Students who are dismissed or suspended from their program may request a hearing under the OUHSC Academic Appeals Policy ([Section 4.16](#) and [Appendix C](#) of the OUHSC Faculty Handbook).

A student may not appeal an action taken simply because he/she does not agree with it.

(Regents 12-1-11)

C.4 CRIMINAL BACKGROUND CHECKS POLICY FOR CURRENT STUDENTS AND CONDITIONALLY ACCEPTED APPLICANTS – HEALTH SCIENCES CENTER

I. SCOPE/DESIGNATED PROGRAM

This policy is intended for all University of Oklahoma Health Sciences Center (“University or “OUHSC”) conditionally accepted applicants and enrolled HSC students. A national Criminal Background Check (“CBC”) is required of each conditionally accepted applicant prior to full admission and at least annually thereafter by national CBC or written attestation, as specified pursuant to the provisions of this policy for every continuing student. Applicants waiting for confirmation of conditional acceptance should check with the college/program to which they are applying for specific CBC requirements and timelines. Enrolled students should check with their college/program for specific CBC requirements.

II. POLICY

Conditionally accepted applicants and enrolled students must undergo a national Criminal Background Check (“CBC”) prior to the first day of class and at least annually thereafter. Conditionally accepted applicants who have an adverse finding on a CBC report may be denied full admission/matriculation, and current students who have an adverse finding may be disciplined in accordance with established University policy.

III. DEFINITIONS

Adverse Finding:- A ~~term describing a Criminal Background Check (“CBC”)~~ report of anything other than “clear” or “no findings” or ~~other~~-similar language used by the approved vendor that issued the CBC report.

Break in Enrollment:- A ~~term describing a~~Non-attendance of at least one full semester or term (e.g., Fall, Spring, Summer or the equivalent clock hours)-~~or more~~.

Conditional Acceptance:- A ~~term describing a~~an applicant’s status when basic review criteria have been met at the time an admission offer is extended but prior to full admission to an academic program.

Full Admission:- A ~~term indicating that an applicant a student~~ has met all program admission requirements and has been cleared of any Adverse Findings that would prevent eligibility for enrollment.

Full Standing:- A ~~term describing a~~student’s eligibility to enroll in and to attend classes for at least one academic semester or term and indicating the student meets academic standards to remain enrolled and attend classes during that semester or term.

Matriculated. A ~~term describing s~~Students enrolled in a University program as degree candidates.

IV. RATIONALE

The University is committed to accepting and educating students who meet established standards for professionalism, are of high moral character, and are suitable candidates for graduation, professional certification or licensure. The purposes of conducting a ~~Criminal Background Check (“CBC”)~~ are multiple:

1. Health care providers and health research scientists are entrusted with the health, safety, and welfare of patients, research participants, and health services and scientific resources; have access to confidential and sensitive information; and operate in settings that require the exercise of good judgment and ethical behavior. Thus, an assessment of a student’s or conditionally accepted applicant’s suitability to function in clinical and research settings is imperative to ensure the highest level of integrity in students in the college/program.
2. Clinical facilities are increasingly required by their accreditation agencies to obtain a CBC for security purposes on individuals who supervise care, render treatment, and provide services within the facility.

3. Clinical rotations are an essential element in certain degree program curricula. Students who cannot participate in clinical rotations because of criminal or other adverse activities reported in CBCs are unable to fulfill the requirements of a degree program. Therefore, these issues must be resolved prior to a commitment of resources by the University, student, or conditionally accepted applicant.
4. Scientists are entrusted with the oversight and the safety of laboratory materials, research animals and human research participants, and the welfare of laboratory and other research personnel. They have access to chemicals, devices, and other materials in settings that require the exercise of good judgment and ethical behavior. Thus, an assessment of suitability to function in a research setting, whether laboratory, clinical, or community based, is imperative to ensure the highest level of integrity in biomedical and population health sciences academic programs.
5. Health professionals and biomedical and population health scientists are increasingly invited to engage in inter-professional and translational work through team science projects. Thus, it is imperative to promote and underscore a shared expectation for demonstration of the highest level of integrity, good judgment, and ethical behavior.

V. TIMING AND PROCEDURES FOR THE CRIMINAL BACKGROUND CHECK (“CBC”)

A. Conditionally Accepted Applicants: (as defined in Scope/Designated Programs)

1. The CBC may not be used as a component of the application, interview, or decision-making process regarding conditional acceptance to a designated program. It is a mandatory component of the post-conditional acceptance matriculation process.
2. Conditionally accepted applicants will be provided with the necessary procedures for completing the CBC by the college/program designee.
3. Conditionally accepted applicants must do the following prior to the first day of classes (or sooner if so specified by the college/program) to be eligible for full admission:
 - a) Complete and authorize the release to the University of the CBC Consent and Release Form; and
 - b) Complete and submit the CBC with sufficient time for the documentation to be evaluated by the respective college/program designee prior to the first day of classes.
4. Any conditionally accepted applicant who fails to complete the above will not be allowed to begin classes and may jeopardize full admission status ~~to his/her respective college/program~~.
5. Procedures for reviewing CBC results are outlined in Section XI.

B. Enrolled Students: (as defined in Scope/ Designated Programs)

1. Enrolled students will, at minimum, complete CBCs each year at a time designated by their respective college/program ~~or and~~ more frequently if required by clinical rotation sites or by the University.
2. The respective college/program will provide students with the necessary procedures and ~~consent~~ authorization forms to complete a CBC.
3. Any student who fails to adhere to the CBC deadline set by his/her college/program will be suspended from all classes, rotations, ~~or and~~ practicums until clearance documentation is provided in accordance with the respective college/program procedures. Due to the pace and rigor of these programs, to remove the suspension, an enrolled student must complete the CBC and provide clearance documentation within five (5) University business days of the date of suspension or his/her enrollment may be terminated.

VI. IDENTIFICATION OF VENDORS

The University will designate approved vendors to perform the ~~Criminal Background Checks (“CBCs”)~~ and will recognize CBCs from vendors that are approved by the centralized application services with which it participates. Results from any entity other than those designated by the University or a participating centralized application service will not be accepted. The list of approved vendors will be maintained by the Office of Academic Affairs/Admissions and Records.

VII. ALLOCATION OF COST

Conditionally accepted applicants and enrolled students must pay the costs associated with procuring a ~~Criminal Background Check (“CBC”)~~.

VIII. PERIOD OF VALIDITY

The University will generally honor criminal background checks for a period of one year, but a CBC may be necessary more frequently, depending on class, rotation, or practicum site requirements. Any student who has a break in enrollment may be required to complete a CBC before ~~he/she being is~~ permitted to re-enroll in any courses. The University considers a student on an approved Leave of Absence to be in continuous enrollment.

IX. SCOPE OF CRIMINAL BACKGROUND CHECKS (“CBC”)

A. The CBC may include but is not limited to the following:

- Social Security Number Verification
- County Criminal Records Searches
- Statewide Criminal Records Search
- Federal Criminal Records Search
- National Criminal Database Search
- National Sexual Offender Database Search
- U.S. Department of Health and Human Services/Office of Inspector General List of Excluded Individuals/Entities Search
- Search for Dishonorable Discharge from the Armed Forces
- General Services Administration List of Parties Excluded from Federal Programs
- US Treasury, Office of Foreign Assets Control (OFAC), List of Specially Designated Nations (SDN)
- State Exclusion List

B. The CBC for students who are licensed or certified caregivers may include the above and may also include the following:

- Education Verification (highest level)
- Professional License Verification
- Certifications & Designations Check
- Professional Disciplinary Action Search

X. REPORTING FINDINGS AND ENROLLED STUDENT/CONDITIONALLY ACCEPTED APPLICANT ACCESS TO CRIMINAL BACKGROUND CHECK (“CBC”)

The vendor will provide the conditionally accepted applicant or enrolled student with the CBC results. The vendor will also provide the respective college/program with the CBC results for conditionally accepted applicants and enrolled students.

XI. WRITTEN ATTESTATION IN LIEU OF AN ANNUAL CRIMINAL BACKGROUND CHECK (“CBC”)

A college dean may request approval from the Vice Provost for Academic Affairs (VPAA) for an enrolled student or group of students to be permitted to complete and sign an individual, written attestation to affirm that there has been no change in a student’s CBC status during the period between the date of a CBC conducted following

conditional admission and the attestation date, in lieu of completing an annual CBC. Such request must be submitted at least 45 calendar days prior to the enrollment deadline for the next academic year. Attestation documents will be maintained and reported to the VPAA by the college in the same manner as specified for CBC reports and review procedures. The VPAA reserves the right to require completion of a CBC at any time subsequent to approving a written attestation in lieu of a CBC.

XII. PROCEDURES FOR REVIEWING CRIMINAL BACKGROUND CHECK (“CBC”)

A. Conditionally Accepted Applicants: (as defined in Scope/ Designated Programs)

1. Each college/program shall establish a Criminal Background Review Committee (CBRC)*. The respective college/program will review those CBC reports that identify an adverse finding and refer those to its CBRC. *The Graduate College will not establish its own CBRC, however, in any CBC matter that involves a conditionally accepted Graduate College applicant, the Graduate College Dean shall designate a Graduate College faculty member, such as the Graduate Liaison, to serve ~~on that specific the~~ CBRC of the college/program sponsoring the graduate degree.
2. The CBRC must consist of at least the following University employees:
 - a) Assistant/Associate Academic Dean
 - b) Assistant/Associate Student Dean
 - c) One member from the College/Program Admissions Committee
 - e)d) A Graduate College faculty member, when applicable
3. The CBRC will review each referred CBC to determine the potential impact that any adverse findings might have on the conditionally accepted applicant’s ability to be fully admitted into the college/program or to complete the program, if admitted.
4. If the CBRC determines a CBC includes an adverse finding that:
 - a) was previously undisclosed,
 - b) is more egregious than was disclosed,
 - c) may preclude the acceptance or participation in educational, laboratory, practicum or rotation activities, or
 - d) conflicts with what was reported by the applicant on application materials,

then the CBRC may, by majority vote, recommend that the respective college/program rescind the conditional offer of admission. Such recommendation must be made in writing to the University designee with authority to rescind admission on behalf of the respective college/program.
5. If the conditional offer of admission is rescinded, the University designee making that decision must notify the applicant in writing. The notice must include the reason for rescission and inform the applicant that he/she has five (5) University business days to submit a written response to the University designee describing any mitigating factors he/she would like the respective college/program to consider.
6. The University designee will consider timely submitted responses and notify the applicant in writing whether the rescission decision stands or is reversed. If the rescission stands, that decision is not appealable. If the rescission is reversed, the University designee must inform the applicant in writing of his/her current admission status within five University business days following receipt of the written response.

B. Enrolled Students: (as defined in Scope/Designated Programs)

1. Each College shall establish a Criminal Background Review Committee (CBRC)*. The CBRC will consist of at least three members designated by the Dean of the College, one of whom will be the Assistant/Associate Dean to serve as chair, plus two other full-time faculty from the College. *The Graduate College will not establish its own CBRC, however. ~~In any CBC matter that involves a currently enrolled Graduate College student, the Graduate College Dean shall designate a faculty member, such as the Graduate Liaison, to serve on that specific the CBRC of the college/program sponsoring the graduate degree.~~
2. The respective college's CBRC will receive all CBC reports that are referred for review.
3. The CBRC will determine the potential impact that any adverse findings might have on an enrolled student's ability to complete or remain in the program.
4. If the CBRC determines a CBC includes an adverse finding that:
 - a) violates University policy,
 - b) was not self-disclosed as required by University policy,
 - c) may preclude acceptance or participation in classes, educational, laboratory, practicum, or rotations or practicum activities, or
 - d) conflicts with what was self-reported by the student, or
 - e) will impede the student's ability to become licensed or certified in his/her profession,

Then the CBRC Chair will present the CBRC findings to the Dean of the College who will confer with the Vice Provost for Academic Affairs (VPAA) and Legal Counsel on the appropriate action and applicable University policy.

5. The Dean will notify the student within five University business days of any proposed disciplinary action in accordance with procedures under the applicable University policy. Actions may include censure, probation, suspension, dismissal, or expulsion.
6. A student's right to appeal the decision is governed by the applicable University policy.

XIII. FALSIFICATION OF INFORMATION

Falsification of information submitted as part of the application process, ~~in or a Criminal Background Check, or in a~~ written attestation can result in immediate removal of the applicant from the conditionally accepted applicant list or ~~in dismissal of an enrolled student from the degree program.~~

XIV. CONFIDENTIALITY OF RECORDS

The University maintains ~~Criminal Background Check ("CBC")~~ reports and all records pertaining to the results in confidence, unless release is otherwise required by law. Information about the Family Educational Rights and Privacy Act (FERPA) is available at: <http://www.ed.gov/policy/gen/guide/fpcpco/ferpa/index.html>.

XV. RECORDKEEPING

Criminal Background Check reports and all records pertaining to the results will be maintained in the conditionally accepted applicant's file or enrolled student's academic file and are retained in the respective college/program for the minimum timeframe listed below, unless otherwise required by law:

- Enrolled Students – Five (5) years after graduation
- Conditionally Accepted Applicants – Two (2) years from date of application (provided no anticipated legal action).

XVI. PERIODIC REVIEW

The CBRC review process, procedures, and outcomes are subject to periodic review. Each college/program will submit an annual report to the Vice Provost for Academic Affairs (VPAA) describing the adjudication of conditionally accepted applicants and enrolled students who were subject to a CBRC review within 30 University business days of the review. The VPAA will review the report and notify the college/program of suggested or required procedural improvements. Required procedural improvements must be addressed in writing to the VPAA within ten (10) University business days.

(Regents, 6-25-14, 5-7-15, 9-14-17)

C.5 STUDENT RIGHTS AND RESPONSIBILITIES CODE AND PROCEDURES 2017-18 The University of Oklahoma

The purpose of the Student Rights and Responsibilities Code (referred to as the “Code” or “this Code”) is to establish specific student rights and responsibilities while maintaining an environment conducive to the University of Oklahoma’s mission.

The Student Rights and Responsibilities Code and Procedures may be accessed here: <https://www.ou.edu/studentconduct/students-rights-and-responsibilities>

I. Student Rights

Students of the University of Oklahoma are guaranteed certain rights by the constitutions of the United States and the State of Oklahoma and the University of Oklahoma Student Government Association. In recognition of those rights and in keeping with the values underlying them, the University of Oklahoma respects the following student rights:

1. To pursue an education as long as the University’s applicable academic standards, policies, regulations and applicable laws are followed;
2. To certain procedural due process, including notice and an opportunity to be heard;
3. To a prompt, fair, and impartial process during University investigations and proceedings, from an initial investigation to the final result;
4. In cases involving sexual misconduct, the complainant/reporting party and the respondent have the right to have the investigation and proceedings conducted by officials with annual training on issues related to dating violence, domestic violence, sexual violence, and stalking, and on how to conduct an investigation and hearing process that protects the safety of victims and promotes accountability;
5. To request appropriate action from the administration for any violation of a right guaranteed by this Code;
6. To establish or disseminate publications free from any censorship or other official action controlling editorial policy or content, in accordance with applicable regulations and University policy;
7. To invite and hear any speaker of choice on any subject, in accordance with applicable regulations and University policy;
8. To use campus facilities, in accordance with applicable regulations and University policy;
http://www.ou.edu/content/studentaffairs/services/policies_and_forms.html
<http://www.ouhsc.edu/policy/>
9. To peaceably assemble, to demonstrate, inform, or protest, in accordance with applicable regulations and University policy;
10. To be secure in his/her possessions, against invasion of privacy, and unreasonable search and seizure;
11. To form, join and participate in any student organization or group without regard to race, color, national origin, sex, sexual orientation, gender identity, gender expression, genetic information, age (40 or older), religion, disability, political beliefs or status as a veteran. [<http://www.ou.edu/home/eoo.html> and <http://www.ou.edu/home/misc.html>] Provided, in accordance with Oklahoma state law, a religious student association may choose to limit its membership or leadership based on the sincerely held religious beliefs, observances, or practices of the group; and
12. Not to be charged more than once for one incident by the Office of Student Conduct.

II. Student Responsibilities

Students of the University of Oklahoma are responsible for complying with all local, state, and federal laws. As members of the University community, students are also responsible for familiarizing themselves with University policies and regulations when applicable.

In addition, students involved in disciplinary proceedings initiated under this Code, whether as parties, witnesses, or panelists, have a duty to cooperate and discuss the incident with appropriate University officials, adhere to stated deadlines, attend scheduled meetings, provide documentation as requested and participate in all University proceedings. Failure to fulfill these responsibilities may result in a decision being made without the benefit of the student's participation, or may result in a student being charged with failing to comply with the direction of a University official.

Students are responsible for meeting the University's minimal standards of appropriate conduct and may be disciplined for engaging in the following types of prohibited conduct:

1. ~~**Abusive conduct:** Unwelcome conduct that is sufficiently severe and pervasive that it alters the conditions of education or employment and creates an environment that a reasonable person would find intimidating, harassing, or humiliating. The frequency of the conduct, its severity, and whether it is threatening or humiliating are factors that will be considered in determining whether conduct is abusive. Abusive conduct includes verbal abuse, physical abuse, or holding a person against his or her will. Simple teasing, offhanded comments and isolated incidents (unless extremely serious) will not amount to abusive conduct.~~
2. ~~**Alcohol violations:** Possessing, using, providing, manufacturing, distributing, or selling alcoholic beverages on or off campus in violation of law or University policies.~~
3. ~~**Arson:** The willful setting fire to or burning of a structure or its contents or the property of another.~~
4. ~~**Dishonesty:** Manufacturing, possessing, providing, making, or using false information or omitting relevant information to University officials or on University applications, forging, altering or misusing a University record or document, initiating a false report, and knowingly using or possessing forged, altered or false documents or records.~~
5. ~~**Disruption or obstruction of a University activity:** Interference with, obstruction or disruption of University activities such as teaching, research, recreation, meetings, public events and disciplinary proceedings.~~
6. ~~**Drug violations:** Possessing, using, providing, manufacturing, distributing, or selling drugs or drug paraphernalia in violation of law or University policies. This includes the use or possession of prescription drugs other than by the person prescribed or for a purpose other than what was prescribed.~~
7. ~~**Ethical or professional code violations, violation of licensure board rules and regulations, state and federal laws, and/or other applicable regulatory or privileges issues:** as defined by the student's College or professional association or licensure board, as may be applicable to the student(s), or applicable laws or regulations.~~
8. ~~**Failing to abide by or complete a University sanction in a satisfactory manner:** Failure to adhere to sanctions or engaging in other prohibited conduct while on disciplinary probation or suspension.~~
9. ~~**Failure to comply with the direction of a University official who is performing his or her duties.** This responsibility includes complying with faculty/staff requirements and directions of study abroad programs, including off-limits designations and other restrictions or instructions.~~
10. ~~**Failure to keep records up to date:** Failing to keep Admissions and Records notified of current school and/or permanent directory information, including email information.~~
11. ~~**Hazing:** Any action or situation that recklessly or intentionally endangers the mental or physical health, safety, or welfare of an individual for the purpose of initiation, participation, admission into or affiliation with any organization at the University, as defined by Oklahoma or federal law.~~
12. ~~**Interfering with, obstructing or disrupting police or fire responses:** Tampering with, impairing, disabling, or misusing fire protection systems such as smoke detectors, fire extinguishers, sprinklers, or alarms; failing to evacuate during a fire alarm; resisting arrest; failing to abide by the directions of police or fire personnel.~~
13. ~~**Mental harassment:** Intentional conduct that is so extreme and outrageous that a reasonable person would not tolerate it.~~
14. ~~**Misuse of computing facilities:** Misusing computer labs and equipment as well as technology resources including the Internet, University networks, computer software, data files belonging to others, email addresses and accounts belonging to others, University databases and violating University Information Technology computing policies.~~

- ~~15. **Misuse or defacement of University property:** Damage to or misuse of equipment, property, furniture, facilities and buildings belonging to the University.~~
- ~~16. **Misuse or defacement of property belonging to another.**~~
- ~~17. **Retaliation:** Taking any adverse action against a person because of, or in retaliation for, the person's reporting of a crime or violation of University policy, or in assisting in such a claim.~~
- ~~18. **Discrimination/Harassment (not gender based):** Violating the University of Oklahoma Non-Discrimination Policy, which prohibits discrimination and harassment on the basis of race, color, religion, political beliefs, national origin, age (40 or older), genetic information, disability, or veteran status.~~
- ~~Possible violations occurring under this section are investigated by the University's Equal Opportunity Office. The University of Oklahoma Non-Discrimination Policy may be found at: <http://www.ou.edu/eoo/policies-procedures/non-discrimination>.~~
- ~~19. **Sexual Harassment/Misconduct:** Violating the University of Oklahoma Sexual Misconduct, Discrimination, and Harassment Policy. The following types of conduct, as defined in the Sexual Misconduct, Discrimination, and Harassment policy are all prohibited by this Code: (A) Sex Discrimination, (B) Sexual Harassment, (C) Retaliation, (D) Sexual Violence, (E) Sexual Exploitation, (F) Dating Violence, (G) Domestic Violence, and (H) Stalking (gender based).~~
- ~~Possible violations occurring under this section are investigated by the University's Sexual Misconduct Office. The University of Oklahoma Sexual Misconduct, Discrimination, and Harassment Policy may be found at: <http://www.ou.edu/home/misc.html>~~
- ~~20. **Stalking (not gender based):** Engaging in a course of conduct directed at a specific person that would cause a reasonable person to fear for the person's safety or the safety of others, or suffer substantial emotional distress.~~
- ~~21. **Theft:** Possessing property that is known or should have been known to be stolen, taking property without the consent of the owner, even with intent to return the property, or obtaining property by false pretenses.~~
- ~~22. **Unauthorized entry or exit or attempted entry or exit:** Entering or exiting or attempting to do the same without authority or consent with respect to University facilities, property belonging to another, and fraternity and sorority houses.~~
- ~~23. **Violation of local, state, federal law or University regulation or policy.**~~
- ~~24. **Weapons violations, possession of weapons, firearms, explosives, fireworks, ammunition or incendiary devices on campus:** Actual or constructive possession or control of any weapon, including but not limited to air pistols, air rifles, lock blades, fixed blades, knives with a blade longer than four inches, blackjacks, metal knuckles, chemical substances, bombs, or any other device found to be a violation of this Code by Student Conduct. Instruments designed to look like any of the above are included in this prohibition.~~

~~III. **Prohibited Sexual Misconduct**~~

~~18. **Sexual Misconduct.** The following conduct, or attempted conduct, is prohibited, and constitutes "Prohibited Conduct" for purposes of this Policy:~~

~~18.1 **Hostile Environment Harassment, which is unwelcome conduct determined by reasonable person to be severe, pervasive, and objectively offensive that it effectively denies a person access to the University's education program or activity.**~~

~~18.2 **Quid Pro Quo Sexual Harassment, where an employee of the University is conditioning the provision of an aid, benefit, or service of the University on an individual's participation in unwelcome sexual conduct; or**~~

~~18.3 **Sexual Assault, which include:**~~

~~18.3.1 **Rape – penetration, no matter how slight, of the vagina or anus with any body part or object, or oral penetration by a sex organ of another person, without the consent of the victim;**~~

~~18.3.2 **Fondling – The touching of the private body parts of another person for the purpose of sexual gratification, without the consent of the victim;**~~

~~18.3.3 **Incest – Non Forcible sexual intercourse between persons who are related to each other within the degrees wherein marriage is prohibited by law; and**~~

~~18.3.4 Statutory Rape – sexual intercourse with a person who is under the statutory age of consent.~~

~~18.4 Dating Violence, which is violence between individuals in the following circumstances:~~

~~18.4.1 The party is or has been in a social relationship of a romance or intimate nature with the victim; and~~

~~18.4.2 The existence of such a relationship shall be determined based on a consideration of the following factors: (i) length of the relationship; (ii) type of relationship; (iii) frequency of the interaction between the persons involved in the relationship.~~

~~18.5 Domestic Violence, which is an assault and battery against a current or former spouse; a present spouse of a former spouse; a former spouse of a present spouse; parents; a foster parent; a child; a person otherwise related by blood or marriage; a person with whom the Respondent is or was in a dating relationship; an individual with whom the Respondent has had a child; a person with whom the Respondent formerly lived in the same household as the Respondent, or a person living in the same household.~~

~~18.6 Stalking, which is a course of conduct directed at a specific person that would cause a reasonable person to: (a) fear the person's safety or the safety of others, or (b) suffer substantial emotional distress.~~

Special Procedures for Prohibited Sexual Misconduct:

~~Under the authority of the Office of Institutional Equity and the Division of Student Affairs, Complaints alleging Prohibited Sexual Misconduct must be directed to Title IX Coordinator. The Sexual Misconduct, Discrimination and Harassment Policy, and Grievance Procedures for Sexual Misconduct and Harassment set forth the process for investigation, adjudication, sanctioning, and appeals for all Prohibited Sexual Misconduct.~~

~~III. Disciplinary Sanctions~~

~~Students of the University of Oklahoma who engage in prohibited conduct are subject to the following disciplinary sanctions:~~

- ~~1. **Verbal Warning:** A verbal notice that the behavior was inappropriate.*~~
- ~~2. **Written Warning:** A written statement that the behavior was inappropriate, which will remain on the student's University disciplinary record for a specified period of time or until the student meets certain conditions.*~~
- ~~3. **Disciplinary Probation:** A written statement that the behavior was inappropriate and should subsequent violations occur, the University will take more serious conduct action up to and including suspension or expulsion. This can include exclusion from University affiliated entities, including student organization activities, for a period of time or until the student meets certain conditions. Disciplinary probation will remain on the student's disciplinary record for a specified period of time or until the student meets specified conditions.*~~
- ~~4. **Educational Sanctions:** A specific number of hours of community service, completion of a reflection or research paper, attending a class, program or lecture, attending counseling, or other actions.*~~
- ~~5. **Restitution:** Repayment for damages or misappropriation of property. This may include monetary compensation or other related service(s), such as cleaning or restoration.*~~
- ~~6. **Administrative Fee:** Administrative fees for educational programs and presentations as well as policy related administrative costs, which are assessed directly to the student's Bursar account. A financial stop may be placed on the student's record if the student fails to pay the administrative fee by the due date. This stop may prevent the student from registering for future terms or adding or dropping courses.*~~
- ~~7. **University Owned Housing Reassignment or Termination:** Reassignment to another University-owned housing unit, exclusion from certain University-owned properties or termination of the student's housing agreement.~~
- ~~8. **Administrative Trespass:** Denial of access to all or a portion of campus, except for limited periods and specific activities with the permission of the appropriate University official, as designated by the University Vice President for Student Affairs or other appropriate administrative official vested with such authority. Should the student enter campus without written permission, the appropriate University official or the campus police may take action.~~
- ~~9. **Suspension:** Exclusion from the University and all campuses governed by the Board of Regents of the University of Oklahoma for a specific period of time or until the student meets certain conditions,~~

following which the student may be permitted to re-enroll or apply for readmission to the University, as applicable.

- ~~10. **Expulsion:** Exclusion from the University and all campuses governed by the Board of Regents of the University of Oklahoma for an indefinite period of time, a record of which remains on file permanently.~~
- ~~11. **Restriction or Denial of University Services:** Restricted from use or denial of specified University services, including participation in University activities.~~
- ~~12. **Delayed Conferral of Degree:** Delay of issuance of a student's diploma for a specified period of time or until the student meets certain conditions.~~
- ~~13. **Strike:** The University's official recognition of a student's or organization's violation of the University of Oklahoma's Norman Campus Alcohol Policy.*~~

~~* Except in conjunction with other disciplinary measures, these sanctions are not appropriate if a student is found responsible for the following violations of the Sexual Misconduct, Discrimination, and Harassment Policy: Sexual Violence, Dating Violence, and Domestic Violence.~~

~~IV. Student Conduct Proceedings~~

~~Student Conduct Proceedings are the University's means of affording procedural due process to students who may be sanctioned for engaging in prohibited conduct. The Student Rights and Responsibilities Code Procedures, attached hereto as Appendix A, provide a step-by-step explanation of those proceedings.~~

~~V. Direct Administrative Action~~

~~A Direct Administrative Action (DAA) is an action that places immediate restrictions upon a student's rights within the University community, up to and including a removal from the University community. A DAA is not a final disciplinary sanction; it is a temporary measure that may be undertaken during the pendency of appropriate due process. A DAA may be imposed only by the UVPSA or other appropriate official vested with such authority when necessary for the welfare or safety of the University community; to maintain order on the campus and preserve the orderly functioning of the University; to stop or prevent interference with the public or private rights of others on University premises; to stop or prevent actions that threaten the health or safety of any person; or to stop or prevent actions that destroy or damage property of the University, its students, faculty, staff, or guests.~~

~~When a DAA is imposed, the Office of Student Conduct shall review the facts and circumstances to determine whether Student Conduct Proceedings should be initiated, whether to recommend to the UVPSA or designee that the DAA should be lifted, or whether some other University action is appropriate.~~

~~VI. Disciplinary Holds: Student Records, Student Transcripts, and Student Registration~~

~~The University may place a disciplinary hold on a student's records during the pendency of Student Conduct Proceedings. A disciplinary hold prohibits a student from registering for classes until the Student Conduct Proceedings, including any review procedure, are complete. Upon conclusion of Student Conduct Proceedings, the University may continue a disciplinary hold on a student's records until the student satisfactorily completes all sanctions.~~

~~The University may place a disciplinary hold on a student's record if a student is suspended as part of the sanctions, prohibiting a student from being admitted to or registering for classes at any campus governed by the Board of Regents of the University of Oklahoma. A disciplinary hold shall remain in effect until the suspension period is over, the student has complied with all conditions and/or sanctions, and has reapplied and been readmitted.~~

~~Records relating to non-academic student conduct matters are a part of the student's overall education record; however, disciplinary charges and sanctions are not noted on official student transcripts, except where academics are incidentally affected (i.e., the transcript for a student suspended during a semester after the add/drop deadline will reflect withdrawal from any courses in which the student is enrolled).~~

VII. Authority and Jurisdiction

The Board of Regents of the University of Oklahoma is charged in the Constitution of the State of Oklahoma with governing the University, and nothing in this Code prevents the Board of Regents from establishing or amending rules or procedures in order to fulfill its responsibility. The UVPSA shall be vested with the authority to establish and operate a Student Conduct Office. The UVPSA or designee has day-to-day responsibility for disciplinary matters and maintenance of records of all actions taken.

The University will initiate Student Conduct Proceedings under this Code within one year from the date that the conduct becomes known to the Student Conduct Office. Provided, however, Student Conduct Proceedings shall be initiated immediately upon receipt of findings from the Office of Institutional Equity. Student Conduct Proceedings may be carried out prior to, simultaneously with, or following civil, criminal or licensure proceedings, at the discretion of the University.

This Code applies to the on-campus conduct of all students and registered student organizations, including conduct using uUniversity computing or network resources. The code also applies to the off-campus conduct of students and registered students organizations in direct connection with: academic course requirements or any credit bearing experiences, such as internships, field trips, study abroad, or student teaching; any activity supporting pursuit of a degree, such as research at another institution or a professional practice assignment; any activity sponsored, conducted, or authorized by the uUniversity or by registered student organizations; any activity that causes substantial destruction of property belonging to the uUniversity or members of the uUniversity community; or causes or threaten harm to the safety or security of members of the uUniversity community; or any activity which could constitute a criminal offense as defined by local, state or federal law, regardless of the existence or outcome of any criminal proceeding.

This Code may be applied to behavior conduct online, via e-mail, text, or other electronic medium.

VIII. Review of the Student Conduct Code

The UVPSA, in collaboration with each campus ~~Senior Vice President and~~ Provost, will appoint at least five (5) persons, including campus Student Conduct representatives and presidents of each campus student government association to review and make recommendations for the revision of this Code every three (3) years, or sooner, if needed. The Committee will solicit input from representatives of the legislative bodies of each campus, and campus student associations as needed. The Committee shall share this input, together with any other observations or findings of the Committee, with the UVPSA. The UVPSA shall consider all input and recommend changes, if any, to the Board of Regents.

The UVPSA, in consultation with the Office of Legal Counsel, is authorized to amend this Code as may be required for compliance with applicable federal, state, local law, applicable regulations, or University policy.

~~_____ This Code and the Procedures shall be effective beginning July 1, 2017 August 14, 2020.~~
(Regents, 6-20-17, 6-19-18)

C.6 STUDENT RIGHTS AND RESPONSIBILITIES PROCEDURES – 2017-18

The University of Oklahoma

I. Procedural Flexibility

For the purposes of these procedures, a “day” shall mean a University business day unless otherwise stated. The Chair of the Hearing Panel may extend or accelerate existing timelines, as well as establish and enforce additional deadlines not stated in these procedures as necessary for prompt and effective case resolution. The University Vice President for Student Affairs or authorized designee (“UVPSA”), in consultation with legal counsel, may modify these procedures at any time, as a whole or on a case-by-case basis, where necessary to comply with applicable law, regulation, guidance, or as deemed appropriate. Technical departures from these procedures will not invalidate a decision, recommendation, or proceeding unless they have prevented a fair determination of the issues.

II. Commencement of a Conduct Process

Allegations that a student has engaged in conduct that, if true, would constitute Prohibited Conduct under the Student Code of Rights and Responsibilities (“the Code”) should be referred to the Office of Student Conduct. The Director of Student Conduct or designee (“Student Conduct Officer”) shall review the allegations and determine whether to initiate disciplinary proceedings (“Student Conduct Proceedings”). If the Student Conduct Officer determines that, even if true, the alleged conduct would not constitute Prohibited Conduct under the Code, the matter shall be concluded. If the Student Conduct Officer determines that the alleged conduct, if true, could constitute Prohibited Conduct under the Code, he or she shall notify the student of the allegations and afford the student an opportunity to be heard, as set forth more fully below.

Student Conduct Notice

A Student Conduct Notice shall be delivered to the student who is the subject of the allegations via the student's University email address. Notice to the student will be considered furnished once a Student Conduct Notice is delivered to the student's University email account. The Student Conduct Notice shall include:

- A description of the alleged misconduct;
- A citation to the Code provisions that are alleged to have been violated;
- A brief explanation of the Student Conduct process; and
- An explanation that the student must set up an administrative review meeting (“Mandatory Meeting”) with the Student Conduct Officer within five (5) days, or such shorter time as may be specified.

A “no contact” order may be issued in the Student Conduct Notice. A “no contact” order is a non-disciplinary directive to avoid contact with one or more members of the University Community during an investigation and any attendant Student Conduct Proceedings. If a “no contact” order is issued, it is the responsibility of the student not to have any contact with the individual(s) named, directly or through third parties, as specified in the order. Failure to comply with this order may result in disciplinary action.

B. Mandatory Meeting

The Student Conduct Officer will meet with the student to explain the Student Conduct process, allow the student an opportunity to respond to the allegations contained in the Student Conduct Notice, and answer any questions the student may have. The student may be accompanied by an advisor or attorney of his or her choosing.

When the Student Conduct Officer determines that prompt action is essential (e.g., during University orientation, toward the end of the semester, the student is nearing graduation, or there is substantial concern for the health, safety, or welfare of a member of the University community as with a Direct Administrative Action), the Student Conduct Officer may require that the charged student meet within one (1) day of receipt of the Student Conduct Notice if the student resides on campus, or two (2) days if the charged student resides off campus. The University may give notice in these cases by the telephone number provided in official University records or by the student's University email address.

_____ During the Mandatory Meeting, the Student Conduct Officer shall consider the student's response to the allegations and any additional information the student has presented. The Student Conduct Officer shall then determine whether to charge the student with engaging in Prohibited Conduct under the Code. During the Mandatory Meeting, or as soon afterward as is reasonably possible, the Student Conduct Officer may:

determine not to proceed with charges against the student on the basis that the student did not engage in Prohibited Conduct under the Code;

negotiate a resolution with the student, whereupon the matter shall be concluded, subject to the student's timely completion of the agreed terms of the negotiation;

determine to proceed with charges against the student as set forth in the Student Conduct Notice; or

prepare a modified Notice of Student Conduct, based upon the student's response or other information obtained, and proceed with charges against the student.

_____ Upon determining to proceed with charges, the Student Conduct Officer will recommend disciplinary sanctions. If the charged student denies having engaged in Prohibited Conduct under the Code, or believes that the recommended disciplinary sanction is excessive, the student may request a hearing in writing within two (2) days of the Mandatory Meeting.

Acceptance of Responsibility

_____ If, during the Mandatory Meeting, the student agrees that he or she engaged in Prohibited Conduct under the Code, the Student Conduct Officer will discuss the conduct and any relevant circumstances with the student. After considering the student's response and any additional information the student has presented, the Student Conduct Officer shall determine recommended disciplinary sanctions. If the student accepts responsibility and agrees to the imposition of recommended disciplinary sanctions, the Student Conduct Officer shall make a finding that the student has violated the Code, and that the student has accepted responsibility for engaging in Prohibited Conduct. The matter shall be concluded, subject to the student's timely completion of designated sanctions.

_____ Before recommending a disciplinary sanction or negotiating a resolution for Prohibited Conduct in violation of the Sexual Misconduct, Discrimination, and Harassment Policy, the Student Conduct Officer shall notify the University's Title IX Coordinator of the recommended discipline, who shall determine whether the recommended disciplinary sanction is within an acceptable range for the type of violation described. If the recommended disciplinary sanction is not considered reasonable, the Title IX Coordinator shall respond with an explanation of the appropriate range and the basis for that range.

Failure to Respond / Default

_____ If the student does not schedule or attend a Mandatory Meeting by the date specified in the notice, or fails to follow instructions or submit requested documentation or information within a reasonable specified amount of time, the Student Conduct Officer may decide the outcome of the case in the student's absence. In such cases, the student, by failing to respond or participate, shall be in default and will have waived any right to further process.

C. Investigations

_____ The Student Conduct Officer shall review the facts and circumstances associated with the alleged conduct. This review may frequently consist of a mere informal inquiry into the source of the complaint, together with the student's response. In other cases, particularly where there is potential for sanctions of suspension or expulsion, where there are multiple accounts of the facts from witnesses, or where the facts may not be readily discerned, the Student Conduct Officer may determine that further investigation is required. Such investigation may take place before or after the Mandatory Meeting, or in some combination of the two. Where appropriate in light of the unique facts and circumstances of the case, the Student Conduct Officer shall modify the Student Conduct Notice or recommended disciplinary sanction based on the evidence discovered in the investigation.

_____ Allegations that a student has engaged in conduct that, if true, would constitute a violation of the University's Sexual Misconduct, Discrimination, and Harassment Policy shall be promptly referred to University's Sexual Misconduct Officer.

III. _____ Hearing Process

The Hearing Process offers charged students the opportunity to present their cases before an impartial hearing panel comprised of other members of the University community. The proceeding is designed to be administrative and educational in nature, capable of being navigated by University students. While many of these procedures draw from traditional legal principles of fairness and due process, the proceedings themselves are not intended to simulate a court of law. The Hearing Process is not a forum for challenging the legality or justification of any provision of the Code or these Procedures.

_____ A. _____ Impartial Hearing Panel

_____ **Hearing Pool:** A Pool for each campus shall be established annually upon the recommendations of the faculty senate Chair, staff senate Chair, and student body president. The Pool may consist of a mixture of faculty, staff, and students for a pool of at least ten (10) representatives for Norman campus and at least five (5) for the OU Health Sciences Center campus. Each member of the Pool shall serve a three-year term and may be reappointed or removed at any time.

Hearing Panel Training: All members of the Pool will receive general hearing training; all members except student members also receive specialized training regarding sexual misconduct, stalking, domestic violence, and dating violence.

Hearing Panel Selection: Within five (5) days of receipt of a student's request, the UVPSA shall schedule and select a Hearing Panel randomly from the Hearing Pool. Specific representatives may also be appointed from professional schools where a violation of an ethical or professional code is alleged. Each Hearing Panel shall consist of three (3) members; one (1) of whom must be a student, except in cases where a student is charged with violating the Sexual Misconduct, Discrimination, and Harassment Policy, in which case, no student may sit on the Hearing Panel. If an appointed member cannot serve on a particular panel in a timely fashion, the UVPSA may fill the vacant position with another member of the hearing Pool.

Impartiality: Any Hearing Panel member who believes he or she is unable to be an objective participant for a given hearing is expected to remove herself/himself for that particular hearing. The Student Conduct Officer, the charged student, and the reporting party (in sexual misconduct cases) may object to the composition of the Hearing Panel based upon any panel member's inability to be an objective participant for the matter. The UVPSA shall make a final determination in any case where there is timely objection to and disagreement as to whether a panel member should be removed.

_____ B. _____ Role of the Hearing Panel Chair

_____ **Election of the Chair:** Once appointed, the Hearing Panel shall immediately elect a Hearing Panel Chair ("the Chair") for the hearing. Faculty and staff members are eligible to serve in this role. The Chair shall be responsible for management of the Hearing Panel.

_____ **Powers and Duties of the Chair:** The Chair shall preside at all hearings, keep order throughout the hearing process, exercise control over the hearing for efficiency and relevancy, establish all relevant timelines, rule on requests for extensions, and rule on admissibility of evidence, in advance of the hearing and at the hearing. The Chair may exclude from the proceedings any person who disrupts the hearing process or who fails to adhere to the Chair's rulings.

_____ C. _____ Before the Hearing

_____ **Chair Issues Deadlines:** Within ten (10) calendar days of formation of the Hearing Panel, the Chair will notify the Student Conduct Officer and the charged student ("the parties") the date and location of the hearing, the

deadlines for exchanging information, and shall provide a copy of these procedures. The Chair may modify these deadlines as necessary for the just and efficient handling of a hearing, but in general:

The hearing should typically be scheduled to occur within thirty (30) calendar days of formation of the Panel;

If a charged student chooses to be accompanied by a legal advisor, he or she shall notify the Chair as soon as practicable but at least seven (7) days before the hearing;

The parties shall exchange the names of witnesses at least seven (7) days before the hearing;

The parties shall exchange copies of all documents or physical evidence at least seven (7) days before the hearing;

If either of the parties believes that the witnesses, documents, or other evidence should not be considered by the Panel, because they are not relevant or for some other reason, the Chair must be notified at least five (5) days before the hearing;

Any other matter relating to the presentation of witnesses or evidence must be raised to the Chair at least five (5) days before the hearing;

The Chair shall notify the parties of rulings on the admissibility of witness testimony, documents, and other physical evidence not less than two (2) days before the hearing;

Any party who fails to submit information or exchange information as required by the deadline(s) may be barred from presenting that information in the hearing.

D. The Elements of the Hearing

Panel Chair Opening: The Panel Chair shall open the hearing with the following announcements and procedures:

The Chair will notify the parties that the hearing is closed to the public and shall then ask any non-party witnesses to leave the room. A party's advisor may remain in the room;

The Chair shall request all persons present to identify themselves to the parties;

The Chair shall announce whether the University is recording the proceeding, and if so, shall announce that the recording will be the official record of the proceedings, and will be kept pursuant to the University's Records Retention policy;

The Chair may also provide general instructions regarding the proceedings and address any procedural matters that require clarification.

Student Conduct Officer Opening Statement: In an opening statement, which should generally not exceed five (5) minutes, the Student Conduct Officer is expected to generally inform the Hearing Panel of the facts and circumstances surrounding the conduct at issue, the provision(s) of the Code that are alleged to have been violated, and asking the Hearing Panel to issue the recommended disciplinary sanction.

Charged Student Opening Statement: In an opening statement, which should generally not exceed five (5) minutes, the charged student is expected to generally explain his or her position to the Hearing Panel, which may include, but is not limited to, any of the following:

whether the charged student denies engaging in the alleged conduct;

whether the charged student disagrees that the conduct is Prohibited Conduct under the Code; and/or

that the recommended disciplinary sanction is not appropriate for the violation.

~~—————~~ **Presentations:** After the opening statements, the Hearing Panel shall provide the Student Conduct Officer and the charged student an opportunity to present their respective positions, including the presentation of documents and calling of witnesses. Each party is responsible for ensuring that any witnesses who will testify in support of that party's position are notified of the time and place of the hearing. As a responsibility of membership in the University community, all students are expected to participate in Conduct Proceedings upon request; however, the Hearing Panel cannot compel the attendance of witnesses.

~~—————~~ **Cross Examination:** Each party shall also be given the opportunity to cross-examine witnesses presented by the other. The Hearing Panel may also directly question any individuals, including the charged student, at any time during the hearing.

~~—————~~ **Closing Statement:** Generally, each party may be allowed to give a five (5) minute closing statement summarizing the evidence and restating why the Hearing Panel should be persuaded by the party's case.

~~—————~~ **Dismissal and Deliberations:** Upon conclusion of the closing statements, the Chair shall dismiss the parties and the Hearing Panel shall deliberate privately. The Hearing Panel will consider the facts presented and assess the credibility of those providing information to determine by a majority vote whether, by a preponderance of the evidence (i.e., whether it is more likely true than not true), the charged student has engaged in Prohibited Conduct under the Code. If the Hearing Panel finds that the charged student is responsible for engaging in Prohibited Conduct, the Hearing Panel will consider aggravating and mitigating circumstances in assigning sanctions.

~~—————~~ **Notice of Decision:** The Chair of the Hearing Panel will notify the charged student and appropriate University officials of the decision in writing within five (5) days of the hearing.

~~IV. ———~~ **Rules Governing Hearings**

~~—————~~ **Closed Proceedings:** All student conduct hearings are closed to the public.

~~—————~~ **Recordings:** The University may audiotape any conduct proceeding, which will be the official record of the proceedings, and will be kept pursuant to the University's Records Retention policy, found at:

~~—————~~ <http://www.ou.edu/content/dam/AdminFinance/documents/Records%20Retention%20Policy%20intro%20Dec%202010.pdf>

~~—————~~ **Counsel to the Hearing Panel:** The Chair and the Hearing Panel may consult with designated counsel in University's Office of Legal Counsel at any time during Student Conduct Proceedings.

~~—————~~ **Counsel/Advisor to the Parties:** A charged student may be accompanied by an advisor or attorney during the hearing; provided, in the case of an attorney, the charged student must notify the Chair within the time restrictions imposed by the Chair. If the charged student elects to be accompanied by an attorney, the Student Conduct Officer may elect to be accompanied by a designated member of University's Office of Legal Counsel, who shall not be the same attorney serving as counsel to the Hearing Panel. Attorneys may not directly participate in the hearing unless the recommended sanction is suspension or expulsion, and/or if the charge is for a violation of the Sexual Misconduct, Discrimination and Harassment Policy.

~~—————~~ **Appeal:** A charged student, or Student Conduct may request an appeal of the decision as provided in Section VI below.

~~V. ———~~ **Special Procedures for Sexual Misconduct Hearings**

The following procedures are applicable in cases where a student is charged with violating the Sexual Misconduct, Discrimination, and Harassment policy.

~~—————~~ **Interim Measures:** Any remedial measures imposed by the Title IX Coordinator, Sexual Misconduct Officer or Director of Student Conduct, in consultation with the appropriate executive officer shall be in effect during the investigation, hearing or any appeal.

————— **Role of the Parties:** A person who alleges that he or she has been subjected to conduct that amounts to sexual assault, discrimination, or harassment under University's policy ("the reporting party"), is deemed to be a party to Student Conduct Proceedings and shall have any rights afforded to the charged student, should the reporting party wish to actively participate in the process.

————— **Advisors and Attorneys:** Any party may be advised by an advisor or attorney of his or her choosing. If a party is afforded the right to have a nonlegal advisor and a legal advisor present during the hearing, the same right shall be afforded the other party.

————— **Sanctioning:** Before entering a disciplinary sanction for a violation of the Sexual Misconduct, Discrimination, and Harassment Policy, the Chair shall notify the University's Title IX Coordinator, who shall determine whether the recommended disciplinary sanction is within an acceptable range for the type of violation described. If the recommended disciplinary sanction is not considered reasonable, the Title IX Coordinator shall respond with an explanation of the appropriate range and the basis for that range.

————— **Expedited Timeline:** Generally, within two (2) days of the formation of the Hearing Panel, the Chair shall notify the charged student, the reporting party, and the Student Conduct Officer of the date of the hearing, which generally shall be set no later than ten (10) days from the date of the notice to the parties. The notice shall also include the location of the hearing, the panel composition and any additional Hearing Panel procedures and deadlines for objecting to the panel's composition and for providing additional information such as the names of any persons or documents to be presented (typically two (2) days prior to the hearing). Notice of the findings shall be determined and followed by a written decision within three (3) days of the hearing via email to the parties' University email address. This expedited timeline may be adjusted where fairness so requires.

————— **Cross Examination:** Hearing Panel members and the Student Conduct Officers shall be the only persons permitted to question the reporting party and the charged student. The Chair may pose any questions he/she deems relevant as requested by the reporting party or charged student for cross examination of one another. At no time shall the reporting party or charged student address one another directly. Further, alternate testimony methods may be offered to the parties, e.g. videoconferencing, testifying behind a screen, etc., where deemed appropriate by the Chair.

————— **Sanctioning Guidelines:** Any student found responsible for Sexual Misconduct involving non-consensual or forced sexual contact (where no intercourse has occurred) will likely receive a sanction ranging from probation to expulsion, depending on the severity of the incident and taking into account any previous campus code violations.

————— Any student found responsible for Sexual Misconduct involving sexual exploitation or sexual harassment will likely receive a recommended sanction ranging from warning to expulsion depending on the severity of the incident, taking into account any previous campus conduct code violations.

————— Any student found responsible for Sexual Misconduct involving non-consensual or forced sexual intercourse will likely face a recommended sanction of suspension or expulsion, taking into account any previous campus code violations.

————— Except in conjunction with other discipline, the sanctions of verbal warning, written warning, disciplinary probation, educational sanctions, restitution, administrative fee and alcohol strike are not appropriate if a student is found responsible for violations of the Sexual Misconduct, Discrimination, and Harassment Policy that comprise Sexual Violence, Dating Violence, and Domestic Violence.

————— The Hearing Panel may enter a sanction that is inconsistent with these sanctioning guidelines only if there are serious mitigating factors or particularly egregious behavior, and only after consultation with the University's Title IX Coordinator.

————— **Simultaneous Notification:** The reporting party and the charged student shall be notified simultaneously, in writing, of the result of any disciplinary proceeding, and shall be provided with the University's procedures to appeal the result of the disciplinary proceeding. Furthermore, the reporting party and the charged student shall be simultaneously notified of any change to the results of the disciplinary proceeding and shall be notified when the results are final.

~~_____ **Appeal:** A reporting party, charged student, or Student Conduct may request an appeal of the decision as provided in Section VI below.~~

~~**VI. Appellate Review.** Student Conduct, the charged student, and the reporting party in sexual misconduct cases may appeal the findings or sanction of the Hearing Panel within five (5) days of notice of the decision. The appeal shall be in writing and submitted to Student Conduct and the opposing party. Upon request for an appeal from a hearing, Student Conduct shall immediately request that the UVPSA review the appeal.~~

~~_____ The UVPSA shall have the authority to:~~

~~_____ 1. Affirm the initial decision.~~

~~_____ 2. Find that improper procedures were used that significantly prejudiced the University or student. In this case, the UVPSA can refer the case back to the Hearing Panel with a recommendation on how to correct the procedures. In any new hearing, the Hearing Panel may make a new decision on the case. Student Conduct or the parties may then submit another request for review to the UVPSA~~

~~_____ 3. Reduce or increase the sanction, if the UVPSA determines that the sanction imposed was too severe or too lenient, given the nature of the violation and/or the circumstances. A sanction should not be increased or decreased unless there is compelling justification to do so. Merely disagreeing with the decision of the Hearing Panel board is not a compelling justification.~~

~~_____ 4. Find that (i) Student Conduct or the parties (including the reporting party in sexual misconduct cases) has presented information that would have been material to the outcome of the case, had the information been presented at the hearing, and (ii) the information was not known and could not reasonably have been known to the person appealing at the time of the original hearing. In this event, the UVPSA will refer the case back to the Hearing Panel for reconsideration in light of the new information.~~

~~_____ The UVPSA shall in collaboration with the appropriate University official, base a decision on the record and shall notify the parties, including the reporting party in sexual misconduct cases, where appropriate, of the decision within five (5) days of receipt of the request for appeal and receipt of the record. In some cases, the UVPSA may require more time to reach a decision, and in such cases the parties will be notified that a decision will be reached as soon as reasonably practicable. The UVPSA's decision is final. If the UVPSA does not act or otherwise notify the parties of the need for more time to reach a decision, within five (5) days of the request for appeal and receipt of the record, the decision of the Hearing Panel is final.~~

Appendix D

NO CHANGES

14. **APPENDIX E – CONFLICTS OF INTEREST**

E.1 **INDIVIDUAL CONFLICTS OF INTEREST POLICY**

I. **GENERAL POLICY**

- A. **GENERAL OBLIGATION.** Conflicts of interest can result in serious harms such as improper personal benefits, loss of University resources, misuse of confidential information, and exploitation of employees, students, and others. Even without such consequences, conflicts of interest endanger the University's mission and betray the public's trust if left unreviewed. Therefore, all persons covered by this policy must promptly disclose any conflicts of interest, including any personal interest, activity, or relationship that may affect or detract from the proper exercise of University responsibilities, and must adhere to the University's judgment on permissibility and management.
- B. **SCOPE.** This policy applies to all University Employees¹. It establishes minimum standards and procedures for addressing personal conflicts of interest and outside professional employment. Nothing in this policy prohibits any academic or administrative unit from establishing supplementary Conflicts of Interest policies and/or procedures that are more restrictive than these. This policy overlaps with but does not replace Employee responsibilities under state and federal law or other University policies, e.g., the IRB conflicts of interest policy; and, compliance with those laws/policies does not eliminate the requirement to comply with this policy, and vice versa. Institutional conflicts of interest and certain other specific personal conflicts are addressed by other University policies referenced in Appendix 3.

II. **CONFLICTS OF INTEREST**

A Conflict of Interest arises when a financial or other personal interest, activity, or relationship may reasonably be expected to compromise an Employee's judgment in carrying out his/her University responsibilities. When used in this policy, the term Conflict of Interest also includes potential conflicts (i.e., interests, activities and relationships that do not currently constitute a conflict but will foreseeably do so if not subject to limitation) and the appearance of a conflict (i.e., interests, activities, and relationships that in the University's judgment would impair public trust if not managed appropriately). Conflicts of interest include but are not limited to the following:

- A. **SELF-DEALING.** Transacting any University business with oneself or one's Family or having a Significant Financial Interest in any Company that could foreseeably benefit from the Employee's decisions in discharging University responsibilities.
- B. **USE OF UNIVERSITY RESOURCES.** Taking, allocating, or using any University Resources for a non-University purpose except as otherwise allowed by University policy.
- C. **USE OF EMPLOYEES OR STUDENTS.** Hiring or supervising University Employees or students whom one supervises, instructs, or mentors, in a personal interest, activity, or relationship, or receiving a profit from sales or services to them.
- D. **CONFLICTS OF COMMITMENT.** Engaging in any full or part-time activity that demands a level of time or energy that can reasonably be expected to impair the performance of one's University responsibilities. Outside activities ordinarily understood as full-time are presumed to be inconsistent with full-time University employment.
- E. **ENDORSEMENT.** Presenting one's University affiliation, position, or credentials in a way that gives the appearance of University endorsement of any business, charity, or other outside entity or activity, or creating confusion as to University involvement in the activity.

¹ Definitions of capitalized terms are included in Section 2 and in Appendix 1.

- F. **GIFTS.** Accepting a Gift that may reasonably appear to influence the exercise of one's University responsibilities, or that may appear to be compensation for such exercise, or that otherwise may be prohibited by law.²
- G. **IMPARTIALITY.** Participating in a University matter involving specific parties that is likely to have a direct and predictable effect on the Employee's financial interests (or those of a member of his/her Family); or, where the Employee or Family member has a personal or business relationship with a directly affected party; or where the circumstances would cause a reasonable observer with knowledge of the relevant facts to question the Employee's impartiality. Examples of such parties include members of one's Family, persons with whom one lives or shares a bank account, and persons with whom one has or has recently had significant financial transactions such as employment, contracting, or indebtedness.³
- H. **CONFIDENTIALITY.** Disclosing confidential information, including proprietary information, acquired through one's University employment to anyone not entitled to receive it.
- I. **INTERESTS AND ACTIVITIES PRESUMPTIVELY PERMITTED.** The following interests and activities are presumptively permitted and need not be disclosed so long as they do not constitute a Conflict of Commitment and so long as they are not required to be disclosed by a unit's supplementary policy:
1. interests below the threshold of Significant Financial Interests in a Company that may do business with the University;
 2. financial interests in a Company that does no business with the University, or does business with the University outside the course and scope of one's University responsibilities;
 3. unpaid service on nonprofit or scholarly boards;
 4. service as an editor of a professional publication;
 5. services of a scholarly or professional nature for which tokens of appreciation (honoraria) are traditionally conferred and are not undertaken for personal financial gain, for example a scholarly presentation or program evaluation;
 6. modest personal Gifts of a customary nature, ordinarily with a value less than \$20, where knowledge of the relevant facts would likely not cause a reasonable observer to question the Employee's impartiality;
 7. inclusion of University affiliation in publications or communications where not reasonably likely to be taken as endorsement;
 8. modest personal use, excluding personal business use, of University Resources such as telephone and email as permitted by other University policies.

III. OUTSIDE PROFESSIONAL EMPLOYMENT, EXCLUDING ACTIVITIES COVERED BY A UNIVERSITY PROFESSIONAL PRACTICE PLAN⁴

- A. **GENERAL PROVISIONS.** All Employees shall discharge their responsibilities to the University unhindered by outside employment or other commitments. Full-time Employees owe their primary professional duty to the University; any other employment or activity must be secondary. However, in light of their potential to create Conflicts of Interest, outside employment in the area of one's University duties ("outside professional employment") must be disclosed and approved and may be

² Employees receiving Gifts, gratuities, or other third-party benefits are advised to review Appendix 4 for additional legal restrictions. See Rules 4.8, 4.9, and 4.17.

³ Employees engaged in a matter likely to have a direct effect on their financial interests are advised to review Appendix 4 for additional legal restrictions that may affect participation in the matter. See Rule 4.7.

⁴ While excluded from this Section 3, Employees who are in HSC or other Professional Practice Plans are expected to comply with the terms of their respective Plans and all other applicable University policies and procedures.

limited as provided in this section. All Employees who are permitted to engage in outside professional employment that reasonably appears to create an actual, potential, or apparent Conflict of Interest shall provide their services in strict accordance with an approved management plan.

All Employees having decisional responsibilities, in the application for, design of, or conduct of sponsored research, e.g., investigators, key personnel, or as may otherwise be required by a sponsor, must disclose all outside professional employment.

- B. **STAFF.** Staff Employees are expected to conduct University business during the University's regular business hours, or as otherwise assigned. Staff Employees may not conduct outside professional employment during their assigned University business hours except when leave is authorized. Salaried staff with appointments from 0.8 to 1.0 full-time equivalent (FTE) shall disclose and receive prior approval for all outside professional employment to assess possible conflicts of commitment. All staff employees must disclose and receive prior approval for outside professional employment that reasonably appears to create an actual, potential, or apparent Conflict of Interest.
- C. **FACULTY.** During the terms of their academic appointment, faculty members must attend to all duties and responsibilities including classes, office hours, and service commitments. Faculty participating in a Professional Practice Plan should adhere to these principles in addition to those obligations arising under the Plan.
 - 1. **Faculty During Academic Year.** Faculty members are individually and primarily responsible for arranging their University time. Full-time faculty may, with chair or director approval, commit up to 10 hours in any week for outside professional employment during University business hours so long as the activity does not reasonably appear to create a Conflict of Interest, does not interfere with the faculty member's University duties and responsibilities, and provides important elements of faculty professional development related to University duties and responsibilities. For faculty who accrue leave, the University shall determine the extent to which leave should be taken for outside professional activities.
 - 2. **Summer Outside Professional Employment for 9-Month Faculty.** During any portion of the summer in which 9-month faculty are not on contract with the University, they may engage in outside professional employment without regard to the 10-hour-per-week limitation. Such outside professional employment is presumptively permitted; however, such employment must be disclosed for prior review for actual, potential, or apparent Conflicts of Interest and may not involve use of University Resources, including staff, except as otherwise provided by University policy and agreement by the appropriate office, e.g. the Office of Technology Development in the case of University-owned intellectual property.
 - 3. **Part-Time Faculty.** Faculty with less than full-time appointments may engage in outside professional employment during any time not required by their University responsibilities, unless limited by the terms of their respective professional practice plans.
 - 4. **Regular and Renewable-Term Faculty.** Regular and renewable-term faculty with appointments from 0.8 to 1.0 FTE must disclose all outside professional employment.

IV. DISCLOSURE AND REVIEW

- A. **CONFLICT OF INTEREST OFFICE.** The University President shall designate a Conflict of Interest office or offices on the Norman and Health Sciences Center campuses which shall be responsible for the following:
 - 1. **Education.** Providing to Employees on all campuses adequate information at least annually regarding this policy and their obligations hereunder and ensuring that Employees responsible for implementation and administration of this policy receive appropriate training to effectuate the aims of this policy.

2. **Procedures and Implementation.** Managing the activities of the Conflict of Interest Committees, providing oversight, and promoting uniform standards for conflict of interest disclosure, review, approval, and management across all campuses.
 3. **Recordkeeping.** Maintaining an inventory of all conflict of interest disclosures, management plans, and related pertinent materials across all campuses. The office shall also devise standards for internal disclosure and for public disclosure of conflicts under management sufficient to assure ethical transparency while maintaining an appropriate level of privacy for personal financial interests and personnel records.
- B. **CONFLICT OF INTEREST COMMITTEES.** The University President shall appoint two Conflict of Interest Committees: one on the Norman Campus and one on the Health Sciences Center Campus. Conflicts arising on the Tulsa Campus shall be decided by the Committee for the campus where the Employee's unit is based.
1. **Composition.** Committees shall be composed of four faculty recommended by Faculty Senate; three staff members recommended by Staff Senate from the salaried professional academic and administrative staff; the Vice President for Research or designee; the Senior Vice President and Provost or designee; and additional voting members with specialized competencies and expertise as may be appropriate for deliberations of each Campus's respective Committee. The Committees shall have a nonvoting member designated by the Office of Legal Counsel to provide advice and legal support.
 2. **Powers and Responsibilities.** Committees shall determine the appropriate disposition of covered conflicts arising on their respective campuses.
 3. **Delegation and Support.** Consistent with the aims of this policy, the Conflict of Interest Offices shall be responsible for the day-to-day operation of their respective Committees and shall establish procedures to obtain recommendations from appropriate individuals and units, to decide cases, to delegate routine matters to the Conflict of Interest Office, and to delegate decision-making for conflicts of a specialized nature where the decision-making expertise is localized.
- C. **OBLIGATION TO DISCLOSE.** Employees shall disclose in accordance with their specific campus requirements. Employees shall disclose and seek prior approval for an interest, activity or relationship covered under this policy, or within 30 days of hire, if the activity or relationship predates the Employee's University employment. Disclosures shall be to the appropriate Conflict of Interest Office, in writing, and shall include a clear, detailed explanation of the Conflict. The Conflict of Interest Office may forward the disclosure to other offices for preliminary information, review, or advice as the Office deems necessary.
- D. **REVIEW.** Disclosures shall be reviewed in accordance with procedures established by the Conflict of Interest Office. In light of the unique institutional responsibilities of executive officers, conflicts arising for Executive Officers shall be disclosed according to the Institutional Conflicts of Interest policy.
- E. **POSSIBLE ACTIONS.** The Conflict of Interest Committee or its designee may determine that the activity, interest, or relationship constitutes (a) no conflict, (b) a potential conflict that will be permissible as long as certain limits are not exceeded, (c) a manageable conflict requiring a management plan; or (d) an unmanageable conflict requiring action to terminate either the interest or the University duty involved.
- F. **MANAGEMENT PLANS.** When a Conflict of Interest, whether actual, potential, or apparent, requires management, the Conflict of Interest Committee or its designee shall, with information and input from the Employee and others as it deems appropriate, develop a management plan. Management plans must include a description of the conflict, a summary of the steps required for management, specific individual(s) responsible for the required steps, the records to be maintained under the plan, and a schedule for review, which must occur at least annually.

V. REMEDIATION, RESCISSION, AND ENFORCEMENT

Reports or evidence of policy violations received by the Conflict of Interest Office shall be reviewed, investigated, and referred to the appropriate office for action. Employees who fail to disclose a conflict of interest or to comply with a decision or approved management plan may be subject to discipline up to and including severe sanctions and termination. Employees are reminded that they also are subject to civil and criminal penalties for violations of state or federal laws relating to conflicts of interest. An approving authority may rescind an approved outside professional employment activity upon receipt of information indicating the activity is not consistent with this policy, applicable law, or other University policy. If approval is rescinded, the Employee shall be given written notice and an opportunity to respond to his or her campus Conflict of Interest Committee.

APPENDIX 1: DEFINITIONS

- A. **COMPANY.** Any entity, other than the Board of Regents of the University of Oklahoma, through which business is conducted (profit or non-profit), including such organizations as a sole proprietorship, partnership, company, corporation, civic or social organization.
- B. **EMPLOYEE.** All individuals employed by the University, whether full or part-time. For purposes of this policy, the term "Employee" shall also include postdoctoral fellows, visiting scholars, residents, graduate research and teaching assistants, volunteers, and all key personnel working on grants and contracts whether paid or unpaid.
- C. **FAMILY.** Includes any individual who is a spouse/domestic partner, parent, child, stepchild, or sibling of an Employee or a member of the Employee's household.⁵
- D. **GIFT.** Anything of value to the extent that consideration of equal or greater value is not received in exchange.
- E. **INTELLECTUAL PROPERTY.** Any ideas, discoveries, inventions, technology, creative expressions and embodiments thereof in which a proprietary interest may be claimed such as patents, copyrights, trademarks, know-how, biological materials, and other forms of intellectual property legally recognized as set forth in the University's Intellectual Property Policy.
- F. **SIGNIFICANT FINANCIAL INTEREST.**⁶
1. For a non-publicly traded company.
 - a) Any ownership interest, by the Employee or his or her Family, in a private business, including but not limited to, a closely held corporation; limited liability company; Subchapter S corporation or partnership for which the Employee or his or her Family member is a director, officer, owner, manager, employee, or agent; or any private business, closely held corporation or limited liability company in which the Employee or his or her Family member owns or has owned stock, another form of equity interest, stock options, or debt instruments.
 - b) Any Intellectual Property right or interest for which the Employee or his or her Family has received income.
 - c) Receipt of income of Five Thousand Dollars (\$5,000) or more by the Employee or his or her Family during the twelve months prior to the date of disclosure; or
 2. For a publicly-traded company. Any interest for which ~~remuneration~~ remuneration during the twelve months prior to disclosure, plus the value of equity interest in the entity at date of disclosure, exceeds \$5,000, when aggregated for the Employee and his or her Family.
 3. Significant Financial Interests do not include:
 - a) salary, royalties, or other remuneration paid by the University to employees (including Intellectual Property rights assigned to the University and agreements to share in royalties related to such rights); or
 - b) investment vehicles, such as mutual funds and retirement accounts, where the Member does not directly control the investment decisions made by such vehicles.
- G. **UNIVERSITY RESOURCES.** All University services, real and personal property including facilities, equipment, Intellectual Property, and workforce.

⁵ For the definition of "family" in the State Ethics Rules see Rule 4.2. Due to a university's unique ethical responsibilities in teaching and research, OU's definition is somewhat broader in scope.

⁶ For the definition of "material financial interest" in the State Ethics Rules see Rule 4.7. Under federal law, the University's disclosure requirements are more restrictive, e.g., NSF sponsored research contracts, and rather than confuse the issue by applying different standards, the university elected to abide by the more restrictive rules.

APPENDIX 2: CONFLICTS OF INTEREST IN BUSINESS AND RESEARCH RELATIONSHIPS

- A. **Company Board Membership/Officership.** Service as a director or officer (President, VP, CEO, COO, CFO, Scientific Officer) of a Company is normally acceptable; however, when the Company proposes to do or is doing business with the University, has licensed University technology, or there is, an actual, potential or apparent Conflict of Interest with one's University responsibilities (such as financial conflicts, conflicts of commitment, use of University Resources, potential or actual overlap between University research and Company research, and use or ownership of Intellectual Property), one shall disclose the relationship and seek written approval from the Conflict of Interest Committee pursuant to a management plan.
- B. **Support of Students and Trainees by Companies.** The progress and academic standing of students and trainees must never be compromised. Accordingly, a Company may not be permitted to (i) support a student's academic program if the supervising Employee has Equity or serves as a director or officer (President, VP, CEO, COO, CFO, Scientific Officer) or (ii) employ a student or trainee to conduct research that overlaps with his or her University training or academic program, absent written approval by the Conflict of Interest Committee pursuant to a management plan. The Conflict of Interest Committee shall establish University policies and rules to regulate the circumstances under which the referenced employment relationships may be permitted.
- C. **Funding for Sponsored Research and Service Activities.** There is a presumption against accepting funding from a Company in which the University or the Employee has a financial interest, or the Employee serves as a director or officer (President, VP, CEO, COO, CFO, Scientific Officer). The Conflict of Interest Committee shall establish University policies and rules to regulate the circumstances under which these relationships may be permitted.
- D. **SBIR / STTR Programs.** Under Small Business Innovation Research (SBIR) and Small Business Technology Transfer (STTR) programs, small businesses are encouraged to partner with a research university to perform innovative research and/or to assist in technology transfer from the university. A University Employee may participate in the SBIR/STTR project only through a written contract between the University and the Company approved in accordance with University policy that outlines the Employee's responsibilities and/or University benefits. The Conflict of Interest Committee shall establish University policies and rules to regulate the circumstances under which the referenced employment relationships may be permitted.

APPENDIX 3: OTHER UNIVERSITY POLICIES RELATED TO CONFLICTS OF INTEREST

Conflicts of Interest may take various forms but exist when there is contradiction between the private interests and professional obligations of a University employee. In addition to being addressed directly in this policy, such Conflicts are addressed in other University policies which govern conduct of employees' professional activities. A non-exhaustive listing of such policies follows. A University employee should consult specific University policies presented in the faculty and staff handbooks of their respective campuses for guidance and information regarding specific situations which may relate to Conflicts of Interest.

- Academic Freedom and Responsibility
- Acceptable Use of Information Resources
- Candidacy for Public Office
- Compliance Policies
- Conducting Private Business from University Facilities
- Consensual Sexual Relationship Policy
- Ethics in Research Policy
- Fraud Prevention, Reporting, and Whistleblower Protection Policy
- Fundraising or Solicitation
- General Purchasing Policies
- Intellectual Property Policy
- IRB Conflict of Interest Policy (researchers)
- Nepotism Policy
- Off-Campus Use of University Property
- Participating in Political Campaigns
- Professional Practice Plans – HSC
- Sabbatical Leave
- Sale of Required Instructional Material
- Service as Promotional Speaker for Private Industry – HSC
- Use of State Vehicles for Private Purposes

APPENDIX 4: OKLAHOMA STATE ETHICS RULES, RULE 4: CONFLICTS OF INTEREST (EXCERPTS)

Rules regarding conflicts of interests have been promulgated by the Oklahoma Ethics Commission, not the legislature, but they have the force and effect of law and there are civil penalties available for violating them. In that the Commission may modify the rules, a non-exhaustive COI list, as of 8/14/2019, is set forth below by subject. As applicable to an employee's circumstances, go to the Commission's web site <<https://www.ok.gov/ethics/>> click on "Ethics Laws, Guides & Forms" and review the latest version (annotated) of the applicable rule.

- Rule 4.1. Purpose of Rule 4
- Rule 4.2. Definitions
- Rule 4.4. Misuse of Office
- Rule 4.5. Misuse of Authority
- Rule 4.7. State Officer Impartiality
- Rule 4.8. Gifts from Vendors to Persons Engaged in Purchasing Decisions
- Rule 4.9. Gifts from Successful Vendors
- Rule 4.11. Gratuities Offered at Seminars, Conferences or Similar Events
- Rule 4.12. Modest Items of Food and Refreshments
- Rule 4.13. Acceptance of Meals, Lodging, Transportation and Other Benefits as a Result of Spouse's Business Activities
- Rule 4.14. Acceptance of Meals, Lodging, Transportation and Other Benefits as a Result of Private Business Activities
- Rule 4.15. Acceptance of Meals and Other Benefits for Conference Presentations
- Rule 4.16. Acceptance of Meals for Professional, Civic or Community Events; Acceptance of Meals at Political Events
- Rule 4.17. Gifts to Superiors by State Officers or Employees
- Rule 4.18. State Officer or Employee Representation of Others in Transactions Involving the State
- Rule 4.19. State Officer or Employee Representation of Others Before Employing Agency
- Rule 4.23. State Officer or Employee Violation of Rules through Indirect Action.

E.2 UNIVERSITY OF OKLAHOMA – INSTITUTIONAL CONFLICT OF INTEREST IN RESEARCH ACTIVITIES

I. STATEMENT OF GENERAL POLICY

The University of Oklahoma is responsible for handling public funds in a manner that ensures that all University activities reflect its mission of providing the best possible educational experience through excellence in teaching, research, creative activity and service to the state and society. As the University's collaboration and interaction with the private sector increases, so does the potential for institutional conflicts of interest. These conflicts involve situations in which the integrity of research, the University's educational mission, and/or the University's reputation may be compromised, or may appear to be compromised, by the University's financial interests.

Institutional conflicts of interest can occur whenever the external financial interests or business relationships of the University or of one of its officials are such that their actions could affect, or could reasonably appear to affect, the conduct, review or oversight of the University's research.

It is the policy of the University of Oklahoma that all institutional conflicts of interest, whether real or perceived, must be fully disclosed. The reported conflict must be properly identified and either managed or eliminated prior to initiating any contract, sponsored project, dedicated gift or transaction that might appear to be influenced by the conflict. This policy can be implemented by using a three-step approach:

1. Disclose always
2. Assess the potential for institutional conflicts of interest
3. Manage the conflict in most cases, and prohibit the activity when necessary to preserve the University's mission or protect the public's interests

This policy has been developed to protect the integrity of the research and development process at the University of Oklahoma. It is not intended to supersede or modify other Conflict of Interest policies, including those found in the Norman Campus Faculty Handbook (Sections 3.6, 3.83, 4.20.2, and 5.10) and those found in OU Health Sciences Center's Faculty Handbook Appendix E.

II. DISCLOSING AND IDENTIFYING INSTITUTIONAL CONFLICTS OF INTEREST

What to Disclose

All institutional conflicts of interest, whether perceived, potential, or actual must be disclosed. Institutional conflicts of interest may occur when the institution, any of its senior management or regents, or a college, department, school, or other sub-unit, has an external relationship with, or financial interest in, a company that itself has an interest in a University research project.

Information to Disclose

- Financial interests of all Board of Regents members and executive officers
- Single corporate or private donations exceeding \$1 million or cumulative gifts of \$5 million
- Changes in University equity or royalty holdings
- New University-held licenses

Who Must Disclose

- Individual disclosures of financial interests should be filed by:
 - o Executive Officers
 - o Members of the Board of Regents
- Other disclosures are event-based, and include:
 - o New licenses and royalty or equity holdings, which should be disclosed by the Office of Technology Development
 - o Business contracts for goods or services in which the University generates revenue in excess of \$1 million, which should be disclosed by the college or department generating such revenue

- All single donations to the University exceeding \$1 million or cumulative donations exceeding \$5 million in value, which should be disclosed by the Office of University Development

How to Disclose

Annual disclosures of Significant Financial Interests (as defined in the University's Individual Conflict of Interest policies) must be filed by executive officers, vice presidents and members of the Board of Regents. Disclosure forms required of those individuals by the state ethics commission should also be submitted to the respective campus Provost by June 18th of each year. The Provost for each campus is responsible for collecting and maintaining records of such disclosures.

Event-based disclosures such as corporate donations exceeding \$1 million in value, contracts by which the University generates in excess of \$1 million in revenue and new licenses or equity holdings should be reported by the appropriate Dean or Vice President in sufficient detail to the appropriate Provost. Such disclosures should be made within a reasonable time after their occurrence, but in no event later than sixty (60) days following the acceptance of funds or change in equity or royalty status. The Provost for each campus is responsible for maintaining records of such disclosures.

Identifying Institutional Conflicts of Interest

Institutional conflicts of interest may be identified by cross referencing potential research engagements against the conflict of interest information disclosed. The Vice Presidents for Research on each University campus are responsible for cross referencing University research opportunities against the institutional conflict of interest information maintained by their respective Provost. If a potential institutional conflict of interest is identified, the Vice President(s) for Research shall notify the appropriate Provost, who shall evaluate and act upon the potential conflict in accordance with this policy.

All other employees shall promptly disclose any perceived, potential, or actual institutional conflict of interest of which he or she becomes aware to his/her unit head(s) (chair, center director and/or dean) or supervisor in writing. The unit head(s) will notify the Provost, who will evaluate and act upon the potential conflict in accordance with this policy.

III. MANAGING INSTITUTIONAL CONFLICTS OF INTEREST

While there should be a presumption against allowing research to proceed when an institutional conflict of interest exists, such a presumption can be overcome if a management plan is developed that can appropriately address the conflict. The following steps are recommended for developing a management plan, and are described in greater detail below:

- Factual inquiry performed by Provost
- Factual report and recommendation to either eliminate or manage the conflict made by Provost to an ad hoc committee
- Ad hoc committee review of Provost's report and recommendation
- Ad hoc committee's adoption of a management plan that allows for complete elimination of the conflict, or acceptable management of it
- Implementation of the management plan

Upon receipt of a notice of a potential institutional conflict of interest, the Provost shall oversee an initial inquiry as to the facts of the situation. The inquiry shall include information regarding related individual conflicts of interest, if any. A report containing these facts as well as a recommendation to either eliminate or manage the institutional conflict of interest shall then be made to an ad hoc committee.

The ad hoc committee should be comprised of two executive officers of the University of Oklahoma appointed to serve by the President, a representative from the Office of Legal Counsel, from each campus office of the University Senior Vice President and Provost, and two members from outside organizations appointed to serve by the Chair of the Board of Regents. The ad hoc committee shall be called to meet by either the Norman Campus or Health Sciences Center Provost as needed.

Upon receipt of the factual report and recommendation from a Provost, the committee shall consider the recommended plan to either eliminate or manage the institutional conflict of interest with the following considerations in mind:

- The welfare of any human participants involved in the research
- The integrity of any research process involved
- The effect of the institutional conflict of interest on the University's reputation
- The effect of the institutional conflict of interest on the individual researcher's reputation

Additional considerations may be provided for the ad hoc committee's perusal, such as those articulated in Appendix B for management plans involving intellectual property. The ad hoc committee shall review all considerations when developing the management plan.

The committee's adopted plan should provide sufficient detail to allow for complete elimination of the conflict, or acceptable management of it. Such a management plan may include, but is not limited to, potential actions set forth in the University's Individual Conflicts of Interest Policies.

Plans for elimination of the conflict should be provided to the Provost for implementation. If the Provost disagrees with the ad hoc committee's recommendations, the Provost may, after consultation with the President, appeal the committee decision to a subcommittee of the Board of Regents for the University, which shall be specifically formed for this purpose.

The subcommittee of the Board of Regents may review the written materials associated with the potential institutional conflict of interest and make any investigation that it deems necessary. After considering all the facts and circumstances presented, the subcommittee may take any action that it believes necessary to preserve the integrity of the University, including an outright prohibition of the proposed research.

Plans for management of the conflict should be implemented in the following manner:

After development of a final, acceptable management plan and commencement of the activity, the appropriate individuals with oversight responsibility will regularly report, in writing, to the appropriate Provost on the effectiveness of the plan. The frequency of such reports shall be determined by the ad hoc committee, but generally shall be made at least annually.

If, during the conduct of the activity, the appropriate Provost determines that the conflict has not been properly managed or has become unmanageable, he/she will then determine if the activity should cease, require further modification, or require employee divestment of the conflict. If outside agencies require notification of conflict resolution and management, they will be notified in accordance with their requirements.

IV. ADDITIONAL CONSIDERATIONS

Representing the University as a Whole

Any individual representing the University as a whole in any activity shall make reasonable efforts to avoid institutional conflicts of interest. This includes identifying, acknowledging, and mitigating any institutional conflicts of interest that may arise when representing the University's interests.

Institutional Conflict of Interest Database

The respective Office of the Provost should compile all event-based disclosures into a searchable database. This database should be made available to the respective campus office(s) of research administration, the College of Continuing Education and other offices at the discretion of the respective Senior Vice President and Provost. The database should be referenced and used when considering any new sponsored research agreement.

V. SANCTIONS

Disclosure of institutional conflicts of interest-apparent, potential, and actual, is required for all persons who engage in activities that may involve such conflicts. Among other acts or omissions, failure to fully disclose conflicting

relationships and/or interests or to follow a prescribed management plan may be a serious breach of this policy and may be itself considered research or ethical misconduct.

Persons who violate this policy shall be subject to applicable University policies relating to research or professional misconduct by faculty and staff. With due regard to inadvertent violations, University sanctions may include, without restriction: reprimand, restitution, loss of pay, suspension or dismissal.

Furthermore, persons who violate this policy also may be subject to civil and criminal penalties for violations of state or federal law, e.g., civil penalties for willful violations of state laws may reach \$50,000.00 or more per violation. Allegations against an employee for breach of this policy should be reported in a confidential writing to the appropriate Provost and, if against a staff employee, the appropriate executive officer.

VI. APPENDIX A

For all management plans involving intellectual property developed at the University, the following considerations, if applicable to the situation, should be addressed by the ad hoc committee:

- Any research agreement with a company may not contain any restrictions on publication, including student theses or dissertations, other than those sanctioned by the Faculty Handbook;
- All individuals working on a research project should be provided prior written notice that the research is being sponsored by a company in which a faculty member has an ownership interest, fiduciary relationship, and/or serves as a scientific officer or is on the board;
- Faculty members should provide the Provost and any other appropriate committee or University office a written description of the proposed research and a written assurance of his/her compliance with the restrictions set forth above;
- Faculty members should provide the Provost and any other appropriate committee or University office written reports on the progress of the research, listing related peer-reviewed publications and grants at least annually;
- Faculty members shall follow all management measures required under the management plan and as deemed appropriate by the Provost.

15. APPENDIX F

FINANCIAL EMERGENCY POLICY

While it is assumed that the administration of the University has a continuing responsibility for maintaining a sound budget and it is assumed that through responsible financial management and appropriate retrenchment policies, all approaches for averting a financial crisis will be utilized. It is possible that a financial emergency might become inevitable. The following statement outlines the administrative policies and the procedures for such an eventuality.

The Board of Regents has ultimate responsibility for financial integrity of the University. Decisions resulting from these policies and procedures are subject to the approval of the Board of Regents which may take into consideration such factors as it deems appropriate.

15.1 DEFINITION

~~The University includes four budgetary agencies; Norman Campus; Law Center; the Health Sciences Center, including the College of Medicine, Tulsa; and the Professional Practice Plan.~~ A financial emergency is an imminent fiscal crisis that threatens any ~~one of these~~ the University's budgetary agencies. A state of financial emergency will be declared whenever the Educational and General Part I budget allocation to the agency necessitates reductions in faculty or staff or reductions in operational budgets that would seriously erode program quality.

The President will decide and declare when any agency of the University is in a state of financial emergency. Based upon information received, the President will submit a plan of action to the Board of Regents for approval.

15.2 PROCEDURE

When the possibility of a financial emergency exists, the Senior Vice President and Provost will confer immediately with the deans of the affected colleges. The Senior Vice President and Provost will make a preliminary determination, based on all available information, regarding the possible financial emergency. If the preliminary determination is that such emergency does exist, the Senior Vice President and Provost shall so recommend to the President. The President shall decide and declare when any program of the University is in a state of financial emergency. In response to the declaration, the Senior Vice President and Provost shall prepare a general plan to relieve the emergency condition. This general plan shall not identify specific faculty or personnel for termination of employment but shall review the financial status of the Health Sciences Center and identify general areas in which reductions are proposed. The plan shall be submitted for advisory review to the Health Sciences Center deans and to a Review Committee.

15.2.1 Review Committee

The Review Committee will be formed to evaluate the general plan. The Senior Vice President and Provost will convene the Review Committee and charge it to review the general plan with regard to the principle that every reduction must have an effect substantially less detrimental to the institution's ability to fulfill its mission than would other forms of budgetary curtailment available to the Health Sciences Center. The Review Committee will elect a chair from among its voting members and determine its rules of procedure.

The dean(s) of college(s) which might be directly affected will be given the opportunity to appear before the Review Committee and to present written statements and documents. This opportunity also may be extended to other faculty and administrators. The Review Committee may call any University personnel who might have pertinent information or advice.

The Review Committee, within six weeks of the time it receives its charge, will submit a final report to the Senior Vice President and Provost which summarizes all pertinent information and all written documents will be attached. In addition, the report will include findings of fact and recommendations and the rationale underlying the recommendations. Items of disagreement between the Review Committee and the Senior Vice President and Provost shall be resolved by the President. Final approval of the general plan will be by the President and the Board of Regents.

(a) Committee Composition

1) Oklahoma City Campus

The committee that shall review the general plan for the Oklahoma City Campus of the Health Sciences Center shall be composed of:

- (a) ~~Six~~Seven faculty members, one representing each of the ~~six~~seven colleges on the campus, appointed by the HSC Senior Vice President and Provost from a list of twelve nominees submitted by the Health Sciences Center Faculty Senate.
- (b) The Chair of the Health Sciences Center Staff Senate.
- (c) The University ~~Equal Opportunity~~Institutional Equity Officer, who shall serve *ex officio* without vote.
- (d) The Senior Vice President and Provost or his/her designee who shall serve *ex officio* without vote.
- (e) One or two students, depending on whether or not both undergraduate and graduate professional programs are involved, will be appointed. The student(s) will be appointed by the Senior Vice President and Provost from a list of four nominees submitted by the appropriate student organization(s) in the affected college(s).

2) Tulsa Campus

The University of Oklahoma Health Sciences Center ~~constitutes a single budgetary agency which~~ includes the College of Medicine, Tulsa and the programs of other Health Sciences Center Colleges. While the financial emergency policy developed for the Health Sciences Center will apply with equal force to the ~~College of Medicine, Health Sciences Center programs in~~ Tulsa, certain unique budgetary and programmatic differences require some differences in procedure.

The Committee that shall review the general plan for the ~~College of Medicine, Health Sciences Center~~ programs in Tulsa shall be composed of:

- (a) Six faculty ~~member~~members appointed by the HSC Senior Vice President and Provost from a list of twelve nominees elected by the faculty of the College of Medicine, Tulsa or the Health Sciences Center programs, as appropriate, acting as a committee of the whole. No more than three members selected will hold administrative appointments.
- (b) The Chair of the OU-Tulsa Staff Senate.
- (c) The University ~~Equal Opportunity~~Institutional Equity, Officer who shall serve *ex officio* without vote.
- (d) The Senior Vice President and Provost or his/her designee who shall serve *ex officio* without vote.

15.2.2 Program Discontinuance

In the event that program discontinuance is proposed, the Review Committee will be convened by its chair to review and evaluate all matters relating to the proposed discontinuance and to make recommendations.

The dean of the affected college and all faculty members of the affected department will be given the opportunity to appear before the Review Committee and to present written statements and documents. This opportunity also may be extended to the faculty and administration of programs that might be indirectly affected. The Review Committee may call upon any University personnel who might have pertinent information or advice.

Prior to completing its deliberations, the Review Committee will conduct an open hearing. At the hearing, oral and written comments from all interested persons will be accepted.

The Review Committee will submit a final report to the Senior Vice President and Provost within one month of the time it is charged by the Senior Vice President and Provost to review discontinuance of a program. This report will summarize all pertinent information and all written documents will be attached. In addition, the report will contain the Committee's findings of fact and recommendations and the rationale underlying its findings and recommendations.

The Senior Vice President and Provost will distribute copies of the report to the dean of the affected college and to all directly affected faculty members. Copies of the report also will be made available to other faculty, staff members and students upon request.

Any person may submit a written response to the Review Committee's report within ten University business days following its distribution. The Committee may modify its report after considering this material. Any modifications must be forwarded to the Senior Vice President and Provost within ten University business days following the distribution of the report.

After reviewing all relevant information, the Senior Vice President and Provost will forward his or her recommendation to the President. The report of the Review Committee, together with all attachments, also will be forwarded to the President. Copies of the Senior Vice President and Provost's recommendation will be distributed to the dean of the affected college and all directly affected faculty members. Items of disagreement between the Review Committee and the Senior Vice President and Provost will be resolved by the President. Final approval of the report will be by the President and the Board of Regents.

15.2.3 Terminations

(a) Faculty

If, after consideration of all possible ways of reducing expenditures, the general plan approved by the President necessitates the termination of faculty or staff, either selectively or as a result of program discontinuance, the dean of each college in consultation with the faculty of that college shall develop a specific plan for terminating employment of faculty in that college, which shall be transmitted to the Senior Vice President and Provost. The Senior Vice President and Provost, in consultation with the deans, shall review the individual college plans and develop the overall plan for termination of faculty employment for the Health Sciences Center. Every termination of faculty employment must be justified on the basis that it will have an effect substantially less detrimental to the institution's ability to fulfill its mission than would other terminations.

The plan for the termination of faculty employment shall be submitted to the Review Committee except that the representative of the Staff Senate shall no longer serve. The members of the committee will elect a chair.

The Review Committee shall make recommendations to the Senior Vice President and Provost and the Health Sciences Center deans. When there are unresolved differences, all recommendations shall be submitted to the President.

The plan for terminating faculty employment shall be in accordance with the following guidelines:

- 1) To the extent possible, alternatives other than termination of employment should be explored. Examples of such alternatives are early retirement, fractional appointments, and reduction of salaries, including annual base salary.
- 2) Unless a substantial and serious imbalance in the quality within a given program would result:
 - (a) Employment of untenured faculty should be terminated before that of tenured faculty.
 - (b) Performance, promise, seniority, and affirmative action guidelines should be considered in decisions concerning termination of untenured faculty.

- (c) Equitable reinstatement procedures should be established if the program is reinstated.
- 3) Where termination of employment is required:
- (a) Where termination of employment of faculty with tenure track or consecutive term appointments is required, procedures in regard to non-reappointment stated in the *Faculty Handbook* (see [Section 3.2.7](#)) should be observed, if possible. All notifications of non-reappointment shall be given in writing by the Senior Vice President and Provost.
 - (b) Tenured faculty must be notified by the President of termination by May 31 of the year preceding the final year of appointment and at least 12 months before the ~~end~~termination of the appointment period ~~their employment~~. The dismissal of tenured faculty must be approved by the Board of Regents (see *Faculty Handbook* [Section 3.16](#)). Abrogation proceedings shall not apply in these terminations.
- 4) Where employment of a tenured faculty member has been terminated or where he/she has accepted alternative employment with the University, the faculty member has a three-year priority to return to his/her original position or be employed in another position for which he/she is qualified. Qualification for employment in another position within the University shall be determined by the head of the academic unit with a position vacancy. Within the three-year period someone else shall not be employed to fill the faculty member's position or any other position for which the faculty member is qualified until the faculty member has been offered reinstatement or ~~re-employment~~reemployment and has been given a reasonable time (not to exceed 45 days) within which to accept. It is the responsibility of the faculty member to keep the University informed of his/her address and availability for ~~re-employment~~reemployment. The right of a faculty member to be employed in another position is subject, in accordance with paragraph 2. ~~a-eac~~, to the rights of other faculty members who have also been terminated or transferred.
- A faculty member whose salary or FTE has been reduced shall have the same priority for restoration of his/her former status as the faculty member, described above, whose employment has been terminated.
- 5) Each faculty member whose employment has been terminated has the right to have his/her termination of employment reviewed by the Faculty Appeals Board to determine if these guidelines have been followed, but the circumstances of the financial emergency shall not be reviewed.

~~(b) Student~~
~~(b) Students~~

If a program is discontinued, students in the program shall be notified and every effort shall be made to allow them to finish their program. If it is not possible for students to complete their respective programs, the University may be obliged to make special allowances for such students. Special allowances might include, but not be limited to, the following: permitting the student to complete his/her program by taking work in related departments; accepting more than the usual number of transfer hours; and accepting major work taken online or by correspondence from the University or other schools.

(c) Staff

If the general plan approved by the President entails the termination of employment of staff, the Senior Vice President and Provost, in consultation with the Health Sciences Center deans and the Vice Presidents, Vice Provosts, and Directors of Health Sciences Center service areas, and representative(s) of the Staff Senate, shall suggest a more specific plan for termination of staff employment. Staff terminations will be handled in a manner which is consistent with the current Policy and Procedures for Reduction of Work Force at The University of Oklahoma.

(Regents, 9-6-78, 11-10-83, 1-26-99, 1-27-04)

16. APPENDIX G

PROGRAM DISCONTINUANCE POLICY

The success of any university in a free society rests in a large measure on the degree to which it is responsive to the needs of its students and the citizens who provide the financial support to sustain it. Responsiveness is an essential element of the fabric of a successful university. It does not assure excellence, but its absence assures failure.

Because of changes in the needs of society and the rapidity with which new knowledge is accumulated and disseminated, the relevance and cost effectiveness, of academic programs must be constantly reviewed. This does not suggest, however, that there are no other meaningful dimensions to the purposes of a university. A university also serves as a repository of knowledge, societal traditions, and cultural heritage and some programs may have a more direct relevance than others.

Viewed in this light, the evaluation of programs on the Health Sciences Center campus is a positive approach to help ensure that University programs are responsive to the needs of society, the students, and the goals of the University.

The discontinuance of a program is the legitimate concern of the students, faculty and administration of the University. The purpose of this policy is to establish procedure which provides an opportunity for input from all interested groups prior to a final decision by the Board of Regents.

While these procedures are established by action of the University Board of Regents and will be implemented as University policy, extraordinary circumstances might arise in which the Board of Regents feels compelled to suspend these procedures after obtaining reasonable faculty input.

16.1 PROGRAM

The term "program" as used in this document ordinarily refers to a college, department or degree program established by the Regents. The discontinuance of a program need not entail the elimination of a degree program or the dismissal of faculty members.

16.2 CRITERIA FOR DISCONTINUANCE

Criteria for determining whether a program should be discontinued ought to place the greatest emphasis on meeting the goals and objectives of the University. This requires a judicious assessment of the program. A formula which addresses all contingencies cannot be established.

Many factors are pertinent when evaluating a program's contribution to the overall mission of the University. Among these factors are quality, cost effectiveness, current and projected demands for the program and societal needs. When program discontinuance is based on financial emergency, the Financial Emergency Policy shall apply.

16.3 PROCEDURE

16.3.1 Initial Steps

When the possibility of program discontinuance is raised, the Senior Vice President and Provost will confer immediately with the dean of the affected college and the chairperson of the affected department. The Senior Vice President and Provost will make a preliminary determination, based on all available information, regarding the discontinuance. In the event the Senior Vice President and Provost decides not to proceed, the matter will be reported to the President and the Board of Regents prior to any announcement. If the Senior Vice President and Provost decides to proceed, he/she will do so in accordance with the following procedure.

16.3.2 Ad Hoc Committee for Evaluation and Recommendations

If the Senior Vice President and Provost decides to proceed with the program discontinuance, an ad hoc committee will be formed to evaluate all information and to make recommendations. The ad hoc committee will be composed of seven or eight members as follows:

- (a) Four committee members, including two from the affected college will be appointed by the Senior Vice President and Provost as follows: The Senior Vice President and Provost will request the governing body of the affected college to submit eight nominees to the Faculty Senate. The Faculty Senate will select four of these nominees, add four more nominees from outside the affected college, and submit the list of eight nominees to the Senior Vice President and Provost. Nominees will hold non-administrative appointments except for the dean of the affected college, who may be nominated.
- (b) Two faculty members, appointed by the Senior Vice President and Provost, who may hold administrative or non-administrative appointments.
- (c) One or two students, depending on whether or not both undergraduate and graduate programs are involved, will be appointed. The student(s) will be appointed by the Senior Vice President and Provost from a list of four nominees submitted by the appropriate student organization(s) in the affected college.

16.3.3 Proceedings of the Ad Hoc Committee

The Senior Vice President and Provost will convene the ad hoc Committee and charge it to review and evaluate all matters relating to the proposed discontinuance and to make recommendations. The ad hoc Committee will elect a chair from among its members and determine its rules of procedure. The dean of the affected college and all faculty members of the affected department will be given the opportunity to appear before the ad hoc Committee and to present written statements and documents. This opportunity also will be extended to the faculty and administration of programs that might be directly or indirectly affected by the discontinuance. The Committee will have access to all University personnel who might have pertinent information or advice.

16.3.4 Open ~~Hearing~~To Comment

The Senior Vice President and Provost will conduct an open hearing ~~before~~Before the ad hoc Committee completes its deliberations. ~~At the hearing, the ad hoc Committee and,~~ the Senior Vice President and Provost will accept ~~both oral and~~ written comments from ~~all interested persons~~University students and employees.

16.3.5 Report of the Ad Hoc Committee

The ad hoc Committee will submit a final report to the Senior Vice President and Provost within two months of its initial meeting. This report will summarize all pertinent information and all written documents will be attached. In addition, the report will contain the ad hoc Committee's findings of fact and recommendations and the rationale underlying its findings and recommendations.

The Senior Vice President and Provost will distribute copies of the report to the dean of the affected college and to all directly affected faculty members. Copies of the report also will be made available to other faculty, staff members and students upon request.

Any person may submit a written response to the ad hoc Committee report within two weeks following its distribution. The Committee may modify its report after considering this material. Any modification must be forwarded to the Senior Vice President and Provost within one month following the distribution of the report.

16.3.6 Decision of the Senior Vice President and Provost

After reviewing all available information, the Senior Vice President and Provost will forward his/her recommendation to the President. The report of the ad hoc Committee together with all attachments, also will be forwarded to the President. Copies of the Senior Vice President and Provost's recommendation will be distributed to the dean of the affected college and all directly affected faculty members.

16.3.7 Decision of the President

After reviewing all available information, the President will forward his/her recommendation to the Board of Regents for final action. ~~The Senior Vice President and Provost's recommendation and the report of the ad hoc Committee also will be forwarded to the Regents.~~ Copies of the President's recommendation will be distributed to the Senior Vice President and Provost, dean of the affected college and all directly affected faculty members.

16.4 TERMINATIONS AND ALTERNATIVES

16.4.1 Faculty

If a decision is made to discontinue a program, the Senior Vice President and Provost will notify each directly affected faculty member, in writing, of the probable effect of the discontinuance on his/her employment.

Where termination of employment of faculty with tenure track or consecutive term appointments is required, notification provisions in the *Faculty Handbook* (see [Section 3.2.7](#)) shall apply. All notifications of non-reappointments shall be given in writing by the Senior Vice President and Provost.

Tenured faculty must be notified by the President of termination by May 31 of the year preceding the final year of appointment and at least 12 months before the end of their appointment period. The dismissal of tenured faculty must be approved by the Board of Regents (see *Faculty Handbook* [Section 3.16](#)).

If notification practices are not fulfilled, the faculty member may appeal to the Faculty Appeals Board.

Plans will be developed in accordance with the following guidelines:

- (a) The University will make every reasonable effort to eliminate the need for terminating faculty, including transfers to other programs when there are vacancies for which they are qualified. Eligibility for employment in other University programs shall be determined by the head of the academic unit with a position vacancy.
- (b) Tenure and seniority will be respected as priority conditions if alternative employment opportunities exist for which the individual is the best qualified candidate.
- (c) Employment of untenured faculty should be terminated before that of tenured faculty.
- (d) Performance, potential, seniority and affirmative action guidelines should be considered in decisions concerning termination of untenured faculty.

~~(e) Equitable reinstatement procedures should be established if the program is reinstated.~~

16.4.2 Students

If a decision is made to discontinue a program, the students in the program shall be notified by the Senior Vice President and Provost in coordination with HSC & OU-Tulsa Student Affairs, and every effort shall be made to allow them to finish their programs within a reasonable length of time. If it is not possible for students to complete their program, the University will make every reasonable effort to facilitate their transfers to other programs or institutions.

16.4.3 Staff

The current Policies and Procedures for Reduction of Workforce at The University of Oklahoma will be followed in case of a reduction of staff.

(Regents, 12-14-78, 5-14-81, 11-10-83, 1-26-99)

17. APPENDIX H

~~H.1 — SEXUAL MISCONDUCT, DISCRIMINATION, AND HARASSMENT POLICY~~

~~H.2 — INVESTIGATIVE PROCESS FOR INTERNAL COMPLAINTS INVOLVING SEXUAL MISCONDUCT, DISCRIMINATION AND HARASSMENT~~

I. Policy on Sexual Misconduct, Discrimination, and Harassment

The U.S. Department of Education’s Office for Civil Rights issued a Notice of Proposed Rulemaking (NPRM) regarding upcoming changes to the Title IX regulations. It is anticipated that there will be substantive changes for institutional sex-based discrimination and harassment definitions and grievance procedures, as well as more specific requirements for non-discrimination on the basis of pregnancy or related conditions. The implementation date for these changes is anticipated to be spring 2024.

Therefore, in anticipation of these upcoming changes, the entire Sexual Misconduct, Discrimination, and Harassment Policy may be accessed here:

https://www.ou.edu/eoo/about/sexual-misconduct-policies/jcr_content/contentpar/download_2/file.res/SMDH%20NEW%20Policy%20Final%208-14-2020%20RSU_CU.pdf

The University’s Investigative Process for Formal Complaints of Sexual Harassment and Misconduct may be accessed here:

https://www.ou.edu/eoo/about/sexual-misconduct-policies/jcr_content/contentpar/download_3/file.res/Grievance_Procedure_Investigative_Final_AMENDED_7-28-22.pdf

The University is committed to creating and maintaining a community where all persons who participate in University programs and activities can work and learn together in an atmosphere free from discrimination and harassment. The University prohibits discrimination based on sex or gender, which includes discrimination and harassment on the basis of pregnancy, sexual orientation, gender identity or expression, and all forms of sexual harassment, including sexual assault, dating violence, domestic violence, and stalking.

The Office of Institutional Equity is charged with oversight responsibilities and investigation of sex discrimination and sexual harassment as defined by this policy and in compliance with applicable federal laws, including Title IX of the Education Amendments Act of 1972, Title VII of the Civil Rights Act of 1964, the Violence Against Women Act of 1994 (as reauthorized), and applicable Oklahoma laws. In addition, the Office of Institutional Equity is charged with investigating sexual misconduct that constitutes Workplace Harassment, Employee Sexual Misconduct, and Prohibited Conduct under the University of Oklahoma Student Rights and Responsibilities Code. ~~The Office of Institutional Equity is also responsible for investigations of conduct in violation of the Consensual Sexual Relationships Policy.~~

Through its Institutional Equity Officer and Title IX Coordinator, the University reserves the right to independently address known concerns falling under this policy in order to stop sex discrimination and sexual harassment, prevent its recurrence, and remedy its effects. The term “Title IX Coordinator” refers to the Institutional Equity Officer and Title IX Coordinator who oversees the implementation of the University’s Sexual Misconduct, Discrimination, and Harassment Policy, as well as the University’s Non-Discrimination Policy and Affirmative Action Plan. The Title IX Coordinator has the primary responsibility for coordinating the University’s efforts related to the intake, investigation, resolution, and implementation of supportive measures to stop, remediate, and prevent discrimination, harassment, and retaliation prohibited under these policies.

The Title IX Coordinator manages the Title IX Team and acts with independence and authority free from bias and conflicts of interest. The Title IX Coordinator oversees all resolutions under this policy and procedure. The Title IX Coordinator requires training for all Office of Institutional Equity staff, including investigators, as well as for Decision-makers and Informal Resolution Facilitators. These individuals are trained to ensure they are not biased for or against any party in a specific case, or for against Complainants and/or Respondents, generally. To raise any concern involving bias or conflict of interest, or reports of misconduct or discrimination by the Title IX Coordinator, contact President Joseph Harroz, Jr. at 660 Parrington Oval, Evans Hall, Room 110, Norman, OK 73019, (405) 325-3916,

ouharroz@ou.edu. Concerns of bias or potential conflict of interest or reports of misconduct or discrimination by any other Title IX Team member should be raised with the Title IX Coordinator.

The term “Title IX Coordinator” as used herein may also include an Associate Title IX Coordinator or other member of the Title IX Team under the supervision of the Title IX Coordinator. For the purposes of this policy, the term “Complainant” means any individual who is alleged to be the victim of conduct that could constitute Prohibited Conduct. The term “Respondent” means any individual who is reported or alleged to be the perpetrator of conduct that could constitute Prohibited Conduct.

Any person seeking to invoke the protections of this policy may do so solely by providing notice to the Title IX Coordinator as provided herein; notice to other members of the University community will not be imputed to the Title IX Coordinator.

~~II.~~ ADMINISTRATIVE CONTACT INFORMATION

Complaints or notice of alleged policy violations, or inquiries about or concerns regarding this policy and procedures, may be ~~made internally~~ made to:

Christine Taylor
 Title IX Coordinator
 Office of Institutional Equity
~~660 Parrington Oval, Evans Hall – 920 Stanton L Young, Room 1022320~~
~~Norman Oklahoma City, OK 7301973104~~
~~(405) 325-3546/271-2110~~
christine.taylor@ou.edu

~~I.~~ PRESUMPTION OF INNOCENCE

~~A Respondent who is alleged to have engaged in Prohibited Conduct, as defined below, shall be presumed innocent during the pendency of any grievance proceedings.~~

~~II.~~ PROHIBITED CONDUCT

~~The following conduct, or attempted conduct (in the case of conduct prohibited in subsections C and E below), is prohibited, and constitutes “Prohibited Conduct” for purposes of this Policy:~~

~~**A. Sex Discrimination:** Conduct directed at a specific individual or a group of identifiable individuals that subjects the individual or group to treatment that adversely affects their employment or education, or institutional benefits, on account of sex or gender (including sexual orientation, gender identity, and gender expression discrimination). It may include acts of verbal, nonverbal, or physical aggression, intimidation, or hostility based on sex or sex stereotyping, even if these acts do not involve conduct of a sexual nature.~~

~~**B. Pregnancy Discrimination:** Discrimination on the basis of pregnancy, childbirth, false pregnancy, termination of pregnancy or recovery therefrom. Discrimination on the basis of pregnancy should be reported in accordance with this policy. Employees with questions regarding accommodations during pregnancy are encouraged to contact the Office of Human Resources (<http://hr.ou.edu>), students and visitors with questions regarding accommodations during pregnancy are encouraged to contact the Accessibility and Disability Resource Center (<https://www.ou.edu/adrc>).~~

~~**C. Title IX Sexual Harassment** A specific form of sex discrimination. Title IX Sexual Harassment includes the following types of Prohibited Conduct when they occur in the context of the University’s educational programs or activities, and within the United States.~~

~~For the purposes of this policy, “educational program or activity” includes locations, events, or circumstances over which the University exercised substantial control over both the Respondent and the context in which the sexual harassment occurs, and also includes any building owned or controlled~~

by an officially recognized or registered student organization. Under Title IX, Sexual Harassment means conduct on the basis of sex that satisfies one or more of the following:

- ~~1) **Hostile Environment Harassment**, which is unwelcome conduct determined by a reasonable person to be so severe, pervasive, and objectively offensive that it effectively denies a person equal access to the University's education program or activity;~~
 - ~~2) **Quid Pro Quo Sexual Harassment**, where an employee of the University is conditioning the provision of an aid, benefit, or service of the University on an individual's participation in unwelcome sexual conduct; or~~
 - ~~3) **Sexual Assault, Dating Violence, Domestic Violence, or Stalking** as defined below in accordance with applicable law:

 - a. ~~Sexual Assault includes:

 - i. **Rape**—penetration, no matter how slight, of the vagina or anus with any body part or object, or oral penetration by a sex organ of another person, without the consent of the victim;
 - ii. **Fondling**—The touching of the private body parts of another person for the purpose of sexual gratification, without the consent of the victim;
 - iii. **Incest**—Non-Forcible sexual intercourse between persons who are related to each other within the degrees wherein marriage is prohibited by law; and
 - iv. **Statutory Rape**—sexual intercourse with a person who is under the statutory age of consent.~~~~
 - ~~4) **Dating Violence**, which is violence between individuals in the following circumstances:

 - a. ~~The party is or has been in a social relationship of a romantic or intimate nature with the victim; and~~
 - b. ~~The existence of such a relationship shall be determined based on a consideration of the following factors:

 - i. ~~length of the relationship;~~
 - ii. ~~type of relationship;~~
 - iii. ~~frequency of interaction between the persons involved in the relationship~~~~~~
 - ~~5) **Domestic Violence**, which is an assault and battery against: a current or former spouse; a present spouse of a former spouse; a former spouse of a present spouse; parents; a foster parent; a child; a person otherwise related by blood or marriage; a person with whom the Respondent is or was in a dating relationship; an individual with whom the Respondent has had a child; a person who formerly lived in the same household as the Respondent; or a person living in the same household~~
 - ~~6) **Stalking**, which is a course of conduct directed at a specific person that would cause a reasonable person to:

 - a. ~~Fear for the person's safety or the safety of others, or~~
 - b. ~~Suffer substantial emotional distress~~~~
- ~~**D. Workplace Harassment:** Unwelcome conduct that is based on sex (including pregnancy), and (1) enduring the offensive conduct becomes a condition of continued employment, or (2) the conduct is severe or pervasive enough to create a work environment that a reasonable person would consider intimidating, hostile, or abusive.~~
- ~~**E. Employee Sexual Misconduct:** Employee conduct that occurs outside the context of the educational program or outside the United States, but where the conduct otherwise meets one or more definitions of Sexual Harassment set forth in Section C, above. The Office of Institutional Equity is authorized to investigate Prohibited Conduct under this section with written approval from the University's Chief Human Resources Officer.~~

- ~~F. **Sexual Misconduct – Student Code Violation:** Student conduct that occurs outside the context of the educational program or outside the United States, but otherwise meets one or more definitions of Sexual Harassment set forth in Section C, above. The Office of Institutional Equity is authorized to investigate Prohibited Conduct under this section with written approval from the Director of Student Conduct stating the Prohibited Conduct, as alleged, is within the University’s jurisdiction as defined in the Student Code of Rights and Responsibilities.~~
- ~~G. **Retaliation:** Any attempt to penalize or take an adverse employment, educational or institutional benefit action, including but not limited to making threats, intimidation, reprisals, interference with an individual’s protected rights, or other adverse action, against a person because of participation or non-participation in a report, investigation, or grievance process of Prohibited Conduct.~~
- ~~H. **False Reporting:** Knowingly making a materially false statement in bad faith or knowingly submitting materially false information during the grievance process is prohibited. False reporting does not include accidental or inadvertent false statements, immaterial inaccuracies, or statements made outside the context of making a report, filing a grievance, participating in a grievance procedure, or during the grievance process.~~
- ~~I. **Violation of Consensual Sexual Relationships Policy:** The Consensual Sexual Relationships Policy may be found here: <https://www.ou.edu/coo/policies>.~~

~~III. DIRECT ADMINISTRATIVE ACTION~~

- ~~A. **Administrative Review:** Subject to the limitations of applicable law, the Title IX Coordinator reserves the right to address an incident of Prohibited Conduct on campus even if no Formal Complaint of Title IX Sexual Harassment or other Complaint alleging other Prohibited Conduct is filed, and may take unilateral action to remedy the effects of sexual harassment. In undertaking a unilateral administrative action, however, the Title IX Coordinator may not impose any disciplinary sanction or unduly burden a Respondent.~~
- ~~B. **Emergency Removal – Students:** Discrimination on the basis of pregnancy, childbirth, false pregnancy, termination of pregnancy or recovery therefrom. Discrimination on the basis of pregnancy should be reported in accordance with this policy. Employees with questions regarding accommodations during pregnancy are encouraged to contact the Office of Human Resources (<http://hr.ou.edu>), students and visitors with questions regarding accommodations during pregnancy are encouraged to contact the Accessibility and Disability Resource Center (<https://www.ou.edu/adrc>).~~
- ~~C. **Emergency Removal/Administrative Leave – Non student employees:** With respect to employees (other than student employees), upon a determination at any stage in the grievance procedure that the continued performance of either party’s regular duties or University responsibilities would not be in the best interest of the University, the executive officer over the area may, with the concurrence of the Chief Human Resources Officer, suspend or reassign an employee’s duties or responsibilities, or place the individual on an administrative leave of absence pending the completion of the grievance procedure.~~
- ~~D. **Emergency Removal/Administrative Leave – Non student employees:** With respect to employees (other than student employees), upon a determination at any stage in the grievance procedure that the continued performance of either party’s regular duties or University responsibilities would not be in the best interest of the University, the executive officer over the area may, with the concurrence of the Chief Human Resources Officer, suspend or reassign an employee’s duties or responsibilities, or place the individual on an administrative leave of absence pending the completion of the grievance procedure.~~

~~IV. REPORTING PROHIBITED CONDUCT~~

~~Upon receiving a report of Prohibited Conduct, the Title IX Coordinator will promptly provide a Complainant with important information about options for filing a Formal Complaint of Sexual Harassment, if applicable; a Complaint of Employee Sexual Misconduct or Sexual Misconduct (Student Code Violation), or other~~

appropriate grievance as set forth below. The Title IX Coordinator will offer information about supportive measures that are available without regard to whether any grievance is filed.

A. Duty to Report Prohibited Conduct: Supervisors, managers and faculty members with administrative duties or student supervisory duties are responsible for taking all appropriate action to prevent sex discrimination and harassment, and to stop and correct it when it occurs, and are expected to report it to the Institutional Equity Officer and Title IX Coordinator or any of the University's Associate Title IX Coordinators at (405) 325-3546. Others' knowledge of alleged misconduct will not trigger University obligations or liability; it is, however, the policy of the University of Oklahoma that all employees who are aware of allegations of Prohibited Conduct are expected to promptly report the matter to the Title IX Coordinator.

B. Immunity Policy: The safety of students, employees, and the campus community are of utmost importance to the University. In order to encourage reporting of incidents of Prohibited Conduct, no Complainant, Respondent, or witness will be referred for disciplinary action solely for engaging in the unlawful or prohibited use of alcohol and/or drugs when the reported incident occurred. Provided, nothing prohibits an investigator or decision maker from inquiring into alcohol and/or drug use if a party or witness's use of alcohol or drugs is relevant in the grievance process.

C. Confidential Reporting Resources: Requests for confidentiality or anonymity may limit or preclude the University's ability to conduct an investigation of allegations of Prohibited Conduct. A request for confidentiality will be respected unless the Title IX Coordinator determines it is necessary to conduct an investigation.

These on-campus resources can offer options and advice without the obligation to inform University officials, including the Title IX Coordinator, unless the Complainant requests that the information be shared. Parties wishing to report confidentially may do so by contacting:

- OU Advocates: HSC/Norman (405) 615-0013 — provides referral and support; Tulsa OU Advocates (8 a.m. — 5 p.m.): (918) 660-3163 (after hours: 918-743-5763)
- Employee Assistance Program: (800) 327-5043 (Norman / HSC); (918) 587-9471 (Tulsa) — provides counseling services and referrals for University faculty/staff
- HSC Student Counseling Services: (405) 271-7336 — provides counseling services
- OU-Tulsa Student Counseling: (918) 660-3109 — provides counseling services

D. Timing of Complaints: There is no time limitation on reporting an incident to the Title IX Coordinator or for filing a Formal Complaint of Title IX Sexual Harassment or Complaint of other Prohibited Conduct. However, if the Respondent is no longer subject to the University's jurisdiction for disciplinary sanctions and/or significant time has passed, the ability to investigate, respond, and provide remedies may be more limited or impossible. In cases where significant time has lapsed since the reported incident, the Title IX Coordinator shall offer supportive measures. If a Formal Complaint of Title IX Sexual Harassment, Complaint of Employee Sexual Misconduct, or Sexual Misconduct (Student Code Violation) is dismissed because passage of time renders investigation not reasonably practicable, the parties will be afforded the right to appeal the decision in accordance with the Grievance Procedures for Title IX Sexual Harassment and Sexual Misconduct.

E. Intake Process: Upon receiving a report or Formal Complaint of Title IX Sexual Harassment or Complaint of other Prohibited Conduct, the Office of Institutional Equity staff and/or the Title IX Coordinator will promptly communicate with a Complainant to discuss the availability of supportive measures, provide information about the investigative process, and discuss the process for filing a Formal Complaint of Title IX Sexual Harassment or a Complaint of other Prohibited Conduct. Where applicable, Complainants will also be advised on the preservation of evidence that may be relevant to a University or other proceeding and their right to seek a court issued order of protection. Complainants will be informed of the right to report an incident to law enforcement authorities and will be offered assistance in reporting to law enforcement if requested.

F. Supportive Measures: The Title IX Coordinator promptly makes supportive measures available to

the parties upon receiving notice or a complaint. Supportive measures are non-disciplinary, non-punitive, individualized services offered without fee or charge to either party before or after the filing of a Formal Complaint of Title IX Sexual Harassment or Complaint of other Prohibited Conduct, or where none is filed. Supportive measures are designed to restore or preserve equal access to the University's education program or activity without unreasonably burdening the other party. Supportive measures may include a range of options such as counseling, course-related adjustments, modifications of work or class schedules, campus services, mutual restrictions on contact between the parties, changes in work or housing locations, and other similar measures. A mutual restriction on contact between the parties is referred to as a "no contact order," which is enforceable through student and employee conduct processes.

At the time that supportive measures are offered, the Office of Institutional Equity will inform the Complainant, in writing, of the option to file a Formal Complaint with the Office of Institutional Equity either at that time or in the future, if the Complainant has not done so already. The Title IX Coordinator works with the Complainant and will take the Complainant's wishes into account with respect to the supportive measures that are planned and implemented. The University will maintain the privacy of the supportive measures, provided that privacy does not impair the University's ability to provide the supportive measures.

- G. Confidentiality:** The University will keep confidential the identity of any individual who has made a report or complaint of Prohibited Conduct, any Complainant, any individual who has been reported to be the perpetrator of sex discrimination, any Respondent, and any witness (unless permitted by FERPA, or required under law, or as necessary to conduct proceedings under Title IX or to carry out the purposes of the Title IX regulations to conduct any investigation, hearing, or judicial proceeding arising thereunder, which includes a grievance process).

V. FORMAL COMPLAINT OF TITLE IX SEXUAL HARASSMENT OR SEXUAL MISCONDUCT

A Complainant may choose whether to proceed with filing a Formal Complaint of Title IX Sexual Harassment or Complaint of Employee Sexual Misconduct or Sexual Misconduct (Student Code Violation). In certain instances, such as those which indicate a pattern, predation, threat, weapons and/or ongoing violence, or when an employee is alleged to have sexually harassed a student, the Title IX Coordinator may initiate an investigation.

- A. Promptness:** The Office of Institutional Equity will respond promptly to reports of Title IX Sexual Harassment, Employee Sexual Misconduct and Sexual Misconduct (Student Code Violation). Formal Complaints may take 60-90 business days to resolve, typically. The Office of Institutional Equity will work to avoid undue delays within its control, but in some cases timelines may need to be extended. Any time the general timeframes for resolution outlined in the Office of Institutional Equity's procedures will be delayed, the Office of Institutional Equity will provide written notice to the parties of the delay, the cause of the delay, and an estimate of the anticipated additional time that will be needed as a result of the delay.

- B. Process summary:** The Grievance Procedures for Formal Complaints Involving Title IX Sexual Harassment and Sexual Misconduct are designed to provide the parties with an impartial investigation, decision-making, equitable resolution, and appellate process. While individual proceedings may vary depending upon the specific facts and circumstances, a grievance will follow the following format:

- a. Formal Complaint
- b. Written Notice to Parties
- c. Investigation of Formal Complaint
- d. Parties' Review and Response to Evidence
- e. Investigative Report
- f. Live Hearing
- g. Determination
- h. Appeal by Either Party

- i. Sanctions and Other Remedies Implemented (if warranted)
- j. Informal Resolution (under certain circumstances, at any time prior to a Determination by agreement of the parties)

C. Filing a Formal Complaint of Title IX Sexual Harassment or Sexual Misconduct:

a. Title IX Sexual Harassment:

A Formal Complaint is a document or electronic submission (such as by electronic mail, through an online portal provided for this purpose by the University, or by any other means that results in the Title IX Coordinator receiving the person's verbal or written report) that contains the Complainant's digital or physical signature, or otherwise indicates that the Complainant is the person filing the formal complaint (or, in some cases, signed by the Title IX Coordinator) alleging sexual harassment against a Respondent about conduct within the University's education program or activity and requesting that the University investigate the allegation. At the time of filing a Formal Complaint, a Complainant must be participating in or attempting to participate in the University's education program or University-related activity.

A Formal Complaint may be filed with the Title IX Coordinator (or any Associate Equity Officer or Associate Title IX Coordinator, all of whom constitute the Title IX Coordinator for purposes of this Policy). The Formal Complaint may be filed in person, by mail, or by electronic mail at any time of day, including during non-business hours, using the contact information listed for the Title IX Coordinator. Generally, a Formal Complaint should be filed as quickly as possible to facilitate the ability to gather facts and evidence; however, every Formal Complaint will be reviewed regardless of when an incident occurred. The Office of Institutional Equity encourages the use of its in-office form for filing a Formal Complaint; however, no particular form is required as long as it (1) is signed, (2) alleges sexual harassment, against a Respondent, and (3) requests an investigation.

Where the Title IX Coordinator signs a Formal Complaint, the Title IX Coordinator is not a Complainant or party during a grievance process and will comply with the requirements for Title IX personnel to be free from conflicts and bias.

b. Employee Sexual Misconduct or Sexual Misconduct (Student Code Violation):

The process for a filing a Complaint of Employee Sexual Misconduct or Sexual Misconduct (Student Code Violation) is the same as the process for filing a Formal Complaint of Title IX Sexual Harassment above, except that prior to initiating an investigation into the alleged conduct, the Title IX Coordinator must first request authorization to investigate from the Chief Human Resources Officer or Director of Student Conduct, who will determine whether the University has disciplinary jurisdiction over the Respondent pursuant to the applicable Staff and Faculty Handbook provisions or Student Code of Rights and Responsibilities. Once a Complaint is filed, the Complaint procedures will follow the same procedure for a Formal Complaint of Title IX Sexual Harassment except where specifically noted herein or in the Grievance Procedures for Formal Complaints of Title IX Sexual Harassment or Sexual Misconduct.

~~VI. REPORTING AND FILING A COMPLAINT OF GENDER-BASED DISCRIMINATION, RETALIATION, OR FALSE REPORTING~~

~~Students or employees who have experienced adverse effects to their employment or education, or institutional benefits, on account of sex or gender (including pregnancy, sexual orientation, gender identity, and gender expression discrimination) may trigger the protections of this policy by filing a Complaint with the Office of Institutional Equity. A Complaint filed under this section should state with specificity the person(s) responsible for the discriminatory conduct, the adverse effect it has caused to the Complainant's employment, education, or institutional benefits, and a statement of the relief requested.~~

~~Complaints of Gender-Based Discrimination, Workplace Harassment (other than Title IX Sexual Harassment or Sexual Misconduct), Retaliation, and False Reporting will be investigated in accordance with the Investigative Procedures for Gender-Based Discrimination.~~

~~VII. REMEDIES AND DISCIPLINARY SANCTIONS~~

~~If (1) upon conclusion of an investigation and adjudicatory proceedings, or (2) pursuant to voluntary participation in an Informal Resolution process, a Respondent is found to be responsible for engaging in Prohibited Conduct, the Title IX Coordinator may recommend appropriate remedies and disciplinary sanctions. Remedies are designed to restore or preserve equal access to the University's education program or activity, and include measures such as academic support, counseling, and other supportive measures (whether burdensome, punitive, or disciplinary to the Respondent). The Title IX Coordinator will be responsible for the effective implementation of remedies.~~

~~The range of possible disciplinary sanctions include:~~

PROHIBITED CONDUCT*	EMPLOYEE DISCIPLINARY SANCTION		STUDENT DISCIPLINARY SANCTION	
SEXUAL HARASSMENT—HOSTILE ENVIRONMENT	MIN.	WRITTEN REPRIMAND	MIN.	DISCIPLINARY PROBATION
	MAX.	TERMINATION	MAX.	SUSPENSION/DELAYED DEGREE
SEXUAL HARASSMENT—QUID PRO QUO	MIN.	SUSPENSION WITHOUT PAY	MIN.	SUSPENSION
	MAX.	TERMINATION	MAX.	EXPULSION/DELAYED DEGREE
SEXUAL ASSAULT	MIN.	TERMINATION	MIN.	SUSPENSION
	MAX.	TERMINATION	MAX.	EXPULSION/DELAYED DEGREE
DATING VIOLENCE OR DOMESTIC VIOLENCE	MIN.	SUSPENSION WITHOUT PAY	MIN.	DISCIPLINARY PROBATION
	MAX.	TERMINATION	MAX.	EXPULSION/DELAYED DEGREE
STALKING	MIN.	SUSPENSION WITHOUT PAY	MIN.	DISCIPLINARY PROBATION
	MAX.	TERMINATION	MAX.	EXPULSION/DELAYED DEGREE
OTHER PROHIBITED CONDUCT	SANCTIONS FOR ALL OTHER PROHIBITED CONDUCT MAY RANGE FROM WRITTEN REPRIMAND TO TERMINATION AND SUSPENSION AND/OR EXPULSION, DEPENDING UPON THE TOTALITY OF THE CIRCUMSTANCES.			
*SANCTIONS UNDER THIS SECTION APPLICABLE TO PROHIBITED CONDUCT THAT AMOUNTS TO TITLE IX SEXUAL HARASSMENT, EMPLOYEE SEXUAL MISCONDUCT OR SEXUAL MISCONDUCT (STUDENT CODE VIOLATION)				

~~VIII. DEFINITION OF CONSENT~~

~~Consent is the act of willingly agreeing to engage in sexual contact or conduct. Individuals who consent to sex must be able to understand what they are doing.~~

- ~~• Consent is informed, knowing and voluntary. Consent is active, not passive. Silence, in and of itself, cannot be interpreted as consent. Consent can be given by words or actions, as long as those words or actions create mutually understandable permission regarding the conditions of sexual activity.~~
- ~~• Consent to one form of sexual activity cannot imply consent to other forms of sexual activity.~~
- ~~• Previous relationships or consent does not imply consent to future sexual acts.~~

- ~~Consent cannot be procured by use of physical force, compelling threats, intimidating behavior, or coercion.~~

~~Use of alcohol, medications, or other drugs will not excuse behavior that violates this policy. Examples of when a person should know the other is incapacitated and may be unable to give valid consent include, but are not limited to:~~

- ~~the amount of alcohol, medication or drugs consumed~~
- ~~imbalance or stumbling~~
- ~~slurred speech~~
- ~~lack of consciousness or inability to control bodily functions or movements~~
- ~~vomiting~~
- ~~legal incapacity, such as in the case of a minor and/or persons under legal guardianship~~

~~IX. FREE SPEECH AND ACADEMIC FREEDOM~~

~~Members of the University community enjoy significant free speech protections guaranteed by the First Amendment of the United States Constitution. This policy is intended to protect members of the University community from discrimination and is not designed to regulate protected speech. No provision of this policy shall be interpreted to prohibit conduct that is legitimately related to course content, teaching methods, scholarship, or public commentary of an individual faculty member or the educational, political, artistic or literary expression of students in classrooms and public forums. However, freedom of speech and academic freedom are not limitless and do not protect speech or expressive conduct that violates federal or state anti-discrimination laws.~~

~~X. RECORDS~~

~~The Office of Institutional Equity will retain records in accordance with the requirements of applicable local, state, and federal law. Records of all Title IX reports, complaints, investigations, determinations, disciplinary sanctions, remedies, supportive measures, hearing materials (including audio/audiovisual recordings/transcripts of a live hearing), appeals, informal resolutions, and materials used to train coordinators, investigators, and decision makers with regard to sexual harassment will be retained for a minimum of seven (7) years.~~

~~The University disseminates a public Annual Security Report (ASR) to employees and students every October 1st. The ASR includes statistics of campus crime for the preceding 3 calendar years, plus details about efforts taken to improve campus safety. The report includes: definitions of sexual harassment, resources and reporting for a person who is victimized, support services, on and off campus resources, preventive measures and the sex offender registration. Additionally, there are policy statements regarding crime reporting, campus facility security and access, incidences of alcohol and drug use, and the prevention of/response to sexual assault, domestic and dating violence, and stalking.~~

~~XI. AVAILABILITY OF OTHER COMPLAINT PROCEDURES~~

~~In addition to seeking criminal charges through local law enforcement, members of the University community may also file complaints with the following entities irrespective of whether they choose to file a Formal Complaint or other grievance under this procedure:~~

~~Office of Civil Rights: _____~~

- ~~Kansas City Field Office:
OCR.KansasCity@ed.gov | 1-816-268-0550~~

- ~~Washington D.C.:
OCR@ed.gov | 1-800-421-3481~~

Equal Employment Opportunity Commission:

- Oklahoma City Field Office:
1-800-669-4000
- Washington D.C.:
1-800-669-4000 | <https://www.eeoc.gov/contact/>

State of Oklahoma Attorney General's Office: —

- Office of Civil Rights Enforcement:
OCRE@oag.gov | 405-521-2029

Federal funding agencies

- e.g. LEP@NASA.gov | NASA: 1-866-654-1440

XII. STATE LAW DEFINITIONS

~~In accordance with the Violence Against Women Reauthorization Act of 2013, please be advised that the following definitions are applicable should you wish to pursue Oklahoma state criminal or civil actions. These definitions may differ from the University's administrative policy definitions noted above. The University's administrative system and disciplinary procedures are separate and distinct from those available to someone in a state civil or criminal action. Individuals may seek administrative remedies in accordance with this policy and also may seek state or federal civil or criminal remedies for the same incident through the applicable systems. The definitions set forth below are reviewed and verified annually; for a more frequently updated resource, please consult Oklahoma's State Court Network site: <http://www.oscn.net>.~~

Consent

~~The term "**consent**" means the affirmative, unambiguous and voluntary agreement to engage in a specific sexual activity during a sexual encounter which can be revoked at any time. **Consent** cannot be:~~

~~1. Given by an individual who:~~

- ~~(a) is asleep or is mentally or physically incapacitated either through the effect of drugs or alcohol or for any other reason, or~~
- ~~(b) is under duress, threat, coercion or force; or~~

~~2. Inferred under circumstances in which consent is not clear including, but not limited to:~~

- ~~(a) the absence of an individual saying "no" or "stop", or~~
- ~~(b) the existence of a prior or current relationship or sexual activity.~~

~~21. O.S. § 113 (effective June 6, 2016)~~

Sexual Assault

- ~~(a) rape, or rape by instrumentation, as defined in SectionS 1111,1111.1 and 1114 of this title, or~~
- ~~(b) forcible sodomy, as defined in Section 888 of this title~~

~~21. O.S. § 142.20~~

Rape

~~(a) Rape is an act of sexual intercourse involving vaginal or anal penetration accomplished with a male or female who is not the spouse of the perpetrator and who may be of the same or the opposite sex as the perpetrator under any of the following circumstances:~~

- ~~1) Where the victim is under sixteen (16) years of age;~~

- ~~2) Where the victim is incapable through mental illness or any other unsoundness of mind, whether temporary or permanent, of giving legal consent;~~
- ~~3) Where force or violence is used or threatened, accompanied by apparent power of execution to the victim or to another person;~~
- ~~4) Where the victim is intoxicated by a narcotic or anesthetic agent, administered by or with the privity of the accused as a means of forcing the victim to submit;~~
- ~~5) Where the victim is at the time unconscious of the nature of the act and this fact is known to the accused;~~
- ~~6) Where the victim submits to sexual intercourse under the belief that the person committing the act is a spouse, and this belief is induced by artifice, pretense, or concealment practiced by the accused or by the accused in collusion with the spouse with intent to induce that belief. In all cases of collusion between the accused and the spouse to accomplish such act, both the spouse and the accused, upon conviction, shall be deemed guilty of rape;~~
- ~~7) Where the victim is under the legal custody or supervision of a state agency, a federal agency, a county, a municipality or a political subdivision and engages in sexual intercourse with a state, federal, county, municipal or political subdivision employee or an employee of a contractor of the state, the federal government, a county, a municipality or a political subdivision that exercises authority over the victim;~~
- ~~8) Where the victim is at least sixteen (16) years of age and is less than twenty (20) years of age and is a student, or under the legal custody or supervision of any public or private elementary or secondary school, junior high or high school, or public vocational school, and engages in sexual intercourse with a person who is eighteen (18) years of age or older and is an employee of the same school system.~~
- ~~9) Where the victim is nineteen (19) years of age or younger and is in the legal custody of a state agency, federal agency or tribal court and engages in sexual intercourse with a foster parent or foster parent applicant.~~
- ~~(b) Rape is an act of sexual intercourse accomplished with a male or female who is the spouse of the perpetrator if force or violence is used or threatened, accompanied by apparent power of execution to the victim or to another person.~~

~~21. O.S. § 1111~~

Rape by Instrumentation

- ~~(a) Rape by instrumentation is an act within or without the bonds of matrimony in which any inanimate object or any part of the human body, not amounting to sexual intercourse is used in the carnal knowledge of another person without his or her consent and penetration of the anus or vagina occurs to that person.~~
- ~~(b) Provided, further, that at least one of the circumstances specified in Section 1111 of this title has been met; further, where the victim is at least sixteen (16) years of age and is less than twenty (20) years of age and is a student, or under the legal custody or supervision of any public or private elementary or secondary school, junior high or high school, or public vocational school, and engages in conduct prohibited by this section of law with a person who is eighteen (18) years of age or older and is an employee of the same school system, or where the victim is under the legal custody or supervision of a state or federal agency, county, municipal or a political subdivision and engages in conduct prohibited by this section of law with a federal, state, county, municipal or political subdivision employee or an employee of a contractor of the state, the federal government, a county, a municipality or a political subdivision that exercises authority over the victim, consent shall not be an element of the crime.~~

- (c) ~~Provided, further, that at least one of the circumstances specified in Section 1111 of this title has been met; further, where the victim is nineteen (19) years of age or younger and in the legal custody of a state agency, federal agency or tribal court and engages in conduct prohibited by this section of law with a foster parent or foster parent applicant.~~

~~21. O.S. § 1111.1~~

~~**Rape in First Degree—Second Degree**~~

- (a) ~~Rape in the first degree shall include:~~
- ~~1) rape committed by a person over eighteen (18) years of age upon a person under fourteen (14) years of age; or~~
 - ~~2) rape committed upon a person incapable through mental illness or any unsoundness of mind of giving legal consent regardless of the age of the person committing the crime; or~~
 - ~~3) rape accomplished where the victim is intoxicated by a narcotic or anesthetic agent, administered by or with the privity of the accused as a means of forcing the victim to submit; or~~
 - ~~4) rape accomplished where the victim is at the time unconscious of the nature of the act and this fact is known to the accused; or~~
 - ~~5) rape accomplished with any person by means of force, violence, or threats of force or violence accompanied by apparent power of execution regardless of the age of the person committing the crime; or~~
 - ~~6) rape by instrumentation resulting in bodily harm is rape by instrumentation in the first degree regardless of the age of the person committing the crime or~~
 - ~~7) rape by instrumentation committed upon a person under fourteen (14) years of age.~~
- (b) ~~In all other cases, rape or rape by instrumentation is rape in the second degree~~

~~21. O.S. § 1114~~

~~**Forcible Sodomy**~~

- (b) ~~The crime of forcible sodomy shall include:~~
- ~~1) Sodomy committed by a person over eighteen (18) years of age upon a person under sixteen (16) years of age;~~
 - ~~2) Sodomy committed upon a person incapable through mental illness or any unsoundness of mind of giving legal consent regardless of the age of the person committing the crime;~~
 - ~~3) Sodomy accomplished with any person by means of force, violence, or threats of force or violence accompanied by apparent power of execution regardless of the age of the victim or the person committing the crime;~~
 - ~~4) Sodomy committed by a state, county, municipal or political subdivision employee or a contractor or an employee of a contractor of the state, a county, a municipality or political subdivision of this state upon a person who is under the legal custody, supervision or authority of a state agency, a county, a municipality or a political subdivision of this state;~~
 - ~~5) Sodomy committed upon a person who is at least sixteen (16) years of age but less than twenty (20) years of age and is a student of any public or private secondary school, junior~~

~~high or high school, or public vocational school, with a person who is eighteen (18) years of age or older and is employed by the same school system;~~

- ~~6) Sodomy committed upon a person who is at the time unconscious of the nature of the act, and this fact should be known to the accused; or~~
- ~~7) Sodomy committed upon a person where the person is intoxicated by a narcotic or anesthetic agent administered by or with the privity of the accused as a means of forcing the person to submit.~~

~~21. O.S. § 888~~

Dating Violence

~~Dating violence is not defined under Oklahoma law; however, the law does provide that any act of physical harm, or the threat of imminent physical harm against a person with whom a perpetrator was or is in a dating relationship is considered domestic violence, which defined below. The law defines dating relationship as: a courtship or engagement relationship. For purposes of this act, a casual acquaintance or ordinary fraternization between persons in a business or social context shall not constitute a dating relationship.~~

~~22. O.S. § 60.1 (1), (5)~~

Domestic Violence

~~Domestic violence is not defined under Oklahoma law; however, the law does provide that: any person who commits any assault and battery against a current or former spouse, a present spouse of a former spouse, a former spouse of a present spouse, parents, a foster parent, a child, a person otherwise related by blood or marriage, a person with whom the defendant is or was in a dating relationship as defined by Section 60.1 of Title 22 of the Oklahoma Statutes, an individual with whom the defendant has had a child, a person who formerly lived in the same household as the defendant, or a person living in the same household as the defendant shall be guilty of domestic abuse.~~

~~21 O.S. § 611 (C)~~

Stalking

~~Any person who willfully, maliciously, and repeatedly follows or harasses another person in a manner that:~~

- ~~1) Would cause a reasonable person or a member of the immediate family of that person to feel frightened, intimidated, threatened, harassed, or molested; and~~
- ~~2) Actually causes the person being followed or harassed to feel terrorized, frightened, intimidated, threatened, harassed, or molested.~~

~~For purposes of this section:~~

- ~~1) "Harasses" means a pattern or course of conduct directed toward another individual that includes, but is not limited to, repeated or continuing unconsented contact, that would cause a reasonable person to suffer emotional distress, and that actually causes emotional distress to the victim. Harassment shall include harassing or obscene phone calls as prohibited by Section 1172 of this title and conduct prohibited by Section 850 of this title. Harassment does not include constitutionally protected activity or conduct that serves a legitimate purpose;~~
- ~~2) "Course of conduct" means a pattern of conduct composed of a series of two or more separate acts over a period of time, however short, evidencing a continuity of purpose. Constitutionally protected activity is not included within the meaning of "course of conduct";~~
- ~~3) "Emotional distress" means significant mental suffering or distress that may, but does not~~

necessarily require, medical or other professional treatment or counseling

4) ~~"Unconsented contact" means any contact with another individual that is initiated or continued without the consent of the individual, or in disregard of that individual's expressed desire that the contact be avoided or discontinued. Constitutionally protected activity is not included within the meaning of unconsented contact. Unconsented contact includes but is not limited to any of the following:~~

- ~~(a) following or appearing within the sight of that individual,~~
- ~~(b) approaching or confronting that individual in a public place or on private property,~~
- ~~(c) appearing at the workplace or residence of that individual,~~
- ~~(d) entering onto or remaining on property owned, leased, or occupied by that individual,~~
- ~~(e) contacting that individual by telephone,~~
- ~~(f) sending mail or electronic communications to that individual, and~~
- ~~(g) placing an object on, or delivering an object to, property owned, leased, or occupied by that individual; and~~

5) ~~"Member of the immediate family", for the purposes of this section, means any spouse, parent, child, person related within the third degree of consanguinity or affinity or any other person who regularly resides in the household or who regularly resided in the household within the prior six (6) months.~~

~~21 O.S. § 1173~~

~~XIII. EDUCATION, TRAINING, AND RESOURCES~~

~~Employees must take an approved training course every 2 years during their career, with the initial training in their first 30 days of service at the University (<https://onpoint.ou.edu>). Employees may be required to be recertified on demand. Failure to have a certification of this required training may result in appropriate disciplinary action. Additional in-person trainings are also offered periodically and on request. Where University employees are also students, they will be required to also take the mandatory online training provided to students. For those without access to a computer or in need of additional assistance, please contact the University's Human Resources Department to take the training in an alternate format. Please see the types of training offered below. For more information on training resources or to view copies of training resources, visit the Office of Institutional Equity website.~~

~~A. For students, the University offers:~~

- ~~• Mandatory online training for students through: <http://onpoint.ou.edu>. Where students are also University employees, they will be required to take both the employee training and the student online training.~~
- ~~• Training on sexual harassment/discrimination/violence is included in the University's mandatory alcohol training program (in person and online).~~
- ~~• In-person training for student groups and students through courses, orientations, and other meetings.~~
- ~~• In-person training for Active Bystander Intervention skills: <https://ou.edu/gec/trainings>.~~
- ~~• On-going campus campaigns and information at a variety of events concerning the policy and appropriate behaviors regarding sexual assault, dating violence, domestic violence, stalking, and other sexual misconduct.~~
- ~~• Informational website and brochures devoted to educating students at <https://www.ou.edu/eoo>.~~
- ~~• In-person training (Step In, Speak Out and LGBTQ Ally) prevention workshops: <https://www.ou.edu/gec/>.~~
- ~~• OU Advocates available 24/7 to discuss all available resources on and off campus: (405)615-0013. For Tulsa-based programs (8 a.m.—5 p.m.) (918) 660-3163; after hours: (918) 743-5763.~~

B. For employees, the University offers:

- ~~Mandatory online training for employees through: <http://onpoint.ouhsc.edu>~~
- ~~In person training on sexual harassment/discrimination/violence and mandatory reporting through new employee orientations, foundations in management, and other periodic training opportunities and upon request.~~
- ~~Ongoing campus campaigns and information at a variety of events, concerning the policy and appropriate behaviors, regarding sexual assault, dating violence, domestic violence, stalking, and other sexual misconduct.~~
- ~~Informational website and brochures devoted to educating employees at: www.ou.edu/eoo.~~
- ~~In person training (LGBTQ Ally) prevention workshops.~~
- ~~OU Advocates available 24/7 to discuss all available resources on and off campus confidentially; 405-615-0013. For Tulsa-based programs (8 a.m. – 5 p.m.): (918)-660-3163 or after hours (918) 743-5763.~~
- ~~University Ombudsperson: (405) 325-4137 Email: ombuds@ou.edu to discuss available resources and options for faculty/staff confidentially~~

C. Other resources available to the University community:

- ~~OU Advocates (24/7): (405) 615-0013—provides advocates and referrals to other resources on-campus and off-campus. For Tulsa-based programs (8 a.m. – 5 p.m.) (918)-660-3163; after hours: (918) 743-5763~~
- ~~Gender + Equality Center: (405) 325-4929—provides information and referrals~~
- ~~OUPD: emergencies (405) 325-1911; non-emergencies (405) 325-2864—provides law enforcement support~~
- ~~Goddard Health Center: (405) 325-2911—provides confidential counseling/medical services on the Norman campus~~
- ~~Employee Assistance Program: (800) 327-5043—confidential resources for HSC and Norman employees; (918)-587-9471 for OU-Tulsa employees~~
- ~~Norman Police Department: 911 for emergencies; (405) 321-1600 non-emergencies—provides law enforcement support~~
- ~~Norman Rape Crisis Center Women’s Resource Center: (405) 701-5660—confidential off-campus resource~~
- ~~Norman Domestic Violence Crisis Line: (405) 701-5540—provides confidential resources off-campus~~
- ~~OUHSC PD: (405) 271-4300—provides law enforcement support HSC Student Counseling Services: (405) 271-7336—provides confidential counseling services on the HSC campus~~
- ~~OKC Rape Crisis/YWCA: (405) 943-7273—provides confidential resources off-campus~~
- ~~OKC Police Department: 911 for emergencies; (405) 231-2121 non-emergencies~~
- ~~Call Rape/Tulsa Rape Crisis: (918) 585-3143—provides confidential resources off-campus~~
- ~~OU Tulsa Counseling: (918) 660-3109—provides confidential counseling services on the Tulsa campus~~
- ~~Tulsa Police Department: 911 for emergencies; (918) 596-9222 for non-emergencies—provides law enforcement support~~
- ~~Tulsa 211 Helpline: (918) 836-4357~~
- ~~Oklahoma Coalition Against Domestic Violence and Sexual Assault: (405) 524-0700—provides confidential resources off-campus~~
- ~~Oklahoma Safeline: (800) 522-7233—provides confidential resources off-campus~~
- ~~Heartline Health: (800) 273-TALK—provides referral and support~~
- ~~University Ombudsperson: (405) 325-4137 Email: ombuds@ou.edu—provides confidential guidance and referrals for University faculty/staff~~

Report online *here*: https://cm.maxient.com/reportingform.php?UnivofOklahoma&layout_id=10

(Regents, 3-8-2017)

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H.2 INVESTIGATIVE PROCESS FOR FORMAL COMPLAINTS OF SEXUAL HARASSMENT AND MISCONDUCT**I. Who May Utilize this Procedure**

This procedure may be used by any member of the University community who is participating in or attempting to participate in the University's education program or a University related activity. It is applicable to Formal Complaints concerning Title IX Sexual Harassment (which includes Hostile Environment Harassment, Quid Pro Quo Harassment, Sexual Assault, Domestic Violence, and Dating Violence). This procedure may also be used by any member of the University community who wishes to file a Complaint of Employee Sexual Misconduct, and Sexual Misconduct (Student Code Violation) as set forth in the Sexual Misconduct, Discrimination, and Harassment Policy.

The University may modify these procedures at any time as deemed appropriate for compliance with applicable federal, state, and local law and guidance.

If a Formal Complaint or Complaint triggers this Procedure but also includes allegations that could constitute a separate violation of the Student Code of Rights and Responsibilities or other applicable policy, this Procedure may be modified as reasonably necessary to fully investigate the matter and to avoid duplicative investigations. Prior to initiating any such additional investigation into misconduct under the Student Code of Rights and Responsibilities or employee misconduct, the Title IX Coordinator shall obtain written authorization from the Director of Student Conduct or the Chief Human Resources Officer.

II. Filing of Formal Complaint of Title IX Sexual Harassment

This Grievance Procedure is initiated with a Formal Complaint of Title IX Sexual Harassment or Complaint of Employee Sexual Misconduct or Sexual Misconduct (Student Code Violation).

A Formal Complaint must be filed with the Title IX Coordinator (or any Associate Equity Officer or Associate Title IX Coordinator, all of whom constitute the Title IX Coordinator for purposes of this Policy). The Formal Complaint may be filed in person, by mail, or by electronic mail at any time of day, including during non-business hours, using the contact information listed for the Title IX Coordinator. Generally, a Formal Complaint should be filed as quickly as possible to facilitate the ability to gather facts and evidence; however, every Formal Complaint will be reviewed regardless of when an incident occurred. The Office of Institutional Equity encourages the use of its in-office form for filing a Formal Complaint; however, no particular form is required as long as it (1) is signed, (2) alleges sexual harassment, against a Respondent, and (3) requests an investigation.

Where the Title IX Coordinator signs a Formal Complaint, the Title IX Coordinator is not a Complainant or party during a grievance process and will comply with the requirements for Title IX personnel to be free from conflicts and bias.

The Title IX Coordinator may consolidate Formal Complaints as to allegations of Title IX Sexual Harassment against more than one Respondent, or by more than one Complainant against one or more Respondents, or by one party against the other party, where the allegations arise out of the same facts or circumstances. Where a grievance process involves more than one Complainant or more than one Respondent, references in this section to the singular "party," "Complainant," or "Respondent" include the plural, as applicable.

III. Filing a Complaint of Employee Sexual Misconduct or Sexual Misconduct (Student Code Violation)

The process for a filing a Complaint of Employee Sexual Misconduct or Sexual Misconduct (Student Code Violation) is the same as the process for filing a Formal Complaint of Title IX Sexual Harassment above, except that prior to initiating an investigation into the alleged conduct, the Title IX Coordinator must first request authorization to investigate from the Chief Human Resources Officer or Director of Student Conduct, who will determine whether the University has jurisdictional authority to impose disciplinary sanctions on the Respondent pursuant to the applicable Staff and Faculty Handbook provisions or Student Code of Rights and Responsibilities, as applicable. Once a Complaint is filed, the Complaint procedures will follow the same procedures for Formal Complaints of Title IX Sexual Harassment except where specifically noted herein or in

~~the Grievance Procedures for Formal Complaints of Title IX Sexual Harassment or Sexual Misconduct.~~

~~IV. Dismissal or Withdrawal of a Complaint~~

~~a. Mandatory Dismissal of Formal Complaint of Title IX Sexual Harassment~~

~~Either upon the initial review of a Formal Complaint or during the course of an investigation, the Title IX Coordinator or Investigator shall dismiss a Formal Complaint of Title IX Sexual Harassment if:~~

- ~~• The conduct, as alleged, does not meet the definition of Title IX Sexual Harassment even if proved;~~
- ~~• The alleged conduct did not occur in the University's education program or activity; or~~
- ~~• The alleged conduct did not occur against a person in the United States.~~

~~If a Formal Complaint is dismissed for any of the above reasons, the Complainant and Respondent will be provided a written notice of the dismissal and the reason(s) for dismissal.~~

~~Dismissal of the Formal Complaint of Title IX Sexual Harassment does not preclude action under other policies or codes of conduct of the University. If the conduct, as alleged, would constitute Employee Sexual Misconduct or Sexual Misconduct (Student Code Violation), the grievance process may continue in accordance with these procedures. After a dismissal, the Title IX Coordinator shall issue a Written Notice to Parties reflecting the dismissal, the correct charge, if any, and any changes to disciplinary procedures without requiring further action by either party.~~

~~b. Discretionary Dismissal~~

~~The Title IX Coordinator or Investigator may dismiss a Formal Complaint of Title IX Sexual Harassment, or a Complaint of Employee Sexual Misconduct/Sexual Misconduct (Student Code Violation) if:~~

- ~~• The Complainant requests in writing to withdraw or dismiss a Formal Complaint or any allegations therein;~~
- ~~• The Respondent is no longer enrolled in or employed by the University; or~~
- ~~• Any specific circumstances exist which would prevent the University from gathering evidence sufficient to reach a determination regarding responsibility.~~

~~After a dismissal under this section, the Title IX Coordinator shall issue a Written Notice to Parties reflecting the correct charge, if any, and any changes to disciplinary procedures without requiring further action by either party.~~

~~c. Appeal of Dismissal~~

~~Either party may appeal a dismissal of a Formal Complaint of Title IX Sexual Harassment or a Complaint of Employee Sexual Misconduct/Sexual Misconduct (Student Code Violation), or any allegations therein. Such appeals may only be made on the following bases:~~

- ~~• A procedural irregularity affected the outcome of the matter;~~
- ~~• New evidence that was not reasonably available at the time the determination of dismissal, that could reasonably affect the decision, and;~~
- ~~• The Title IX Coordinator or Investigator had a conflict of interest or bias for or against complainants or respondents (generally or individually) that affected the outcome.~~

~~Appeal of a dismissal in which the Respondent is a student will be evaluated by the Vice President for Student Affairs. Appeal of a dismissal in which the Respondent is an employee will be evaluated by~~

~~the Chief Human Resources Officer. A copy of the appeal will be provided to all other parties, who will be afforded up to five (5) University business days to submit a written statement in response. Within five (5) University business days of receiving the written statement, the Vice President for Student Affairs or Chief Human Resources Officer will issue a written decision including the rationale for the decision and provide it simultaneously to the parties.~~

~~If an appeal of a dismissal is granted, the Formal Complaint will be reinstated.~~

~~If an appeal of a dismissal is denied, all appropriate administrative officials and parties shall be notified in writing that the matter is closed, except in cases where a dismissal of a Formal Complaint of Title IX Sexual Harassment allegations will be investigated as a charge of Employee Sexual Misconduct or Sexual Misconduct (Student Code Violation).~~

~~V. Grievance Process~~

~~Once a Complainant has been informed of the applicable policies and procedures and available Supportive Measures, and a Formal Complaint has been filed, the grievance process will follow the following general format:~~

~~a. Initial Information and Required Notices~~

- ~~i. Initial Intake—An initial interview with the Complainant to gather information about the Formal Complaint, if needed.~~
- ~~ii. Written Notice to Parties—Upon receipt of a Formal Complaint, the University will provide Written Notice to the Complainant and Respondent(s) identified in the Formal Complaint. A Written Notice to Parties will include:~~
 - ~~• A meaningful summary of all of allegations,~~
 - ~~• The identity of the involved parties (if known),~~
 - ~~• The precise misconduct being alleged,~~
 - ~~• The date and location of the alleged incident(s) (if known),~~
 - ~~• The specific policies implicated,~~
 - ~~• A description of the applicable procedures,~~
 - ~~• A statement of the potential sanctions/responsive actions that could result,~~
 - ~~• A statement that the University presumes the Respondent is not responsible for the reported misconduct unless and until the evidence supports a different determination,~~
 - ~~• A statement that determinations of responsibility are made at the conclusion of the process and that the parties will be given an opportunity to inspect and review all directly related and/or relevant evidence obtained during the review and comment period,~~
 - ~~• A statement about the University's policy on retaliation,~~
 - ~~• Information about the privacy of the process,~~
 - ~~• Information on the need for each party to have an Advisor of their choosing and suggestions for ways to identify an Advisor,~~
 - ~~• A statement informing the parties that University policy prohibits knowingly making false statements, including knowingly submitting false information during the resolution process,~~
 - ~~• Detail on how the party may request disability accommodations during the interview process,~~
 - ~~• A link to the University's VAWA Brochure,~~
 - ~~• The name(s) of the Investigator(s), along with a process to identify, in advance of the interview process, to the Title IX Coordinator any conflict of interest that the Investigator(s) may have, and~~
 - ~~• An instruction to preserve any evidence that is directly related to the allegations.~~

~~Amendments and updates to the written notice may be made as the investigation progresses and more information becomes available regarding the addition or dismissal of various charges. Notice will be made in writing and may be delivered by one or more of the following methods: in person, mailed to the local or permanent address(es) of the parties as indicated in official University records, or emailed to the parties' University issued email or designated accounts. Once mailed, emailed, and/or received in person, notice will be presumptively delivered.~~

~~b. Investigation~~**~~i. Gathering Evidence~~**

~~The Title IX Coordinator will assign the matter to an impartial Investigator. If, during the course of gathering evidence, the Investigator uncovers additional allegations of Prohibited Conduct, the Investigator will promptly supplement the Written Notice to Parties to include them.~~

~~The Investigator will provide an equal opportunity for the parties to present witnesses, including fact witnesses and expert witnesses, and other evidence. The Investigator may conduct interviews, collect statements, collect documents or electronic evidence, and medical evidence from the parties or if deemed necessary by the Investigator. However, in the case of medical records (records made or maintained by a physician, psychiatrist, psychologist, or other recognized professional or paraprofessional acting or assisting in that capacity) made or maintained in connection with the provision of treatment to a party, the Investigator must obtain that party's voluntary written consent prior to accessing, using, considering, or disclosing the records.~~

~~Information that is protected by a legal privilege such as attorney-client or doctor-patient cannot be used during an investigation unless the individual holding that privilege has waived it. Neither the Investigator nor either party is allowed to seek or permit questions about or allow the introduction of evidence that is protected by a legally recognized privilege. Individuals may opt to waive their own privileges if they want but they do not have to.~~

~~The Investigator will not consider evidence that is not relevant. Irrelevant evidence may include: (1) incidents not directly related to the possible violation, unless they evidence a pattern; (2) improper character evidence concerning the parties; or (3) questions and evidence about the Complainant's sexual predisposition or prior sexual behavior, unless such questions and evidence about the Complainant's prior sexual behavior are offered to prove that someone other than the Respondent committed the conduct alleged by the Complainant, or if the questions and evidence concern specific incidents of the Complainant's prior sexual behavior with respect to the Respondent and are offered to prove consent.~~

~~ii. Gathering Evidence~~

~~Prior to completion of the investigative report, the Investigator will provide the parties and their advisor(s), if any, with an electronic or hard copy of all evidence that is directly related to the allegations for their review and inspection. Evidence that is not directly related to the allegations, evidence that is known to have been obtained illegally (e.g., unlawfully obtained recordings), evidence known to be protected by a legally recognized privilege (e.g., attorney-client privilege, doctor-patient privilege), and/or medical records obtained without the party's consent will be redacted or withheld. The parties and their advisors, if any, may not make the evidence available to any third party except as reasonably necessary in connection with the grievance. The parties will have ten (10) University business days to review the evidence obtained as part of the investigation that is directly related to the Complainant's allegations and prepare a written response that may propose corrections, provide context, and identify missing evidence. The Investigator shall consider the written responses, if any, and conduct any further investigation or correction that may be warranted prior to completion of the investigation report.~~

~~iii. Investigative Report~~

~~At least ten (10) University business days prior to a hearing, the Investigator will fairly summarize the relevant evidence and send an electronic or hard copy of the investigative report to the parties and advisor(s) for their review and written response. Relevant evidence for the purposes of this grievance procedure is evidence that is pertinent to proving whether facts material to the allegations under investigation are true. Relevant evidence does not include illegally obtained evidence, evidence known to be protected by a legally recognized privilege, and/or medical records obtained without the party's consent.~~

~~c. Live Hearing~~

The parties will present relevant evidence at a Live Hearing before a panel of independent Decision-makers. Decision-makers are contracted by the University and do not report to the Title IX Coordinator or Investigators; however, the Office of Institutional Equity may provide administrative support for the Live Hearing by facilitating scheduling, reserving space, and similar tasks. The Live Hearing Procedures are attached hereto as Section IX.

d. Determination regarding responsibility

At the conclusion of the Live Hearing, the Decision-maker(s) will reach a conclusion regarding responsibility. If the Respondent is found responsible, previous disciplinary action of any kind involving the Respondent may be considered in determining an appropriate disciplinary sanction. This information is only considered at the sanction stage of the process. The parties may each submit a written impact statement for the consideration of the Decision-maker(s) in sanctioning, which will not be reviewed until a conclusion regarding responsibility has been reached. The Decisionmaker(s) will enter a Determination regarding responsibility ("Determination"), which shall include:

1. Identification of the allegations potentially constituting Sexual Harassment;
2. A description of the procedural steps taken from the receipt of the Formal Complaint through the Determination, including any notifications to the parties, interviews with parties and witnesses, site visits, methods used to gather other evidence, and hearings held;
3. Findings of fact supporting the Determination;
4. Conclusions regarding the application of the Sexual Misconduct, Discrimination, and Harassment Policy to the facts;
5. A statement of, and rationale for, the result as to each allegation, including a determination regarding responsibility, any disciplinary sanctions recommended to be imposed on the Respondent, and whether remedies designed to restore or preserve equal access to the University's education program or activity will be provided to the Complainant; and
6. The University's procedures and bases for the parties to appeal the Determination.

The Determination will be provided to the parties simultaneously, and the Determination will become final either on the date that a written determination of the result of the appeal is provided to the parties, if an appeal is filed, or if an appeal is not filed, the date on which an appeal would no longer be considered timely.

The Title IX Coordinator is responsible for effective implementation of any remedies.

e. Appeals, Sanctions, and Remedies

i. Grounds for Appeal

Either party may appeal a Determination. Appeals may only be made on the following grounds:

- a procedural irregularity affected the outcome of the matter;
- new evidence that was not reasonably available at the time the Determination was made, that could affect the outcome of the matter; or
- the Title IX Coordinator, Investigator, or Decision-makers had a conflict of interest or bias for or against complainants or respondents (generally or individually) that affected the outcome of the matter.

ii. Procedure for Appeal

Either party may appeal a Determination with the Title IX Coordinator within five (5) University business days of receiving the written Determination. Both parties shall receive notice of the Appeal. The non-appealing party will be afforded up to five additional (5) University business days to submit a written Response to the Notice of Appeal. The Title IX Coordinator shall provide the Appeal and Response to the appropriate Appellate Decisionmaker. The Appellate Decisionmaker shall enter a Decision of Appeal within ten (10) University business days after the parties' statements, if any, are received. As set forth below, the appellate Decision-maker is not the same person as the Decision-maker entering the Determination, the Title IX Coordinator, or the Investigator.

1. Students—In all cases in which the Respondent is a student, the Vice President for Student

~~Affairs will determine the appeal. If the Vice President for Student Affairs grants the appeal, the matter will be overturned or remanded for further investigation. If denied, and if sanctions are recommended, the Vice President for Student Affairs will make a written determination to accept the proposed sanctions or impose a more or less severe sanction against a student who has been found responsible.~~

~~2.—Staff members—In all cases in which Respondent is a staff member, the Chief Human Resources Officer, in conjunction with the executive officer over the area, will determine the appeal. If the Chief Human Resources Officer, in conjunction with the executive officer over the area, grants the appeal, the matter will be overturned or remanded for further investigation. If denied, and if sanctions are recommended, the Chief Human Resources Officer, in conjunction with the executive officer over the area, will make a written determination to accept the proposed sanctions or impose a more or less severe sanction against a staff member who has been found responsible.~~

~~3.—Faculty members—In cases in which the Respondent is a faculty member, a committee of the Faculty Senate for the Respondent's home campus will determine the appeal. If appeal is granted, the matter will be overturned or remanded for further investigation. If denied, and if sanctions are recommended, the committee may prepare a written opinion confirming the appropriateness of the recommended sanction, which will be forwarded to the Provost of the appropriate campus and the University President.~~

~~Alternatively, before forwarding an opinion regarding the sanctions, the Faculty Senate may refer the matter to Faculty Appeals Board for the sole purpose of evaluating the proposed sanction. The Faculty Appeals Board may conduct additional inquiry in accordance with its sanctioning procedures; provided, however, the underlying findings of the Decision-makers may not be disturbed and the Faculty Appeals Board shall not elicit further evidence or testimony regarding the same. The University President will provide a written statement accepting the recommended sanction or imposing a more or less severe sanction. The decision of the University President shall be final, unless the sanction requires Board of Regents' action. If so required, the Board of Regents will review the findings and written recommendations of the Decision-makers, the appellate body, and the University President and enter a decision.~~

~~VI.—Informal Resolution~~

~~At any time after the filing of a Formal Complaint but not less than ten (10) University business days prior to a Live Hearing, either party may request that the University facilitate an informal resolution. Informal resolution is an available option when both parties voluntarily agree to participate in writing and if the Title IX Coordinator agrees that informal resolution is appropriate given the nature of the allegations and the relationship of the parties. Informal resolution will not be facilitated in cases involving a student Complainant and employee Respondent. To allow the parties to participate without concern for how their statements may affect the outcome of an investigation, the Title IX Coordinator and Office of Institutional Equity staff will not participate in informal resolution.~~

~~If the parties reach agreement during the informal resolution process, the facilitator will reduce the agreement to writing and present it to the Title IX Coordinator, who may approve or disapprove the agreement. An approved informal resolution agreement will be recognized as a binding agreement between the parties enforceable by the University. Once the parties have entered into an approved informal resolution agreement, the grievance will be deemed resolved and may not be re-opened.~~

~~At any time prior to agreeing to a resolution, any party has the right to withdraw from the informal resolution process and resume the grievance process with respect to the Formal Complaint. If any party declines to participate in the informal resolution process chooses to withdraw from participation, or if informal resolution is not successful, the grievance process continues.~~

~~VII.—Conflicts of Interest~~

~~Any individual materially involved in the administration of the grievance process (including the Title IX Coordinator, Investigator(s), and Decision-maker(s)) may neither have nor demonstrate a conflict of interest~~

~~or bias for a party generally, or for a specific Complainant or Respondent. These individuals have been trained to meet the requirements under the Title IX regulations. Training information can be found on the Title IX website at: www.ou.edu/eoo.~~

~~The Title IX Coordinator will vet the assigned Investigator(s) and Decision-maker(s) to ensure impartiality by ensuring there are no actual or apparent conflicts of interest or disqualifying biases. The parties may, at any time during the grievance process, raise a concern regarding bias or conflict of interest, and the Title IX Coordinator will determine whether the concern is reasonable and supportable. If so, another member will be assigned and the impact of the bias or conflict, if any, will be remedied. If the source of the conflict of interest or bias is the Title IX Coordinator, concerns should be raised with President of the University.~~

~~VIII. Timing~~

~~If the Respondent is a graduating student, a hold may be placed on graduation and/or official transcripts until a matter is fully resolved (including any appeal).~~

~~Hearings for possible violations that occur near or after the end of an academic term that are unable to be resolved prior to the end of term will typically be held immediately after the end of the term or during the summer, as needed, to meet the resolution timeline followed by the Recipient and remain within the 60-90 business day goal for resolution.~~

~~IX. Timing Live Hearing Procedures for Title IX Sexual Harassment, Including Hearing Process for Employee Sexual Misconduct and Sexual Misconduct (Student Code Violation)⁴~~

~~When the Formal Complaint alleges Sexual Harassment and is not dismissed as described in Section IV or informally resolved as described in Section VI, the Formal Complaint will be resolved through the Hearing Process. This section explains the Hearing Process by describing: (1) the appointment of a Hearing Officer; (2) the scope of the Hearing; (3) the notice of the Hearing to the Parties; (4) what will occur before the Hearing; (5) the pre-Hearing conference; (6) the logistics for the Hearing; (7) what will occur during the Hearing; (8) what will occur after the Hearing; and (9) when the outcome of the Hearing is final.~~

- ~~1. Appointment of a Hearing Officer. The Title IX Coordinator will appoint a Hearing Officer to hear the case and determine the outcome.

 - ~~a. The Title IX Coordinator may serve as an administrative facilitator of the Hearing for procedural efficiency.~~
 - ~~b. The Title IX Coordinator will coordinate with the Hearing Officer and the Parties to schedule a date and time for the Hearing.~~~~
- ~~2. Scope of the Hearing. The Hearing Officer has the authority to hear and make determinations on all allegations of Sexual Harassment and may also hear and make determinations on any additional alleged violations of this Policy that would otherwise be subject to the Prompt and Equitable Resolution Process when those alleged violations occurred in concert with the Sexual Harassment.~~
- ~~3. Notice of Hearing to the Parties. At least 10 days university business days before the Hearing, the Parties will receive a Notice of Hearing that will inform them of date, time, location, and the participants (including the Witnesses who will be requested to testify) in the Hearing. The Notice of Hearing will also include the name of the Hearing Officer the Hearing Rules and Procedures; potential Sanctions; and the purpose of the Hearing, which is to adjudicate the allegations, determine Responsibility, and issue an appropriate Sanction, if applicable.

 - ~~a. Challenging the Hearing Officer for Perceived Bias or Conflict of Interest. Within 1 university business day of receipt of the Notice of Hearing, either Party may assert to the Title IX Coordinator, in writing, that the Hearing Officer has a perceived bias or conflict of interest. If the Title IX Coordinator determines that such a bias or conflict exists, the Title IX Coordinator will replace the Hearing Officer with an alternate. The Title IX Coordinator's determination is final.~~
 - ~~b. Party Choice to Participate in the Hearing. The Parties are not required to participate in or submit to Cross-Examination in the Hearing Process and cannot be forced to do so.~~~~

~~⁴ Sections IX, X, and XI are adopted with permission of Marquette University for institutional use.~~

- c. ~~*Virtual or In-Person Hearing.*~~ The Title IX Coordinator will choose whether to hold the Hearing in person or virtually. A Party may request that the Hearing occur with the Parties located in separate rooms or entirely virtually, with technology enabling the Hearing Officer and Parties to simultaneously see and hear the Party or the Witness answering questions.
- d. ~~*Participants with Disabilities.*~~ The University will ensure that individuals with disabilities have equal access to the resolution process. Anyone needing such accommodations or support should contact the Accessibility and Disability Resource Center Director, who will review the request and, in consultation with the person requesting the accommodation and the Title IX Coordinator, determine which accommodations are appropriate and necessary for participation in the process.
4. ~~Before the Hearing.~~
- a. ~~*Hearing Officer to Review Investigative Report and Relevant Evidence.*~~ The Hearing Officer will review the Investigative Report and Investigative File before the Hearing. The Hearing Officer will specifically review and focus on the Investigative Report and the Relevant Evidence relied upon therein. The Hearing Officer will review evidence determined not relevant by the Investigator only if the Parties wish to challenge that determination at the Hearing.
- b. ~~*Notice to Witnesses.*~~ The Parties have equal opportunity to present Witnesses at the Hearing. The Hearing Officer may also request the presence of Witnesses that it deems necessary, even if those Witnesses are not presented by the Parties. The Title IX Coordinator will notify each Witness in writing of the request to participate in the Hearing.
- c. ~~*Unavailability of Witnesses.*~~ Witnesses are not required to participate in the Hearing and cannot be forced to do so. Any Witness who agrees to participate but cannot attend the Hearing must let the Title IX Coordinator know at least five (5) university business days prior to the Hearing so that appropriate arrangements can be made.
5. ~~Pre-Hearing Conference.~~ The Title IX Coordinator may coordinate an in-person or virtual pre-Hearing conference with the Parties and their Advisors with the Hearing Officer. The pre-Hearing conference will be audio recorded. The purposes of the pre-Hearing conference are to:
- a. ~~Ensure that the Parties and their Advisors understand the Hearing Process and receive answers to any Hearing Process-related questions;~~
- b. ~~Have the Hearing Officer hear and rule on any evidentiary challenges raised by the Parties;²~~
- c. ~~Provide the opportunity for the Parties and their Advisors to seek a pre-determination of relevance for questions the Advisors intend to ask the other Party and Witnesses (optional);~~
- d. ~~Conduct an overview of the Hearing Rules and Procedures;~~
- e. ~~Test the technology to be used at the Hearing, and~~
- f. ~~Address any other pre-Hearing matter.~~
6. ~~Logistics of the Hearing.~~ This section covers the logistics of the Hearing, including how the Parties will be physically separated for in-person Hearings, the use of technology in Hearings, rules for Advisors, handling of Witnesses (including the Investigator as a Witness), and what will happen if Parties or Witnesses fail to appear at the Hearing:
- a. ~~*Location of In-Person Hearing.*~~ If held in person, the Hearing will take place on the appropriate university campus as determined by the Hearing Officer.
- b. ~~*Separation of Parties and Witnesses During an In-Person Hearing and Use of Technology.*~~ If the Hearing is in person, the Parties and Witnesses are generally not permitted to be in the same room; video of the Hearing will be streamed in real time. The technology will enable each Party and the Hearing Officer to simultaneously see and hear (or, if hearing impaired, to access through auxiliary aids or services) the Party or Witness answering questions. The Officer must be able to see the Parties and Witnesses as they are speaking. The use of technology does not compromise the fairness of the Hearing.
- c. ~~*Virtual Hearings.*~~ Hearings may be conducted with all Parties physically present in the same geographic location or, at the University's discretion, any or all Parties, Witnesses, and other

² For example, the Hearing Chair will consider arguments that evidence identified as relevant in the final Investigative Report is, in fact, not relevant. Similarly, evidence identified by the Investigator as directly related but not relevant may be argued to be relevant.

- participants may appear at the Hearing virtually with technology enabling the participants to simultaneously see and hear each other.
- d. ~~Closed to Public.~~ Hearings are closed to the public. All participants involved in a Hearing are expected to respect the seriousness of the matter and the privacy of the individuals involved. The University's expectation of privacy during the Hearing process should not be understood to limit any legal rights of the Parties during or after the resolution. The University may not, by federal law, prohibit the Parties from disclosing the final outcome of a Formal Complaint process (after any appeals are concluded). The University's obligations regarding disclosure are governed by the Family Educational Rights and Privacy Act (FERPA) and any other applicable privacy laws.
- e. ~~Audio Recording.~~ Hearings are audio-recorded and will be made available to either Party by request.
- f. ~~Cross-Examination.~~ At the Hearing, each Party's Advisor must be permitted to ask the other Party and Witnesses all relevant questions and follow-up questions, including those challenging credibility. This type of questioning is referred to as Cross-Examination. Party Advisors conduct all questioning on behalf of their Parties.
- g. ~~Rules for Advisors.~~ The Parties *must* have an Advisor accompany them to the Hearing or to appear on their behalf if they do not attend the Hearing. See *Appendix B*. The Complainant and the Respondent are prohibited from questioning each other and Witnesses directly; rather, they must do so through their Advisors. An Advisor's role in the Hearing Process is limited as follows:
- i. ~~The Advisor's role is to pose questions to the other Party and Witnesses on their Party's behalf.~~
 - ii. ~~The Advisor cannot respond to questions from the Hearing Officer or the other Advisor that are directed to their Party.~~
 1. ~~Complainants and Respondents are expected to respond to questions from the Hearing Officer and from the other Party's Advisor on their own behalf.~~
 - iii. ~~Upon request to the Hearing Officer, the Advisor may consult with their Party in private during the Hearing but not while a question is pending.~~
- h. ~~Witnesses.~~ The Hearing Officer will call the relevant Witnesses named in the Investigative Report. The Investigator may also serve as a Witness. Witnesses (other than the Investigator) are not allowed to be present to hear the testimony of the Parties or of other Witnesses:
- i. ~~"New" Witnesses and Evidence.~~ The Hearing Officer may decide whether or how to place limits on evidence introduced at a Hearing that was not gathered and presented before the Hearing. If, at the Hearing, the name of a Witness arises, and that Witness was not previously disclosed during the Investigative Process, or if a Witness who was identified during the Investigative Process but who chose not to participate now desires to participate, the Hearing Officer may:
 1. ~~Temporarily adjourn the Hearing and request that the Investigator interview the Witness and provide the interview transcript or summary to the Parties before reconvening the Hearing, or~~
 2. ~~Continue the Hearing and invite the Witness to appear and submit to questions from the Hearing Officer and the Parties' Advisors.~~
- i. ~~No Show Parties or Witnesses.~~ If the Complainant, the Respondent, or Witnesses fail to appear and/or participate, the Hearing will continue as scheduled unless the Hearing Officer determines there is Good Cause to suspend the Hearing.
- j. ~~The Investigator.~~ The Investigator may be present for the entire Hearing.
7. ~~Hearing.~~ The Hearing Rules and Procedures will be provided to the Parties in advance of the Hearing and will provide more specifics about how the Hearing will be conducted and the rules within the Hearing, including rules of decorum. The Hearing Rules and Procedures apply equally to both Parties. The Hearing is not intended to be a repeat of the Investigation. In general, the Hearing will proceed as follows:
- a. ~~To begin the Hearing, the Hearing Officer will provide to the Parties and their Advisors a brief overview of the Hearing Process and the expectations for participants' conduct. The Parties and their Advisors must agree to abide by those expectations or risk removal from the Hearing. If an Advisor is removed for failure to abide by the Hearing rules, the Hearing will continue after a new Advisor is selected by the Party or appointed by the University.~~
 - b. ~~The Hearing Officer shall:~~

- ~~i. Exclude non-relevant questions and testimony;

 - ~~a. Questions about the Complainant's sexual predisposition or prior sexual behavior are not relevant, unless such questions and/or evidence about the Complainant's prior sexual behavior are offered to prove that someone other than the Respondent committed the conduct alleged by the Complainant, or if the questions and evidence concern specific incidents of the Complainant's prior sexual behavior with respect to the Respondent and are offered to prove consent.~~
 - ~~ii. Observe recognized legal privileges, and~~
 - ~~iii. Take reasonable steps to maintain order and decorum.~~~~
 - ~~e. The Hearing Officer will question the Complainant, the Respondent, and Witnesses directly.~~
 - ~~d. The Hearing Officer and the Advisors may question the Investigator as a Witness.~~
 - ~~e. Advisors must ask only relevant questions and follow-up questions to the other Party and Witnesses. Generally, Advisors will ask questions in the following manner:

 - ~~i. Advisors will pose each question verbally to the Hearing Officer, who will determine whether the question is relevant.~~
 - ~~ii. If the Hearing Officer deems the question relevant, the Hearing Officer will instruct the Party or Witness to answer the question.~~
 - ~~iii. If the Hearing Officer deems the question not relevant, the Hearing Officer will explain the rationale for the determination and instruct the Party or Witness not to answer.~~
 - ~~iv. The Hearing Officer may ask Advisors to frame why, from the Advisor's perspective, a question is or is not relevant, but the Hearing Officer will not entertain argument from the Advisors on relevance once the Hearing Officer has ruled on a question.~~
 - ~~v. The Hearing Officer's decision on whether a question is relevant is final.~~~~
 - ~~f. The Hearing Officer may consider relevant statements made by Parties or Witnesses, even if those Parties or Witnesses do not submit to Cross Examination at the Hearing, in reaching a determination on responsibility. This includes, but is not limited to, relevant statements made by the Parties and Witnesses during the Investigation, emails or text exchanges between the Parties leading up to or following the alleged Prohibited Conduct, and other statements from witnesses about or related to the alleged Prohibited Conduct. Also subject to Hearing Officer consideration are statements contained in police reports, sexual assault nurse examiner documents, medical reports, and other documents even if those statements are made by a Party or Witness who is not Cross Examined at the Hearing. The Hearing Officer may consider certain types of statements by a Party where the statement itself is the alleged Prohibited Conduct, even if the Party does not submit to Cross Examination. These statements can appear in text messages, e-mails, social media postings, audio or video recordings, or other documents or digital media created and sent by a Party as a form of alleged Sexual Harassment, or as part of an alleged course of conduct that constitutes Stalking.~~
 - ~~g. The Hearing Officer cannot draw an inference about Responsibility based solely on a Party's absence from the Hearing or refusal to answer Cross Examination or other questions posed by an Advisor or the Hearing Officer.~~
 - ~~h. Typically, the questioning at the Hearing proceeds as follows:

 - ~~i. The Hearing Officer will first question the Complainant.~~
 - ~~ii. Respondent's Advisor may then question the Complainant.~~
 - ~~iii. The Hearing Officer will question each Witness.

 - ~~a. After the Hearing Officer questions a Witness, the Complainant's Advisor, then the Respondent's Advisor, may question that Witness.~~~~
 - ~~iv. The Hearing Officer will next question the Respondent.~~
 - ~~v. The Complainant's Advisor may then question the Respondent.~~~~
 - ~~i. If necessary, the Hearing Officer may re-call the Complainant, the Respondent, or any Witness for further questioning. If any Party or Witnesses are re-called, the Parties' Advisors may ask follow-up questions.~~
- ~~8. After the Hearing. Following the close of the Hearing, the Hearing Officer will determine Responsibility. The Hearing Officer will draft a written determination, including Sanctions and Remedies if the~~

~~Respondent is found Responsible, within 5 (five) university business days, and the Title IX Coordinator will contemporaneously inform the Parties of the outcome.~~

~~a. *Determination of Responsibility.* The Hearing Officer will determine whether the Respondent is either Not Responsible or Responsible.~~

~~i. *Not Responsible.* The Respondent will be found Not Responsible when the Hearing Officer determines that it is more likely than not that the alleged behavior did not occur, that the evidence was inconclusive to determine whether it is more likely than not that the alleged behavior occurred, or that the alleged behavior occurred but did not violate this Policy.~~

~~ii. *Responsible.* The Respondent will be found Responsible when the Hearing Officer determines that it is more likely than not that the alleged behavior did occur and that the behavior violated this Policy.~~

~~b. *Written Determination.* The Hearing Officer will draft a written determination (“Notice of Outcome Following Hearing”) that will include:~~

~~i. Identification of the allegations potentially constituting Sexual Harassment;~~

~~ii. A description of the procedural steps taken from the receipt of the Formal Complaint through the determination of Responsibility, including any notices to the Parties, interviews with Parties and Witnesses, site visits, methods used to gather evidence, and Hearings held;~~

~~iii. Findings of fact supporting the determination;~~

~~iv. Conclusions regarding the application of this Policy to the facts;~~

~~v. A statement of, and rationale for, the result as to each allegation, and~~

~~1. Where credibility of the Parties is an issue in determining Preponderance of the Evidence, the rationale will include an explanation of how the Hearing Officer resolved questions of credibility. Credibility determinations will not be based upon a person’s status as Complainant or Respondent.~~

~~vi. The procedures and permissible bases for appeal.~~

~~c. *Sanctions and Remedies.* If the Respondent is found Responsible, the Hearing Officer will include an appropriate Sanction within the Notice of Outcome Following Hearing. The Hearing Officer will also issue Remedies for the Complainant to preserve or restore the Complainant’s equal education access.~~

~~d. *Notice of Outcome to Parties.* The Title IX Coordinator will contemporaneously inform the Complainant and the Respondent of the Hearing Officer’s determination by issuing a Decision Notification Letter, attaching the Hearing Officer’s Notice of Outcome Following Hearing.~~

~~9. *Finality of Outcome.* The Hearing Officer’s determination regarding Responsibility becomes final either:~~

~~a. On the date that the Title IX Coordinator provides the Parties with the Appeal Decision, if an appeal was filed, or~~

~~b. On the date on which an appeal would no longer be considered timely.~~

~~X. *Role of and Rules for Advisors*~~

~~The Complainant and the Respondent each have a right to an Advisor of their choosing throughout the Grievance Procedure. This section explains (a) who can serve as an Advisor, (b) the role of the Advisor in the Grievance Procedure, generally, and (c) the role of the Advisor in the Hearing Process, specifically:~~

~~1. *Who Can Serve as an Advisor.* The Advisor may be any person of the Party’s choosing. If either Party will not have an Advisor present at the Live Hearing, one will be provided by the University without fee or charge to that party to assist the party at the Live Hearing. No Party is required to have an Advisor, except within in the Hearing Process.~~

~~i. *Confidentiality.* All University appointed Advisors have been deemed Confidential Resources, meaning that they will maintain Confidentiality throughout the Grievance Procedure; however, a Mandatory Reporter Employee or non-Confidential Resource serving as an Advisor is Confidential only *after* the filing of a Formal Complaint and a Notice of Formal Complaint and Allegations.~~

~~ii. *Parties’ Consent to Share Information with Advisor.* Each Party must consent to the University sharing information related to the report of Prohibited Conduct directly with the Party’s Advisor before information can be shared. The University may~~

require Advisors to sign a non-disclosure agreement to ensure the Confidentiality of the information shared with them by the University.

2. ~~*Role of the Advisor in the Grievance Procedure, Generally.*~~ Advisors support the Parties and assist them through the Grievance Procedure. The Parties are expected to ask and respond to questions and submit evidence on their own behalf throughout the Investigative and Resolution Processes (except for the Hearing Process, as described in Appendix A). Although the Advisor may not speak on behalf of a Party, the Advisor may consult with the Party, either privately as needed, or by conferring during any meeting or interview (except in the Hearing Process). For longer or more involved discussions, the Parties and their Advisors should ask the Hearing Officer for breaks to allow for private consultation.
3. ~~*Advisor's Role in the Hearing Process.*~~ The Parties are required to have an Advisor during the Hearing Process. This section explains (i) a Party's options for choosing an Advisor, (ii) the Advisor's limited role, and (iii) the consequences for Advisors who overstep their role.
 - i. ~~*Options for Choosing an Advisor.*~~ A Party may, of course, use the Advisor they selected at the start of the Grievance Procedure. If that Advisor is unable or unwilling to serve as an Advisor for the Hearing Process, the Party may select a new Advisor. If a Party does not choose an Advisor for the Hearing Process, the University will provide an Advisor for the Party to conduct Cross Examination of the other Party and Witnesses. All Advisors receive annual training regarding the Grievance Process set forth in the 2020 Title IX Regulations, 34 C.F.R. § 106. Advisors appointed by the University may not be dismissed by the Party, unless the appointed Advisor refuses to conduct relevant Cross Examination on behalf of the Party.
 - ii. ~~*Advisor's Limited Role.*~~ The Advisor's role in the Hearing Process is limited to Cross Examination of the other Party and of any Witnesses. An Advisor may not make a presentation on behalf of or represent the Party during any meeting or proceeding in the Hearing Process and may not speak on behalf of the Party to the Investigator(s) or Hearing Officer, except during Cross Examination. Advisors may ask process-related questions of the Title IX Coordinator, Investigator(s), or Hearing Officer.

The Parties are expected to respond to questions on their own behalf throughout Hearing Process, though the Party may consult with their Advisor as explained above.

If an Advisor fails to respect the limits of the Advisor role within any part of the Grievance Procedures, the Title IX Coordinator, Investigator, or Hearing Officer may require the Party to select a new Advisor.

~~**XI. Role of and Rules for Advisors Prompt and Equitable Grievance process for Complaints of Gender-Based Discrimination, retaliation, or False Reporting**~~

Formal Complaints alleging Sex Discrimination or Retaliation are adjudicated through the Prompt and Equitable Resolution Process. If a Formal Complaint alleges Sex Discrimination or Retaliation and Sexual Harassment, the Title IX Coordinator may combine all the allegations and have them adjudicated simultaneously through the Hearing Process (see Appendix A) or separate the Sexual Harassment allegations from Sex Discrimination or Retaliation allegations and have the matter proceed separately under the Hearing Process (for the allegations of Sexual Harassment) and under the Prompt and Equitable Resolution Process (for the allegations of Sex Discrimination or Retaliation).

1. ~~*Incorporates the Investigative Process.*~~ The Prompt and Equitable Resolution Process incorporates the Investigative Process, which includes the right of the Parties to have an Advisor (see Section V.).
2. ~~*Investigator Determines Responsibility.*~~ Following the Parties' review and written responses to the Investigative File and Investigative Report, the Investigator will objectively evaluate all Relevant Evidence and determine Responsibility. The Investigator will determine whether the Respondent is Not Responsible or Responsible.
 - a. ~~*Not Responsible.*~~ The Respondent will be found Not Responsible when the Investigator determines that it is more likely than not that the alleged behavior did not occur, that the evidence was inconclusive to determine whether it is more likely than not that the alleged behavior occurred, or that the alleged behavior occurred but did not violate this Policy.

- b.—*Responsible*. The Respondent will be found Responsible when the Investigator determines that it is more likely than not that the alleged behavior did occur and that the behavior violated this Policy.
- 3.—*Written Report*. Following the Investigator's objective evaluation of the Relevant Evidence, the Investigator will draft a written determination called the Notice of Outcome Following Prompt and Equitable Resolution Process. That document will include:
- a.—Identification of the allegations potentially constituting Sex Discrimination or Retaliation;
 - b.—A description of the procedural steps taken from the receipt of the Formal Complaint through the determination of Responsibility, including any notices to the Parties, interviews with Parties and Witnesses, site visits, methods used to gather evidence, and the process held;
 - c.—Findings of fact supporting the determination;
 - d.—Conclusions regarding the application of this Policy to the facts;
 - e.—A statement of, and rationale for, the result as to each allegation, and
 - i.—Where credibility of the Parties is an issue in determining Preponderance of the Evidence, the rationale will include an explanation of how the Investigator resolved questions of credibility. Credibility determinations will not be based upon a person's status as Complainant or Respondent.
 - f.—The procedures and permissible basis for appeal.
- 4.—*Review by Title IX Coordinator*. The Title IX Coordinator will review the Notice of Outcome Following the Prompt and Equitable Resolution Process and approve the determination if the evidence supports the determination by a Preponderance of the Evidence. If the Investigator has found the Respondent Responsible, the Title IX Coordinator will determine the appropriate Sanction.
- 5.—*Inclusion of Sanctions and Remedies in Written Report*. If the Title IX Coordinator has determined a Sanction is appropriate, the Investigator will include the imposed Sanction in the Notice of Outcome Following the Prompt and Equitable Resolution Process. The Investigator will also issue Remedies for the Complainant to preserve or restore the Complainant's equal education access.
- 6.—*Notice of Outcome to Parties*. The Title IX Coordinator will contemporaneously inform the Complainant and the Respondent of the Investigator's finding and Sanctions, if applicable, by issuing a Decision Notification Letter, attaching the Investigator's Notice of Outcome Following the Prompt and Equitable Resolution Process.
- 7.—*Finality of Outcome*. The Investigator's determination regarding Responsibility becomes final either:
- a.—On the date that the Title IX Coordinator provides the Parties with the Appeal Decision, if an appeal was filed, or
 - c.—On the date on which an appeal would no longer be considered timely

(Regents, 6-18-81, 9-17-81, 10-13-83, 6-14-90, 6-13-91, 9-27-95, 1-14-97, 1-27-04, 6-23-04, 6-22-11, 3-8-17)

18. APPENDIX I

CONSENSUAL SEXUAL RELATIONSHIPS POLICY

I. POLICY STATEMENT

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

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

II. DEFINITIONS

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

III. POLICY

A. Faculty/Student Relationships

1) Within the Instructional Context

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

2) Outside the Instructional Context

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

B. Staff/Student Relationships

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

C. Staff/Subordinate Relationships

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

IV. COMPLAINT PROCEDURE

Complaints alleging a violation of the Consensual Sexual Relationships Policy shall be handled in accordance with the Grievance Procedure for Complaints Based Upon Sexual Misconduct, Discrimination and Harassment Policy. Complainants should contact the Sexual Misconduct Officer:

Norman Campus Based Programs
301 David L. Boren, 4PP, Suite 1000
Norman, Oklahoma
(405) 325-2215

Health Sciences Center Based Programs
920 Stanton L Young, Room 164H, HSC Bird Library 2320
Oklahoma City, Oklahoma
(405) 271-2110

and/or the Equal Opportunity Office:

Norman Campus Based Programs
Room 102, Evans Hall
(405) 325-3546

Health Sciences Center Based Programs
920 Stanton L Young, Room 164H, HSC Bird Library 2320
(405) 271-2110

Other locations may be determined from time to time. Please refer to <http://www.ou.edu/content/eoo.html> for an updated listing.

(Regents, 6-14-90, 6-13-91, 9-27-95, 1-14-97, 1-27-04, 6-23-04, 6-22-11, 9-19-11, 5-31-12, 3-8-17)

19. APPENDIX J

NON-DISCRIMINATION POLICY

Diversity is one of the strengths of our society as well as one of the hallmarks of a great university. The University supports diversity and is committed to maintaining employment, educational, and health care settings that are multicultural, multiracial, multiethnic, and all-inclusive. Respecting differences is one of the University's missions.

The University does not discriminate or permit discrimination by any member of its community against any individual based on the individual's race, color, religion, political beliefs, national origin, age (40 or older), sex (see the Sexual Misconduct, Discrimination and Harassment policy <http://www.ou.edu/content/eoo/policies>), sexual orientation, genetic information, gender identity, gender expression, disability, or veteran status in matters of admissions, employment, financial aid, housing, services in educational programs or activities, or health care services that the University operates or provides.

University policy prohibits retaliation against a person for filing a complaint of discrimination or harassment under this policy or other applicable federal, state, or local laws. This policy also prohibits retaliation against any person who assists someone with a complaint of discrimination or harassment or who participates in any manner in an investigation or resolution of a complaint of discrimination or harassment.

I. DEFINITIONS

- A. Discrimination:** Discrimination, including harassment, is defined as conduct directed at a specific individual or group of identifiable individuals that subjects the individual or group to treatment that adversely affects their employment, education, health care, or access to institutional benefits on account of the individual's or group's race, color, religion, political beliefs, national origin, age (40 or older), sex (see the Sexual Misconduct, Discrimination and Harassment policy <http://www.ou.edu/content/eoo/policies>), <https://www.ou.edu/eoo/about/sexual-misconduct-policies>), sexual orientation, genetic information, gender identity, gender expression, disability, or veteran status.
- B. Harassment:** Harassment as a form of discrimination is defined as verbal or physical conduct that is directed at an individual or a group on account of the individual's or group's race, color, sex (see the Sexual Misconduct, Discrimination and Harassment ~~policy~~ <http://www.ou.edu/content/eoo/policies>), <https://www.ou.edu/eoo/about/policies-procedures/non-discrimination>), <http://www.ou.edu/eoo/about/policies-procedures/non-discrimination>), sexual orientation, genetic information, gender identity, gender expression, religion, political beliefs, national origin, age (40 or older), disability, or veteran status when such conduct is sufficiently severe, pervasive, and objectively offensive so as to have the purpose or effect of unreasonably interfering with an individual's or group's academic or work performance or ability to receive health care services or of creating a hostile academic, work, or health care environment viewed by examining a totality of the circumstances from the standpoint of a reasonable person with the same characteristics as the purported recipient of the harassing conduct.
- C. Reasonable Accommodation/Accessibility and Other Assistance:**
- 1) For staff employees of the University, please refer to **Section 5.24** of the Staff Handbook regarding disability and reasonable accommodations. Also see www.drc.ou.edu.
 - 2) For faculty of the University, See Faculty Handbook:
 - Norman Campus Faculty Handbook: <https://apps.hr.ou.edu/facultyhandbook/>
 - OUHSC Faculty Handbook: <http://ouhsc.edu/provost/documents/FacultyHandbookOUHSC.pdf>
 - 3) For students of the University, refer to the Disability Resource Center: <http://www.ou.edu/content/drc.html>

- 4) For individuals seeking or receiving health care from the University:

The department providing services will make available, at no cost to the individual, aids such as qualified sign-language interpreters, assistive devices, and alternate format materials (large print, audio, accessible electronic formats) to individuals who need such assistance and who are receiving health care from the University at no cost to the individual.

For individuals whose primary language is not English and who are receiving health care from the University, language interpretation and translation services will be made available. (See Policy and Procedures for Communication with Patients with Limited English Proficiency and Auxiliary Aids and Services for Patients with Disabilities Policy.)

- D. Retaliation:** Retaliation includes attempting to penalize or taking any form of adverse action against a person because of his or her filing of a complaint of discrimination or harassment and/or participating or assisting in any manner with an investigation or resolution of a complaint of discrimination or harassment. Adverse action includes, but is not limited to, making threats, intimidation, reprisals or any other adverse action relating to employment, academic, health care, or institutional benefits.

II. EDUCATION AND TRAINING

—The University requires all employees to complete an anti-discrimination training course at least once during their University employment, typically within the 30 days of beginning service at the University. Employees may be required to take the course at other times as well. Failure to complete this required training within the first 30 days of employment and as requested by University administration may result in appropriate disciplinary action. See <https://onpoint.ou.edu>. For those without access to a computer or in need of additional assistance, please contact University Human Resources for alternate methods of training.

—Volunteers will provide volunteer services for four (4) or more days within a calendar year must take the course on an annual basis.

—Students are advised and trained periodically through the Office of Student Affairs and through mandatory online training located at: <https://onpoint.ou.edu>. Students who are also employees must take both forms of training (one for faculty and staff and one for students).

III. INTENTIONALLY FALSE REPORTS

—Individuals who make reports that are later found to have been intentionally false or misleading or made maliciously and without regard for truth may be subject to disciplinary action up to and including termination or expulsion. This provision does not apply to reports made in good faith, even if the facts alleged in the report cannot be substantiated by an investigation.

IV. FREE SPEECH AND ACADEMIC FREEDOM

—Members of the University community enjoy significant free speech protections guaranteed by the First Amendment of the United States Constitution. This policy is intended to protect members of the University community from discrimination, not to regulate protected speech. No provision of this policy shall be interpreted to prohibit conduct that is legitimately related to course content, teaching methods, scholarship, or public commentary of an individual or faculty member or the educational, political, artistic or literary expression of students in classrooms and public forums. However, freedom of speech and academic freedom are not limitless and do not protect speech or expressive conduct that violates federal or state anti-discrimination laws. [The OU Board of Regents adopted the Chicago Statement in November, 2022. See https://provost.uchicago.edu/sites/default/files/documents/reports/FOECommitteeReport.pdf for full statement.](https://provost.uchicago.edu/sites/default/files/documents/reports/FOECommitteeReport.pdf)

V. COMPLAINTS

Any individual who at the time of the actions complained of was employed by the University, was an applicant for University employment, was enrolled as a student or an applicant for admission at the University, or who was seeking or receiving health care services from the University, may file a complaint with the ~~Equal Opportunity Office (EOO)~~Institutional Equity Office (IEO) for review and investigation regarding complaints of discrimination or harassment against University students, faculty, staff, those third parties utilizing University services, or third parties on University premises:

- For Norman Campus and Norman campus extension programs, Room 102 Evans Hall (405) 325-3546~~z~~, or IEO@ou.edu
- For Health Sciences Center campus and HSC campus extension programs: 405-271-2110, ~~Room 164H, HSC Bird Library, 920 Stanton L. Young, Room 2320~~, or IEO@ou.edu

The University will make appropriate arrangements to ensure that individuals with disabilities and/or limited English proficiency are provided with services or language assistance needed to file a complaint. The ~~EOO~~(IEO) will be responsible for making such arrangements.

Such complaints ~~must~~should be brought within 365 calendar days of the alleged discriminatory event.

VI. ADDITIONAL AVENUES OF RECOURSE

In addition to filing a complaint under the University's Nondiscrimination Policy, individuals may have additional reporting and legal options depending on the circumstances.

Examples of other potential avenues of redress include:

- * Equal Employment Opportunity Commission (www.eeoc.gov)
- * U.S. Department of Justice (www.justice.gov)
- * U.S. Department of Education, Office of Civil Rights (www2.ed.gov/ocr)
- * Oklahoma Human Rights Commission (www.ok.gov/ohrc/)
- * Local law enforcement including University of Oklahoma Police Department (www.ou.edu/oupd/)

Filing internal complaints does not satisfy any potential timing and reporting requirements otherwise required by the above entities or by law.

(Regents, 12-19-90, 6-13-91, 7-27-95, 1-14-97, 1-26-99, 3-29-00, 1-27-04, 6-23-04, 6-22-11, 2-29-12, 3-8-17)

INVESTIGATIVE PROCESS FOR INTERNAL COMPLAINTS UNDER THE NON-DISCRIMINATION POLICY

I. Who May Utilize this Procedure

Despite anything to the contrary provided in other University policies or procedures, the grievance procedure embodied herein governs all grievances (with the exception of grievances concerning sexual misconduct, discrimination and harassment which are governed by separate policy located at: <http://www.ou.edu/content/eoo/policies/misc.html>) filed with the University Equal Opportunity Officer/Title IX Coordinator (~~EOO~~IEO) and shall be available to any person who, at the time of the acts complained of was employed by the University of Oklahoma, or is or was an applicant for employment or was enrolled as a student or an applicant for admission at the University. However, if the complainant initiates litigation or files a complaint with any state or federal agency, with respect to the issues presented to the ~~EOO~~IEO, any grievance under these procedures may be dismissed or stayed in the ~~EOO's~~IEO's discretion as duplicative. ~~The University EOO may, in his or her discretion, dismiss a grievance if he/she determines the person filing the complaint is not entitled to use this procedure.~~

II. Filing of Complaint

Persons who have complaints alleging discrimination based upon race, color, national origin, sex, sexual orientation, genetic information, gender identity, gender expression, age (40 or older), religion, political beliefs, disability, or status as a veteran (together, "discrimination and harassment or retaliation"), may file their complaints in writing with the ~~EOO~~IEO. Provided, however, where claims include sexual harassment, sexual orientation or gender discrimination, the entire process shall be handled through the procedures noted in the Sexual Misconduct, Discrimination and Harassment Policy. ~~The Equal Opportunity Officer is also an Associate Title IX Coordinator and may receive and investigate all such claims as well as coordination with the Institutional Equity and Title IX Office.~~

Complainants who exercise their right to use this procedure agree to accept its conditions as outlined. Where multiple issues exist (i.e. racial harassment and violation of due process or grade appeal), the complainant must specify all of the grounds of the grievance that the complainant should have reasonably known about at the time of filing. A grievance filed under this procedure normally may not be filed under any other University grievance procedure. Depending on the nature of the issues involved, the complainant will be advised by the ~~EOO~~IEO about the appropriate procedure(s) to follow (e.g. applicable disciplinary policies and procedures for that campus). Parties to the complaint, including the respondent and/or the complainant may obtain the advice of any advisor/attorney at his/her own expense; however, advisors and attorneys may not be present during any meetings or hearings during this process.

~~Upon receipt of a complaint alleging discrimination based on a protected characteristic/protected class, the IEO will conduct an initial evaluation of the merits of the complaint, review the context of the allegations in relation to the University's jurisdiction, and determine the appropriate investigatory action required. If a determination is made that the complaint does not fall within the University's jurisdiction or that the complaint does not allege a prohibited activity and further investigation is not required, the IEO will advise the Complainant of the finding and, if available, other procedures and/or processes. IEO may proceed with other appropriate actions or recommendations if warranted.~~

~~If the allegation is determined to be credible and within the University's Jurisdiction, the University will complete a thorough, and impartial investigation. An investigation can proceed with or without a written complaint.~~

The ~~EOO~~IEO may modify these procedures at any time as deemed appropriate for compliance with federal, state, local law or applicable guidance.

III. Timing of Complaint

Generally, any complaint should be filed with the ~~EOO~~IEO within 365 calendar days of the act of alleged discrimination or harassment. The ~~EOO~~IEO may reasonably extend this and all other time periods, and may, in his ~~or~~/her discretion, dismiss a grievance if the person is not entitled to use this procedure. Nothing herein should be construed to extend or restrict a person's right to file charges, lawsuits or claims with any other

agency, law enforcement or court, and individuals are encouraged to ensure their rights have not expired through these other avenues. Further, to the extent the complainant's allegations involve criminal activity, the EO/EO may refer such matters to local law enforcement.

IV. Administrative Action

- A. The University recognizes its obligation to address incidents of discrimination and harassment on campus when it becomes aware of their existence even if no complaints are filed; therefore, the University/EO reserves the right to take appropriate action unilaterally under this procedure.
- B. With respect to students, the University Vice President for Student Affairs and Dean of Students or other appropriate persons in authority may take immediate administrative or disciplinary action deemed necessary for the welfare or safety of the University community.
- C. With respect to employees, upon a determination at any stage in the investigation or grievance procedure that the continued performance of either party's regular duties or University responsibilities would be inappropriate, the proper executive officer may suspend or reassign said duties or responsibilities or place the individual on leave of absence pending the completion of the investigation or grievance procedure.

V. Withdrawal of Complaint

The complainant may withdraw the complaint at any point during the investigation; however, the EO/EO may determine in his-~~or~~-her discretion that the issues raised warrant further investigation despite the complainant's desire to withdraw the complaint.

VI. Privacy of Proceedings and Records

Individuals wishing to make legally confidential reports have the option of reporting those matters to licensed counselors, health professionals, clergy and attorneys.

Although University officials will maintain an individual's privacy to the best of his or her ability, individuals should know that University officials (outside the context of licensed counselors and health professionals) may not be able to maintain legal confidentiality of the complainant, but will maintain his or her privacy as noted herein. Further, the University's ability to investigate may be limited if a complainant insists his or her name not be disclosed to the alleged perpetrator. The University must weigh such requests for privacy against its duty to provide a safe and nondiscriminatory environment. Investigators and those involved with the investigation are individually charged to preserve privacy with respect to any matter investigated or heard. A breach of the duty to preserve privacy is considered a serious offense and may subject the offender to appropriate disciplinary action. Parties and witnesses are also admonished to maintain privacy with regard to these proceedings, and if they are University employees, failure to maintain said privacy may result in appropriate disciplinary action. Furthermore, federal law prohibits retaliation against those who file complaints, and the University will take responsive action if such retaliation occurs, up to and including termination and/or expulsion.

Except with respect to hearings before the Faculty Appeals Board or an applicable student disciplinary procedure, all records involving discrimination or harassment, upon disposition of a complaint, shall be transmitted to and maintained by the EO/EO as confidential records except to the extent disclosure is permitted/required by applicable law or University policy. The University shall inform complainants if it is unable to ensure privacy.

VII. Proceedings

A. Investigation

Upon receipt of a complaint, the EO/EO will notify the complainant, ~~via and respondent~~ via email, of his/her/EO's receipt of the complaint and is empowered to investigate the charge, to interview the parties and others, and to gather any relevant evidence ~~he or she deems pertinent~~. The investigation

and findings should be completed within 60 calendar days of receipt of the complaint, or as soon as practical.

The EOO/EO shall render his-~~or~~-her decision on a case-by-case basis based upon the evidence as a whole, the totality of the circumstances, and the context in which the alleged incident(s) occurred, utilizing a preponderance of the evidence standard, i.e. the facts complained of are more likely true than not.

Upon completion of the investigation, the EOO/EO is authorized to take the following actions:

- ~~1. **Satisfactory Resolution** – The matter is resolved to the satisfaction of the University and the complainant. If a resolution satisfactory to the University and the complainant is reached through the efforts of the EOO, he or she shall prepare a written statement indicating the resolution. At that time, the investigation and the record shall be closed.~~
- ~~1. **Informal Resolution** – It may be appropriate to resolve the issues through an informal means in some instances. This may include educational conversations, facilitated dialogue between the parties, mediation, or a written agreement, or other resolution methods. The determination for utilization of informal resolution measures will be based on the nature of the allegations, request by the complainant, and willingness of the parties to participate.~~
2. **Dismissal** – The EOO/EO finds that no policy violation occurred and dismisses the complaint, giving written notice of said dismissal to each party involved. There shall be no appeal from a finding of no policy violation except in exceptional circumstances where additional evidence not otherwise available at the time of the report is submitted by the original complainant. Any such appeal shall be in writing within ~~15 business days of the report addressed~~5 business days of the report addressed to the Institutional Equity Officer. Both parties shall receive notice of the appeal. The non-appealing party will be afforded up to five (5) additional University business days to submit a written response to the appeal. The Institutional Equity Officer will provide the appeal and response to the executive officer over the area, who shall render a decision within 10 business days of receipt of the appeal. If the executive officer takes no action within 10 business days of receipt of the appeal, the ~~EOO's~~EO's findings are final. Further, the decision of the executive officer shall be final.
3. **Determination of Impropriety**
 - a) The ~~EOO/EO~~ makes a finding of impropriety and notifies the parties of the decision and may recommend any action to be taken. Either party may appeal said determination in writing to the ~~EOO within 15~~Institutional Equity Officer within 5-business days of the date of the notice of determination, and the issue proceeds to an appellate review as described below. If no appeal is filed within the ~~15~~5 business-day period, the case is considered closed.
 - b) In the case of a complaint against a faculty member, the EOO/EO may determine that the evidence is sufficiently clear and serious, warranting the immediate commencement of formal proceedings as provided in the Abrogation of Tenure, Dismissal before Expiration of a Term Appointment, and Severe Sanctions sections of the *Faculty Handbook*. If the President concurs with the finding of the EOO/EO, the case may be removed from the grievance proceedings contained herein and further action in the case shall be governed by the Abrogation of Tenure, Dismissal before Expiration of a Term Appointment, and Severe Sanctions section in the *Faculty Handbook*; otherwise, this policy and procedure shall apply.
 - c) In the case of a complaint against a student, where impropriety is found (if not earlier referred to the Student Conduct Office for action), the matter shall be referred to the Student Conduct Office for appropriate action under the Student Code.

B. Hearing

1. Request for an Appellate Hearing

- a) Except as noted above, either party may request, in writing, a hearing within ~~45~~ business days of the issuance of the ~~EOO's/IEO's~~ finding and the request must contain the particular facts upon which the appeal is based as well as the identity of the appropriate respondent(s). The ~~EOO's/IEO's~~ staff or the University's designee, where appropriate, shall immediately provide a copy of the request to the proper respondent(s).

Where the ~~EOO's/IEO's~~ decision is favorable to the initial complainant, and the ~~alleged perpetrator/respondent~~ appeals the finding, the ~~EOO/IEO~~ shall defend ~~his or her~~ their report and findings, and the initial complainant shall be a witness in the appellate proceedings, rather than a "respondent." In this type of appeal, all references to "respondent" in the appellate procedures shall refer to the ~~EOO/IEO~~ and/or relevant members of the University administration. In such cases, an appropriate University official/employee shall be identified by the administration to manage the appeals process and the ~~Equal Opportunity/Institutional Equity~~ Office shall only be involved as the respondent.

~~Typically, only unresolved complaints following an investigation may result in a hearing before a panel selected from the membership of the Committee on Discrimination and Harassment, as described below. For the Norman campus, faculty versus faculty grievances with multiple issues are heard by the Faculty Appeals Board. For all campuses, grievances against students may, in the EOO's discretion, be heard by the appropriate hearing body as set forth in the disciplinary policies and procedures applicable to each campus. The request for a hearing is to be addressed to the Equal Opportunity Office.~~

- b) If a hearing is requested, the respondent's written response to the request for a hearing must be sent to the ~~Equal Opportunity Office's staff or the University's designee~~ Institutional Equity Officer within ten ~~(10) (10e)~~ University business days of receiving notice that a hearing has been requested. ~~The Equal Opportunity Office staff or University designee~~ The Institutional Equity Officer shall provide immediately a copy of the response to the party requesting the hearing.

2. Selection of a Hearing Panel

Within ten (10) business days following receipt of the written request for a hearing, the ~~Equal Opportunity Office staff~~ Institutional Equity Officer or the University's designee shall initiate the process to determine the members of the hearing panel.

a) Panel

A five-member hearing panel will be chosen by the parties to the complaint from the following groups:

- on the Health Sciences Center campus and for HSC-based programs at the Tulsa campus, the 24-member Committee on Discrimination and Harassment;
- on the Norman campus and for Norman-based programs on the Tulsa campus, from the 16-member Committee on Discrimination and/or from the 50-member Faculty Appeals Board.

b) Committee on Discrimination

A committee on discrimination and harassment shall be established on each campus and comprised of staff members, students, and faculty in the following groupings:

- on the Health Sciences Center campus and for HSC-based Tulsa campus programs, eight (8) staff members appointed by the Staff Senate, eight (8) students appointed by the HSC Student Government Association, and eight (8) faculty members appointed by the Faculty Senate.
- on the Norman campus and for Norman-based Tulsa campus programs, eight (8) staff members with five (5) of those members appointed by Staff Senate and the remaining three (3) members appointed by the President, and eight (8) student members with five (5) members appointed by UOSA and the three (3) remaining members appointed by the President, with faculty representation being selected from the 50 member Faculty Appeals Board.

The terms of appointment shall be for three (3) years with initial terms of one (1), two (2), and three (3) years in each category to provide the staggered membership, except that each student shall be appointed for a one-year term.

c) Process of Panel Selection

~~The Equal Opportunity Office staff or University designee~~ The Institutional Equity Officer immediately shall contact the parties informally to select the panel. The complainant and the respondent will select five (5) names each from the list of pool members provided by the ~~Equal Opportunity Office staff or University designee~~ Institutional Equity Officer within five (5) business days of contact from the ~~EOO/EO~~. The names will be listed in rank order with name number one (1) on each list being the preferred panelist. Failure to timely provide names shall result in ~~EOO or University designee~~ EO appointing the panel.

~~The Equal Opportunity Office staff or the University's designee~~ The Institutional Equity Officer will contact the individuals in the order selected. The first two (2) names on each list available to serve will make up the hearing panel.

Those individuals selected will choose a fifth name from the entire pool to serve as a panel member and chair. If the individuals selected for the panel cannot agree on the fifth name or who shall serve as chair, the ~~Equal Opportunity Office staff or University designee~~ Institutional Equity Officer shall appoint the fifth panel member and chair.

Either party to the complaint may ask the ~~Equal Opportunity Office staff or the University's designee~~ Institutional Equity Officer to disqualify any member of the hearing panel. Such requests will be in writing and show sufficient grounds for removal. Furthermore, no panelist shall be expected to serve if he or she feels that a conflict of interest exists. Replacements shall be selected in the same manner as the original panel.

3. Orientation Conference/Pre-Hearing

Within ten (10) business days of receiving notice of service on the appellate panel, or sooner if feasible, the chair shall convene the hearing panel for an orientation and discussion of the grievance, and determine whether a formal hearing is warranted. A member of the ~~Equal Opportunity Office staff and/or the University's designee~~ Institutional Equity Officer shall be present during the orientation conference, where ~~he or she~~ they will provide each panel member with a copy of the hearing guidelines, the written complaint, the request for a hearing, the written response, and the ~~EOO's/EO's~~ report.

Only panel members shall be present during the discussion of whether a hearing is warranted. The appellant must show through the written appeal, that the ~~EOO's/EO's~~ report is erroneous and a hearing would substantially alter the findings because (a) there is additional evidence to be presented that was not available at the time of the investigation that may substantially alter the ~~EOO's/EO's~~ findings, or (b) the investigation's findings are not supported by any evidence

(i.e., the ~~EOO~~IEO must have evaluated the evidence using a preponderance of the evidence standard, (i.e., more likely than not a policy violation occurred). Based on this review and analysis, the hearing panel, within its reasonable discretion and by majority vote, shall determine whether a formal hearing is warranted. The finding a formal hearing is warranted does not necessarily imply the ~~EOO's~~IEO's findings are erroneous. The hearing panel shall notify the parties and ~~the EOO~~theIEO of its decision within five (5) business days of the prehearing.

If the panel agrees by a majority vote that adequate grounds for a hearing do not exist in its reasonable discretion, then they shall notify the ~~Equal Opportunity Office staff or University designee~~Institutional Equity Officer immediately, who in turn, shall immediately notify the parties and the executive officer. The panel's services shall be concluded and the ~~EOO's~~IEOs findings shall be final.

The appropriate executive officer shall render ~~his or her~~their decision and notify the parties and the ~~EOO~~IEO within ten (10) business days of receipt of the panel's decision. Either party may appeal the Executive Officer's decision in writing to the President within ten (10) business days of the notification of the decision. If the President does not act within ten (10) business days of the request, the executive officer's decision is final. Any decision by the President is likewise final.

4. Formal Hearing

If the hearing panel determines a formal hearing is warranted, the chair will schedule the formal hearing to be held within 30 calendar days of the decision of the need for a formal hearing. The chair shall notify the parties and the ~~Equal Opportunity~~Institutional Equity Office within five (5) days of the prehearing conference.

The hearing panel procedures shall be established with reference to the Hearing Guidelines provided by the ~~Equal Opportunity Office or the University's designee~~Institutional Equity Officer at the orientation conference, and as determined by the chair in consultation with the ~~Equal Opportunity~~Institutional Equity Officer/~~Title IX Coordinator~~ and/or University Legal Counsel, and shall provide that the parties may present relevant evidence.

The chair shall notify the parties of the date, time, and location of the hearing, along with other relevant information concerning the hearing process. Parties are responsible for giving such notice to their witnesses. The hearing shall be scheduled to reasonably ensure that the complainant, respondent, and essential witnesses are able to participate. However, the chair shall ultimately determine all relevant scheduling requirements. The parties shall present their own cases. No advisors or counsel may be present in the hearing.

The hearing panel shall determine whether the report, or its result (a) is unsupported by any evidence, or (b) is arbitrary and capricious, or (c) would be altered substantially by new evidence not previously available. The ~~EOO~~IEO must have evaluated the evidence using a preponderance of the evidence standard, i.e., more likely than not a policy violation occurred. The hearing panel shall evaluate the evidence in light of this standard of review.

The parties may call relevant witnesses to testify and may cross-examine witnesses called by the other party as determined by the chair. The hearing shall be closed unless all parties agree to an open hearing. Audiotape recordings of the proceedings shall be arranged by the chair and paid for by the University. Copies of the recording will not be provided. Transcripts may be charged to the requesting party; the original version of the recording shall remain the property of the University.

If the matter is resolved to the satisfaction of all parties prior to completion of the hearing, a written statement shall indicate the agreement recommended by the parties and the statement shall be signed and dated by each party and by the chair. The recommendation will be referred to ~~the EOO~~theIEO, who in turn, shall immediately notify the appropriate executive

officer for final determination. The executive officer shall notify the parties of ~~his/her~~their final determination within five (5) business days of notification of the agreed resolution. Assuming the executive officer agrees with the resolution, the matter shall be closed. To the extent the executive officer disagrees with the resolution, ~~he/she~~they may render ~~his/her~~their decision and notify the parties. Any party may appeal the decision in writing to the President with a copy to the ~~EO~~Institutional Equity Officer and all other parties. The President shall render a decision within five (5) business days of notice of the appeal.

C. Findings and Recommendations

In the event that no solution satisfactory to the parties is reached prior to the completion of the hearing, the hearing panel shall determine by majority vote whether the relevant decisions should be upheld or modified or remanded for further reconsideration, and shall render its findings and recommendations within ten (10) business days of the hearing (unless the hearing panel determines that because of unforeseen circumstances additional time is needed) and notify the ~~Equal Opportunity Office staff/University designee~~Institutional Equity Officer, who in turn, shall notify immediately the proper executive officer with copies to the President.

D. Executive Officer's Decision

Within 15 business days of receipt of the hearing panel's findings and recommendations, the proper executive officer shall inform the complainant and the respondent of the findings of the hearing panel and the executive officer's decision. A copy of the executive officer's decision shall be immediately transmitted to the chair of the hearing panel, with copies to the President and the ~~EO~~Institutional Equity Officer.

E. Appeal to the President

The executive officer's decision may be appealed to the President within ten (10) business days of the executive officer's decision. If the President does not act to change the decision of the executive officer within ten (10) business days of receiving the appeal, the decision of the executive officer shall become final under the executive authority of the President. Any decision of the President shall likewise be final. The University ~~Equal Opportunity~~Institutional Equity Officer & Title IX Coordinator can be contacted for more information:

- For Norman campus and for Norman-based Tulsa campus programs, Room 102, Evans Hall, Ph: (405) 325-3546;
- For Health Sciences Center campus and for HSC-based Tulsa campus programs, 920 Stanton I. Young, Room 164H, HSC Bird Library, 2320 Ph: (405) 271-2110.

Appendix K

NO CHANGES

21. APPENDIX L

LEAVE POLICIES

L.1 - Shared Leave Policy – University of Oklahoma 3-5

L.2 - Family and Medical Leave Act (FMLA) 7-9

L.1 SHARED LEAVE POLICY - UNIVERSITY OF OKLAHOMA

A. Purpose

The Shared Leave Program is a means for a University employee to donate paid leave to a fellow University employee, who is eligible for and requires leave while experiencing a serious health condition, as defined, which has caused, or is likely to cause, the employee to take leave without pay.

B. Definitions

- **Employee Recipient** - Twelve (12) month employees who hold benefits-eligible appointments that accrue paid leave and who have had continuous employment for at least twelve (12) months preceding the serious health condition are eligible to be employee recipients. The recipient employee must have used all his/her paid time off (PTO), extended sick leave (ESL), and compensatory time hours (if applicable) prior to being eligible to receive shared leave. Shared Leave is not available for employees in off-work status due to workers compensation.
- **Employee Donor** - Twelve (12) month employees who hold benefits-eligible appointments that accrue paid leave and have a paid leave balance greater than 50% of annual accrual are eligible to be employee donors. A donating employee can donate paid leave at any time during the budget year.
- **Serious Health Condition** - A serious, extreme, catastrophic, or life-threatening medical condition is a period of incapacity requiring the employee to be medically unable to work for a period of five (5) days or more. The medical condition includes, but is not limited to, continuing treatment or supervision by a healthcare provider; or continuing treatment of a chronic or long-term health condition. The employee must be suffering from an extraordinary or severe illness, injury, impairment, or physical or mental condition that has caused, or is likely to cause, the employee to take leave without pay.
- **Shared Leave Committee** - The Shared Leave Committee will monitor the Shared Leave Program, make policy recommendations to administration and employee governance groups, and approve the distribution of shared leave to the recipient. The Shared Leave Committee will consist of seven (7) University employees, with a term of three (3) years, and shall be recommended by the Faculty and Staff Senates and appointed by the Vice President, Administration and Finance. The Shared Leave Committee will report the overall utilization and evaluation of the Shared Leave Program annually to the Faculty and Staff Senates, the President, Provost, and the Vice President, Administration and Finance.
- **Shared Leave Pool** - The Shared Leave Pool will include both: (1) paid leave hours donated by eligible employees for distribution to a specific employee who has applied for and been approved for receipt of shared leave, and (2) paid leave hours which have previously been donated but not distributed. Hours donated that were not distributed to a specific employee will be maintained in the pool, along with any hours donated for general distribution to eligible employees.

C. General Guidelines for the Shared Leave Program

- 1) Shared leave is meant to cover only the duration of the serious health condition for which it was approved.
- 2) Donated paid leave is transferable between employees in different University departments, within each campus, with the approval of the Shared Leave Committee.
- 3) Any unused shared leave donated to a specific employee will be maintained in the Shared Leave Pool to be distributed to other qualified employees.
- 4) All donated leave must be given voluntarily. No employee shall be coerced, threatened, intimidated, or financially induced into donating paid leave for purposes of the Shared Leave Program.

- 5) Persons involved in the administration of the Shared Leave Program are responsible for guarding the privacy of leave recipients and donors. Communications with either group must be kept confidential.
- 6) Employees who are receiving shared leave will not accrue additional paid leave.

D. Eligibility and Participation Requirements for Recipient

- 1) The employee or his/her personal representative will complete a Shared Leave Request Form and attach documentation from a licensed physician or healthcare practitioner verifying the need for the leave and expected duration of the condition.
- 2) The employee must have a current satisfactory performance evaluation on file, or have no positive disciplinary actions on file during the previous twelve (12) month period.
- 3) The budget head will review the application and forward his/her recommendation to the Shared Leave Committee.
- 4) The Shared Leave Committee will determine eligibility of the employee based on:
 - (a) The definitions listed above.
 - (b) Whether all paid leave available to the employee has been used or is likely to be used. Absence due to personal illness beyond five consecutive working days will be deducted from the extended sick leave account if accrued time is available. Once the extended sick leave account is zero, the employee must also use all available paid leave hours before being eligible to participate in the Shared Leave Program.
 - (c) Whether the employee has abided by University policies regarding the use of paid leave.
- 5) If the employee meets the above criteria, the Shared Leave Committee will determine the amount of donated leave an employee may receive and may only authorize an employee to use up to a maximum of four hundred and eighty (480) hours in a twelve (12) month period. An employee cannot exceed two hundred sixty (260) days or two thousand eighty (2,080) hours of donated leave during total University employment.
- 6) The receiving employee shall be paid his/her regular rate of pay, up to a maximum of two-thousand five hundred (\$2,500) dollars per month of approved shared leave. Each hour of approved shared leave will be provided to the recipient on an hour for hour basis. The leave received will be designated as shared leave and will be maintained separately from all other leave balances.

E. Eligibility and Participation Requirements for Donor

- 1) The receiving employee must be eligible under the above criteria.
- 2) The donating employee will complete a Shared Leave Donation Form which must be sent to the Shared Leave Committee.
- 3) The donating employee may donate any amount of paid leave provided the donation does not cause the paid leave balance of the employee to fall below 50% of his/her annual accrual.
- 4) Donations must be made in full-hour increments.

(Regents, 1-1-01, 6-22-11)

L.2 FAMILY AND MEDICAL LEAVE ACT (FMLA)

The University provides to eligible employees a leave of absence in compliance with the provisions of the Family and Medical Leave Act (FMLA) 29 C.F.R. § 8.2.5. Provisions of existing University policies and the federal Family and Medical Leave Act of 1993 are designed to enable employees to balance their work responsibilities with the demands of caring for family members or in the event of serious personal illness or injury. The required posting is located on the Human Resources website (www.hr.ou.edu) along with details concerning the process for FMLA. The following material provides general policy information concerning FMLA. The University's procedural elements of FMLA are the responsibility of Human Resources. When unique situations arise or when further clarification or assistance is necessary, Human Resources may be contacted. Because case law that further clarifies FMLA is consistently evolving, the University will endeavor to keep its employees informed of relevant changes or clarifications to FMLA.

(A) Eligibility Requirements

Employees are eligible if they have worked for the University for at least 12 months (the 12 months need not be consecutive), and worked for 1,250 hours over the 12 months immediately preceding the commencement of the leave.

(B) Basic Leave Entitlement

FMLA requires covered employees to provide up to 12 weeks of unpaid, job-protected leave to eligible employees for the following reasons:

- 1) Incapacity due to pregnancy, prenatal medical care, or childbirth;
- 2) Care for the employee's child after birth, or placement for adoption or foster care;
- 3) Care for the employee's spouse, son or daughter, or parent who has a serious health condition;
- 4) A qualifying exigency which occurs while the employee's spouse, child, or parent is on covered active duty or has been notified of an impending call or order to covered active duty in the Armed Forces. The term covered active duty means duty during deployment to a foreign country;
- 5) A serious health condition that prevents the employee from performing any or all of the essential functions of the employee's job.

The Family and Medical Leave Act also provides an eligible employee who is the spouse, son, daughter, parent, or next of kin the ability to take up to 26 work weeks during a 12-month period to care for a covered service member with a serious illness or injury. The leave shall only be available during a single 12-month period.

FMLA provides that spouses who are employed by the same entity and are both FMLA eligible may be entitled to a combined total of 12 weeks of leave during any 12-month period if the leave is taken for birth, placement, or parental care. The University has chosen a more generous allowance and makes available 12 weeks to each spouse for these events. The total FMLA-protected leave taken for the birth of a child or adoption of a child can be up to 12 weeks, ~~but~~ the leave must be taken consecutively during a single time period; ~~time off cannot be taken intermittently.~~

(C) Definitions

- **Parent** – the biological parent or the person who raised the employee, e.g., adoptive parents or guardians. This term does not mean parents-in-law.
- **Child** – a biological child or someone the employee is responsible for raising who is under the age of 18 or is permanently incapable of self-care.
- **Covered Service Member** – a current member of the Armed Forces who is on active duty, has been called to active duty, or has been notified of an impending call or order to active duty in support of a contingency operation. Covered military members include members of the National Guard or Reserves (Army National Guard of the United States, Army Reserve, Navy Reserve, Marine Corps Reserve, Air National Guard of the United States, Air Force Reserve, and Coast Guard Reserve).

- **Qualifying Exigency** – for “son or daughter on active duty or call to active duty status” refers to the employee’s biological, adopted, foster child, stepchild, legal ward, or a child for whom the employee stood in loco parentis who is on active duty or call to active duty status, and who is of any age.
- **Military Caregiver** – the spouse, son, daughter, parent, or next of kin of a covered service member.
- **Serious Health Condition** – an illness, injury, impairment, or physical or mental condition that involves either an overnight stay in a medical care facility or continuing treatment by a healthcare provider for a condition that either prevents the employee from performing the functions of the employee’s job, or prevents the qualified family member from participating in school or other daily activities. Subject to certain conditions, the continuing treatment requirement may be met by a period of incapacity of more than three consecutive calendar days combined with at least two visits to a healthcare provider, or by one visit and a regimen of continuing treatment, or by incapacity due to pregnancy, or by incapacity due to a chronic condition. Other conditions may meet the definition of continuing treatment.
- **Qualifying Exigency** – qualifying exigencies encompass a wide range of specific activities in a number of broad categories and include, but are not limited to issues arising from a covered military member’s short notice deployment; military events and related activities, such as official ceremonies, programs, or events sponsored by the military or family support or assistance programs and informational briefings sponsored or promoted by the military, military service organizations, or the American Red Cross; certain childcare and related activities; making or updating financial and legal arrangements; and attending to certain post-deployment activities. An employee whose family member is on active duty or called to active duty status in support of a contingency operation as a member of the Regular Armed Forces is not eligible to take leave because of a qualifying exigency.

(D) Benefits and Protections

University employee-provided insurance coverage and costs will continue for employees for the 12 or 26 weeks (as applicable) of FMLA protected leave. The employee will continue to be responsible for the employee’s share of any premiums and for any additional coverage or elected dependent coverage. It is the employee’s responsibility to contact Employee Services as soon as possible to determine premium payment requirements. Employees on FMLA-protected leave will be eligible to change insurance coverage during the Annual Enrollment Period. If an employee on FMLA-protected leave does not return to work, he or she will also be eligible for continued insurance coverage as provided by the Federal Consolidated Omnibus Budget Reconciliation Act (COBRA) health benefit provision. Upon return from FMLA leave, employees must return to and be restored to their original or equivalent positions with equivalent pay, benefits, and other employment terms. Use of FMLA leave cannot result in the loss of any employment benefit that accrued prior to the start of an employee’s leave.

(E) Use of Leave

An employee is not required to use this leave entitlement consecutively except for excluded events. Leave can be taken intermittently or on a reduced-leave schedule when medically necessary. This leave should be scheduled and approved by the supervisor in conjunction with departmental leave policies. Changes in FTE or salary reduction should not be made during job-protected leave. Employees must make reasonable efforts to schedule leave for planned medical treatment so as not to disrupt the University’s operations. Leave due to qualifying exigencies may also be taken on an intermittent basis.

(F) Use of Paid Leave During FMLA Absence

FMLA runs concurrently with all other types of leaves. Employees are required to use accrued paid leave and extended sick leave (for their own serious health conditions or for the care of a qualified family member) while taking FMLA leave prior to taking any unpaid leave of absence. See the Staff Handbook, Section 3.10 and 3.11, regarding paid leave and other types of leaves of absence. Absences related to an on-the-job injury for which Workers’ Compensation is received will also be designated as FMLA if the employee is eligible and the event is qualifying.

(G) Employee Responsibilities

Employees must provide 30 days advance notice of the need to take FMLA leave when the need is foreseeable. When 30 days' notice is not possible, the employee must provide notice as soon as practicable and generally must comply with normal call-in and other time and attendance procedures. Refer to form WH-381 FMLA Notice of Rights and Responsibilities for more information. WH-381 (dol.gov)~~More information can be found in Employee Rights and Responsibilities on the Human Resources website (www.hr.ou.edu).~~ University policy regarding outside employment will continue to apply to an employee while on FMLA. The University also requires both periodic reports of the employee's status during the course of the leave and his or her projected date of return to work.

(H) Required Documentation

Employees must provide sufficient information for the University to determine if the leave may qualify for FMLA protection, along with the anticipated timing and duration of the leave. Sufficient information may include whether the employee is able or unable to perform job functions or to what degree he or she is able to perform them. In the case of care of a family member, the information may include whether the family member is unable to perform daily activities, whether he or she needs hospitalization or continuing treatment by a healthcare provider, or circumstances supporting the need for military family leave. Dates must be provided by the healthcare provider or the active duty orders. Employees also must inform the University if the reason for the requested leave is the same reason for which FMLA leave was previously taken or certified. A release must be submitted prior to engaging in either full-time or part-time work. A full release is required at the conclusion of each FMLA event.

The active duty orders of a covered military member will generally specify whether a service member is serving in support of a contingency operation by citing the relevant section of Title 10 of the United States Code and/or by referring to the specific name of the contingency operation. This documentation is required by Human Resources. Each new FMLA event requires a new medical certification in support of the request for FMLA. Updates or periodic recertification may be submitted on a healthcare provider's letterhead notices/documents and do not have to be on a medical certification.

(I) Failure to Return from FMLA

If an employee does not return to work as agreed, unless other arrangements were made, he or she shall be considered to have resigned from the University effective the last day of the approved leave.

(J) University Responsibilities

The University designates the FMLA calendar year as a 12-month period measured forward from the date of an employee's first FMLA event. The University will inform employees whether or not they are eligible for FMLA qualifying leave. If the employee is eligible, the notice will specify any additional information required as well as the employee's rights and responsibilities. If the employee is not eligible, the notice will provide the reason(s) for ineligibility. The University will inform employees if leave will be designated as FMLA qualifying leave and the amount of leave counted against the employee's leave entitlement. If the University determines that the FMLA qualifying leave is not appropriate, the University will notify the employee. Additionally, the University will place the employee in the same or equivalent position upon his or her return from FMLA-qualifying leave and will not include such absences when taking disciplinary action because of absenteeism.

(K) Unlawful Acts by Employers

FMLA makes it unlawful for any employer to: (1) interfere with, restrain, or deny the exercise of any right provided under FMLA; (2) discharge or discriminate against any person for opposing any practice made unlawful by FMLA or for involvement in any proceeding under or relating to FMLA.

(Regents, 7-27-93, 6-22-11)

Appendix M
No Changes
At This Time

23. APPENDIX N

POST-DOCTORAL FELLOW GRIEVANCE PROCEDURE

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, and continued education ~~and certification~~ of post-doctoral fellows receiving education at the University. Note: Clinical trainees enrolled in a College of Medicine graduate medical education program (i.e., resident or fellow) are subject to the Grievance Policy in the *Resident Handbook*, in accordance with the Resident Agreement, for grievances related to their program.

Because of the post-doctoral fellows' positions as employees who are also receiving education, any grievance brought by a fellow, other than those clinical trainees in the College of Medicine, regarding his or her rights as a fellow or any allegation of wrongful administrative action resulting in ~~probation~~, suspension, ~~or dismissal~~ and ~~or~~ termination of post-doctoral education shall be brought under this policy. All grievances must be started within ~~thirty~~ 10 University business days of the time the fellow knew or should have known of the decision or situation that is the subject of the grievance.

In the event a post-doctoral fellow has a grievance, the following steps shall be followed:

- 1) The post-doctoral fellow shall discuss the grievance with the supervisormentor or program director or chair and attempt to resolve the issue within the program. The post-doc fellow may also use the ombudsperson and Human Resources in the resolution process
- 2) If the post-doctoral fellow is not satisfied with the program's decision on the issue, he or she may request a meeting with the Assistant or Associate Dean in charge of post-doctoral fellows in the College in which the fellow is assigned through submission of a written grievance within ten University business 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~~mediate the grievance. If the matter cannot be resolved, the post-doctoral fellow may within seven University business 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 Graduate College ~~in which the fellow is assigned~~.
- 5) The Dean of the Graduate College 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~~five members: ~~three~~two selected from the Graduate College faculty ~~and three, two~~ selected from among the post-doctoral fellows ~~in and an Assistant or Associate Dean from the Graduate College where the post-doctoral fellow is assigned~~. The Dean of the Graduate College shall appoint the membership. The Assistant/Associate Dean in charge of postdoctoral fellows in which the fellow is assigned shall serve *ex officio*.

Charge: The Committee may hear an appeal by a post-doctoral fellow who, (1) thinks he or she has been unfairly evaluated by a mentor or program or that his or her rights as a fellowan employee have been abrogated, and (2) has been unable to resolve the matter in conference with the mentor, program director, or chair, and the Assistant/Associate Dean. While the responsibility for evaluations rests with the mentor and program or department, the primary responsibility of the Committee is to mediate disputes ~~which that~~ have not been satisfactorily resolved at the program level in order to protect ~~both post-doctoral fellows and faculty~~all parties from arbitrary and capricious decisions.

- 7) The Post-Doctoral Fellows Appeals Committee shall hear ~~the grievance~~grievances meeting its Charge. The Committee shall determine the procedure and conduct of the hearing incorporating the basic principles of due process. The post-doctoral fellow may bring any person(s) whom he or she thinks

will be able to contribute to his or her presentation to the Committee, and may be advised at his or her own expense by legal counsel, if desired. The post-doctoral fellow must notify the Committee ~~Chairman~~Chair at least seven University business days before the hearing if legal counsel will be present. If the post-doctoral fellow is accompanied by legal counsel at the hearing or at any steps where the post-doctoral fellow and a University official meet, University Legal Counsel shall also be present. Neither counsel for the post-doctoral fellow nor for the University may directly address the Committee ~~in any hearing except in answer to a specific question by a committee member.~~ The Post-Doctoral Fellow Appeals Committee hearing is a confidential proceeding that will be recorded.

- 8) The Committee will render a written report containing findings of fact and recommendations regarding the dispute in question to the Graduate College Dean for ~~his~~ consideration.
- 9) The Dean of the Graduate College shall review the hearing proceedings and the report of the appeals committee and render a final decision regarding the grievance and take appropriate action. Any post-doctoral fellow about whom the Committee makes an adverse recommendation to the Dean will have the opportunity to talk with the Dean before the Dean makes a final decision.

(Regents, 12-4-92, 12-3-02, 6-25-08)

24. APPENDIX O**OVERSIGHT, NOTIFICATION, AND REVIEW OF ALLEGED HEALTH CARE PROFESSIONAL MISCONDUCT POLICY AND PROTOCOL****I. SCOPE**

This policy addresses required reporting of all professional misconduct, as defined below, alleged against a University-employed or volunteer health care provider who works within a clinical practice, including all faculty and staff health care providers.

II. POLICY

Professional Misconduct committed by an employee or volunteer Health Care Professional must be reported to the Healthcare Professional Misconduct Review Group ("Review Group").

III. RATIONALE

The University of Oklahoma is committed to protecting its students, employees, patients, and their guests from physical, verbal, and emotionally abusive misconduct, including that by Health Care Professionals in health care settings. All departments who employ or oversee Health Care Professionals shall report all instances of alleged Professional Misconduct as provided below. In addition, any employee who is aware of an instance of alleged Professional Misconduct must timely report the instance to his/her supervisor and as provided below.

IV. DEFINITIONS

Health Care Professional: Any licensed provider who works within a clinical practice of the University of Oklahoma, including OU Physicians ("OUP"), student health clinics, and any college. This definition includes, but is not limited to, physicians, physician assistants, advanced practice nurses, registered nurses, LPNs, licensed clinical social workers, psychologists, dietitians, pharmacists, dentists, allied health providers, and athletic trainers. This also includes any Health Care Professional who is providing services to another facility or entity under a professional services contract between the University and that entity or facility.

Investigating Office: Includes but is not limited to the Institutional Equity Office, OUP-OU Medicine, Inc. ("OUMI"), Risk Services, the office of the OUP Chief Medical Officer Oklahoma City or Tulsa ("CMO"), Human Resources, and the appropriate campus Police Department or an external consultant, as may be provided for in this policy. When the alleged professional misconduct occurs in a facility not owned or operated by the University, the University's Investigating Office will collaborate with the facility's investigating office to avoid duplication of effort.

Professional Misconduct: includes, but is not limited to:

1. Conduct as outlined in the OU Physicians ("OUP") Disruptive or Impaired Health Care Professional or Staff Policy RM7, <http://ouphysicians.ouhsc.edu/>
2. Conduct as defined by the Sexual Misconduct, Discrimination, and Harassment Policy or the Non-Discrimination Policy, <http://www.ou.edu/coe>
3. Conduct that is defined as unprofessional by federal, state, or local laws; or by licensure, accreditation, or other regulatory bodies; or is illegal.

V. GROUP MEMBERSHIP

A. Review Group Membership: The Review Group shall include campus representatives from the Office of Legal Counsel, Human Resources, Institutional Equity, the office of the CMO, and the appropriate campus Police Department.

B. Leadership Group Membership: The Leadership Group shall be comprised of leadership from the Health Care Professional's campus, Health Sciences Center, OU Tulsa, and/or Norman Campus, and area of

Commented [WM(1): Omission is pending BOR action requested by the Office of Legal Counsel

~~employment. The Leadership Group shall include the campus senior executive officer, the General Counsel, and where applicable, the director of the administrative unit, the CMO, the dean of the college, the department chair, and/or the senior executive of OU Physicians.~~

~~C. **Governing Group Membership:** The Governing Group includes the President and the applicable Board of Regents ("BOR") Campus Committee members.~~

~~VI. COMPLAINTS~~

~~A. **Origination of Complaint:** Complaints may originate in any area of the University, and may be made by faculty, staff, students, patients, or members of the public. The complaint must be documented by the individual receiving it and forwarded to the appropriate Investigatory Office for action (e.g., Institutional Equity Office, Human Resources, OUP/OUUMI Risk Management, the Office of the OUP Tulsa CMO, University Police).~~

~~B. **Notice:** To ensure appropriate notification, if a member of the Review Group receives a complaint, it will be sent to the appropriate Investigatory Office, with a copy to the Office of Legal Counsel. Likewise, the Investigatory Office will send documented complaints to the Office of Legal Counsel and other members of the Review Group.³~~

~~If OU Medicine Inc. ("OUUMI") employees or patients are involved, the Review Group will send a copy of the complaint to OUUMI's Chief Legal Counsel.~~

~~Where the complaint involves allegations of both Professional Misconduct and medical malpractice, OUP OUM Risk Services shall separately address the medical malpractice claims including all legal rights and protections provided to medical malpractice claims, and shall notify the Review Group of the professional misconduct allegations so they may be appropriately investigated as described in this policy.~~

~~Upon recommendation from the Leadership Group, outside counsel or consultants may be retained to conduct an independent investigation of the complaint.~~

~~VII. INVESTIGATION AND REPORT~~

~~A. The Investigating Office(s) shall review the complaint and commence an investigation consistent with applicable University policies and utilizing its standard procedures including applicable appeals.~~

~~B. In all instances, investigations shall include a full inquiry of the facts and circumstances and the allegations and responses including identifying and interviewing all relevant witnesses and reviewing all applicable documentation. In some instances, investigations may also require site visits, access to electronically stored information, and review of confidential information. The Investigating Office shall document its investigation and findings in a report, including the allegations considered; the witnesses interviewed; the documents reviewed, the relevant policies, procedures, standards; and proposed corrective action and/or recommended sanctions consistent with the appropriate University policies.~~

~~C. Within five (5) business days of completion of the investigation, the Investigating Office shall send a copy of its report to the Review Group and the Leadership Group. Where appropriate, depending on the nature, severity, and frequency of the alleged misconduct, the report may be forwarded to the Governing Group for review.~~

~~D. Any investigations requested by the Office of Legal Counsel and conducted by outside counsel or consultants shall meet the same investigation and report requirements stated herein, and where appropriate, a copy of the report will be provided to the Leadership Group.~~

³In addition, a copy of the complaint should be forwarded immediately to the appropriate campus police department, which will determine whether a timely warning should be issued or whether any of the allegations must be reported as crimes in compliance with the Clery Act

VIII. LEADERSHIP GROUP ACTIONS

A. The Leadership Group will review the investigatory report. In all cases and at its discretion, following its review of the report, the Leadership Group may accept the findings and recommendations as provided or make additional recommendations, request additional investigation, and/or impose additional corrective action or sanctions, as permitted under applicable University policies.

B. The Leadership Group may, as appropriate, monitor for a reasonable period of time.

IX. ONGOING RISK MONITORING

The General Counsel will maintain a report of complaints received; it will be used to monitor risk to the University from Health Care Professional Misconduct, including the date and description of each complaint, any prior incident(s), the steps taken for each investigation (e.g. witnesses interviewed, document reviewed), the findings of the Investigatory Office(s), and what corrective action and/or sanction was taken, if any. As appropriate, an updated status will be provided to the Leadership Group. A report will be provided annually to the Board of Regents and more frequently if needed.

X. OTHER POLICIES

This Regents' policy supersedes any contrary or conflicting language or claim of privilege or confidentiality that may exist or be asserted in other University, College, or Departmental policies.

(Regents, 10-23-14)

25. APPENDIX P**ETHICS IN RESEARCH****(a) Introduction**

Research and other scholarly activity at the University of Oklahoma must be above reproach. Each member of the University community has the responsibility to ensure the integrity and ethical standards in any activity with which he or she is associated directly, or any activity of which there is sufficient knowledge to determine its appropriateness. Misconduct in the conduct of research undermines the scholarly enterprise and erodes the public trust in the University community to conduct research and communicate results using the highest standards and ethical practices. The University of Oklahoma is responsible both for promoting scholarly practices that prevent misconduct and for developing policies and procedures for dealing with allegations or other evidence of scholarly or research misconduct.

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

(b) General Definitions

Term	Definition
<u>Allegation</u>	<u>An accusation of specific scholarly misconduct received through any means of communication that triggers the procedures described in this policy.</u>
<u>Complainant</u>	<u>Person who makes an allegation of scholarly misconduct, including those persons who make allegations through the university anonymous reporting line.</u>
<u>Complaint</u>	<u>All allegations of scholarly misconduct, one or many, against a specific respondent received at one time or sequentially.</u>
<u>Deciding Official (DO)</u>	<u>Institutional official responsible for final determinations over all scholarly misconduct matters. In the absence of any conflict, the OUHSC deciding official is the Senior Vice President and Provost.</u>
<u>Fabrication</u>	<u>Making up data or results and recording or reporting them.</u>
<u>Falsification</u>	<u>Manipulating research materials, equipment, or processes, or changing or omitting data or results such that the research is not accurately represented in the research record</u>
<u>Good faith allegation</u>	<u>Allegations of scholarly misconduct that a complainant or witness believes is true and that a reasonable person in that position would likewise believe to be true based on the information known at the time.</u>
<u>Home institution</u>	<u>The institution with jurisdiction over a specific allegation because it is the institution where the research misconduct took place and which retains and/or is responsible for the retention of the original research records.</u>
<u>Inquiry</u>	<u>Preliminary information gathering and fact-finding to determine if each allegation has substance (i.e. that sufficient evidence exists that scholarly misconduct may have occurred to warrant investigation)</u>
<u>Intentionally</u>	<u>To directly engage in falsification, fabrication, or plagiarism with the intent or purpose of misleading the reader of the research record.</u>
<u>Investigation</u>	<u>A formal review of all evidence to determine if scholarly misconduct occurred and by whom, and to recommend appropriate corrective actions and/or sanctions.</u>
<u>Knowingly</u>	<u>To engage in falsification, fabrication, plagiarism or other scholarly misconduct with actual knowledge, deliberate ignorance, or plain indifference of the misconduct.</u>
<u>Plagiarism</u>	<u>The appropriation of the ideas, processes, results, or words of another person without giving appropriate credit.</u>
<u>Preliminary Assessment</u>	<u>Initial review to determine if each allegation fits within the definition of scholarly misconduct and if each allegation is credible and specific so that potential evidence of misconduct may be identified.</u>

<u>Preponderance of the Evidence</u>	<u>Proof by information that, compared with that opposing it, leads to the conclusion that the fact at issue is more probably true than not.</u>
<u>Recklessly</u>	<u>To use or allow the use of, through action or inaction, falsified, fabricated, or plagiarized data while aware of an increased risk of such data being used or generated, or while the risk is so obvious that a typical research in the relevant research community should have known.</u> <u>Recklessness is distinguished from negligence, where an individual deviates from ordinary care that a typical researcher in the relevant research community would have exercised, but the individual is unaware that there was a substantial risk of falsification, fabrication or plagiarism.</u>
<u>Research</u>	<u>Any systematic investigation, including research development, testing, and reporting, designed to develop or contribute to the body of knowledge in any field. The term encompasses basic / applied /clinical research, and research training activities in the areas such as, but not limited to, biomedical and life sciences, natural sciences, engineering, humanities and arts, and social and behavioral sciences.</u>
<u>Research Misconduct</u>	<u>Fabrication, falsification, or plagiarism in proposing, performing, or reviewing research, or in reporting research results. A finding of research misconduct requires 1) that there be a significant departure from accepted practices of the relevant research community; 2) the misconduct be committed intentionally, knowingly, or recklessly; and 3) the allegation be proved by a preponderance of the evidence. Research misconduct does not include honest error or differences of opinion.</u>
<u>Research record</u>	<u>Any data, notes or results, in any media or format, which embodies the information resulting from research. A research record includes, but is not limited to, grant or contract applications, whether funded or unfunded; grant or contract progress or other reports; laboratory notebooks – physical or electronic; notes; correspondence; videos; photographs; X-ray film; slides; biological materials; computer files and printouts; manuscripts submitted or not; publications; equipment use logs; laboratory procurement records; animal facility records; human and animal subject protocols; medical charts; patient research files; computer code; musical scores; musical composition; and choreography.</u>
<u>Respondent</u>	<u>Person or persons against whom allegations of research misconduct are made or who are thought to be responsible.</u>
<u>Research Integrity Officer (RIO)</u>	<u>Institutional official with the primary responsibility for implementation of the procedures in this policy.</u>
Scholarly Misconduct	See section (c) Definition of Scholarly Misconduct, below

~~(b)(c)~~ **Definition of Scholarly Misconduct**

Scholarly misconduct involves any form of behavior that entails an act of deception whereby one's work or the work of others is misrepresented. Other terms, such as research misconduct, (defined as fabrication, falsification, or plagiarism in proposing, performing, or reviewing research, or in reporting research results), are here subsumed within the term "scholarly misconduct" as defined below. The term scholarly misconduct will be used to encompass scientific and other types of misconduct. Scholarly misconduct is distinguished from honest errors and ambiguities of interpretation that are inherent in the scholarly process. Further, scholarly misconduct involves significant and intentional breaches of integrity that may take numerous forms, such as, but not limited to, those outlined below:

(c)(1) Fabrication of data, which is making up data or results and recording or reporting them.

~~(b)(4)~~ Falsification of data, which is manipulating research materials, equipment, or processes, or changing or omitting data or results such that the research is not accurately represented in the research record ranging from fabrication to deceptive selected reporting of findings and omission of conflicting data.

~~(b)(3)~~ Plagiarism and other improper assignment of credit. Plagiarism is the appropriation of another person's ideas, processes, results, or words without giving appropriate credit. Other improper assignments of credit are such as excluding others or claiming the work of others as one's own; presentation of the same material as original in more than one publication; inclusion of individuals as authors who have not made a definite

contribution to the work published; and submission of multi-authored publications without the concurrence of all authors

- (bc)(43) Improper use of information gained by privileged access, such as through service on peer review panels, editorial boards, or policy boards of research funding organizations
- (bc)(45) Serious deviation from the scientific method accepted in proposing or carrying out research, deliberate manipulations, or improper reporting of results
- (bc)(56) Material failure to comply with federal, state, or institutional rules governing research including, but not limited to, failure to file conflict of interest reports and/or to undergo prescribed training or serious or substantial violations involving the use of funds, care of animals, protection of human subjects, use of investigational drugs, recombinant products, new devices, or radioactive, biological, and/or chemical materials
- (bc)(67) Inappropriate behavior in relation to misconduct including, but not limited to, inappropriate accusations of misconduct, failure to report known or suspected misconduct, withholding or destruction of information relevant to a claim of misconduct, and retaliation against persons involved in the allegation or investigation of misconduct.

(d) Evidentiary Standards.

The following standards apply to this policy:

(d) (1) *Standard of proof.* The institution must establish misconduct, including research misconduct, ~~OUHSC~~the institution by a preponderance of the evidence.

(d) (2) *Burden of proof.*

- i. The destruction, absence of, or Respondent's failure to provide research records adequately documenting the questioned research is evidence of research misconduct where the ~~committee~~institution establishes by a preponderance of the evidence that the Respondent intentionally, knowingly, or recklessly had research records and destroyed them, had the opportunity to maintain the records but did not do so, or maintained the records and failed to produce them in a timely manner and that the Respondent's conduct constitutes a significant departure from accepted practices of the relevant research community.
- ii. The Respondent has the burden of going forward with and the burden of proving, by a preponderance of the evidence, any and all affirmative defenses raised.
- iii. The Respondent has the burden of going forward with and proving by a preponderance of the evidence any mitigating factors that are relevant to a decision to impose administrative actions following the university's Ethics in Research policy proceedings.

~~(e)~~(e) Process for Handling Allegations of Scholarly Misconduct

- (ee)(1) Initiation of an allegation of misconduct.** Initial allegations ~~or~~and evidence may be reported by anyone to any faculty member or administrator, who must then report the allegations to the OUHSC Research Integrity Officer (RIO or through the anonymous hotline (OU Report It! hotline URL: ouhsc.ethicspoint.com)). If the person to whom the report would normally be given is involved in some way in the misconduct, the next higher academic officer should be informed. The RIO will ~~immediately~~ notify the Vice President for Research if PHS-supported research is involved, ~~as well as the Office of Research Integrity~~. The RIO, after consultation with the Vice President for Research, will notify the appropriate individuals to take appropriate interim administrative action to protect against a threat of harm to public health or safety, federal funds and equipment, integrity of the research process, and rights and interests of individuals involved in the research misconduct proceedings as necessary and appropriate. These actions will be taken as necessary regardless of the source of research support.

The RIO will counsel the individual(s) making the allegation as to the policies and procedures to be used. If the reporting individual chooses not to make a formal allegation, the RIO, in consultation with the Vice President for Research, may identify another individual to bring forth the allegations, such as the accused's department chair, or may present the allegations personally.

The RIO, in consultation with the Vice President for Research, shall informally review ~~any~~ allegations, ~~assess and to assess whether they are sufficiently specific and credible so that potential evidence of scholarly misconduct may be identified and to~~ determine whether the allegations meet the definition of scholarly misconduct as defined in 3.23(b)(c); confer with the dean of the college in which the allegation is alleged to have occurred, as well as with Legal Counsel; and make a recommendation to the Senior Vice President and Provost regarding whether the allegation warrants initiation of the Inquiry process according to the policies and procedures for scholarly misconduct, or whether other University policies or procedures should take precedence.

The University will pursue an allegation of misconduct to its conclusion, even if the person against whom the allegation is made (hereinafter referred to as the "Respondent") leaves or has left the University before the case is resolved so long as the questioned research was carried out at OUHSC by the Respondent.

(e)(2) **Sequestration ~~and~~ Notification, and Time Limits**

(a) ~~The RIO shall take~~ To the extent it has not already done so at the allegation stage, the RIO must, on or before the date on which the respondent is notified or the inquiry begins, whichever is earlier, promptly take all reasonable and practical steps to obtain custody of, inventory, and sequester in a secure location the research evidence thought necessary to conduct the proceeding. This will be accomplished with the assistance of other individuals, e.g., the Chair of the respondent's department, Vice President for Research, ~~and~~ Legal Counsel, and IT Security.

(b) At the time of sequestration of physical evidence, the RIO will notify the Respondent in writing of the allegation, provide him/her with a copy of the inventory of material secured, and provide him/her with copies of applicable policies and procedures. If there are no data to sequester, the RIO will continue with notice to the Respondent. Electronic research records may be sequestered by the RIO during the allegation stage. This will typically occur within fifteen University business days after receipt of an allegation.

(c) Unless custody has been requested by and transferred to federal agencies or the federal Office of Research Integrity has advised that the university no longer needs to retain he records, the university must maintain records of research misconduct proceedings in a secure manner for seven (7) years after completion of the proceeding or completion of any Public Health Service proceeding involving the research misconduct allegation, whichever is later.

When the time limits detailed in this policy conflict with Public Health Service or other relevant funding sponsors' time limits regarding research misconduct proceedings, the time limit set by applicable federal law shall prevail.

(e)(3) **Admission to Allegations**

If the Respondent elects to admit to the allegations against him/her at any time prior to the Committee of Investigation's submission of its report to the RIO, the Respondent shall inform the RIO who will, after consultation with the Vice President for Research, inform the Respondent of the sanctions that will be imposed by the Senior Vice President and Provost. If the Respondent still wishes to formally admit to the charges, the Respondent must send a written statement to the RIO admitting to the allegations, acknowledging understanding of the sanctions that will be imposed by the Senior Vice President and Provost, and stating that the Respondent understands that they are waiving their rights to an Inquiry and/or Investigation process, as applicable, as well as the right to appeal the sanctions. Upon receipt of this statement, the RIO will proceed as indicated in Section (e)(7)(b) below.

(e)(4) **Inquiry**

- (a) The first step of the review process is an Inquiry which has as its purpose preliminary information gathering and fact-finding ~~in an expeditious manner to help~~ determine whether ~~an allegation is deserving of further~~ each allegation has substance, such that sufficient evidence exists that scholarly misconduct may have occurred to warrant formal investigation, and, if formal investigation is not warranted, to make recommendations concerning the disposition of the case.
- (b) An Inquiry Committee composed of no fewer than three ~~tenured senior regular faculty at the rank of~~ associate or higher faculty with no real or apparent conflict of interest, with no appointment in the department of either the individual(s) making the allegation or the Respondent, and with appropriate expertise for evaluating information relevant to the cases, shall be appointed by the RIO in consultation with the Vice President for Research. The Inquiry Committee should generally be constituted within five University business days after notification to Respondent that an Inquiry is being conducted.
- (c) The RIO shall notify the Respondent, in writing, of the proposed membership of the Inquiry Committee. The Respondent shall be given five University business days to notify the RIO in writing of any bias or conflict of interest of any proposed member.
- (d) Where the individual(s) making the allegation seeks anonymity, the Inquiry Committee shall operate in such a way as to maintain the anonymity to the degree compatible with accomplishing the fact-finding purpose of the Inquiry. Such anonymity cannot, however, be assured. Further, this anonymity may be neither desirable nor appropriate where individual testimony is important to the substantiation of the allegations.
- (e) At the first meeting of the Inquiry Committee to address the allegation, the RIO will present the charge. The charge will include the allegations and the purpose and scope of the Inquiry. The Committee will also be informed of its responsibility to prepare a written report that meets the requirements of this policy. The RIO ~~and Legal Counsel~~ will discuss the responsibilities of the Committee, answer procedural questions, and emphasize the need to maintain confidentiality. The RIO will be responsible for assisting the Inquiry Committee in all of its activities, including setting committee meetings, arranging interviews, assisting with the development of plans to conduct the Inquiry within the time limit, and taking and maintaining notes for all Committee activities. The RIO will provide the Respondent with copies of all evidentiary documents provided to the Inquiry Committee as soon as reasonably possible.
- (f) Information, expert opinions, records, and other pertinent data may be requested by the Inquiry Committee. All involved individuals are obligated to cooperate with this Committee by supplying such requested documents and information. Uncooperative behavior by any involved individual may result in immediate implementation of a formal investigation or University sanctions.
- (g) All material will be considered confidential and shared only with those with a need to know. ~~A tape recording of proceedings may be made at the discretion of the Inquiry Committee chair.~~ The RIO and the members of the Inquiry Committee are responsible for the security of relevant documents.
- (h) All forms of evidence may be gathered by the Inquiry Committee, which ~~will~~ may also conduct interviews of ~~all~~ individuals possessing relevant information, ~~and in particular, such as~~ the Respondent and the individual(s) making the allegation.
- (i) All individuals may have the assistance of personal legal counsel, at their expense, at both the Inquiry and Investigation stages; however, principals are expected to speak for themselves at the interviews. Personal legal counsel is prohibited from directly addressing the Committee. If an individual brings personal counsel, the Office of Legal Counsel shall assign an attorney to attend, at the request of the ~~Committee chair~~ RIO.
- (j) The review by the Inquiry Committee should be completed and a written report filed with the RIO within sixty University business calendar days of written notification to the Respondent that an Inquiry Committee is being formed. The written report shall contain what evidence was reviewed, summarize relevant interviews, if any, and include the findings and recommendations of the Inquiry Committee. If the Inquiry Committee determines that this deadline cannot be met, the Inquiry Committee shall

request an extension from the RIO. The request must include a ~~report~~ written summary of progress to date, an explanation of why an extension is needed, and the anticipated completion date. The RIO will review the ~~extension request~~ report and present his/her recommendation and the request in writing to the Vice President for Research for determination. If the extension is granted, the RIO shall inform, in writing, all individuals with a need to know.

- (k) The Inquiry Committee's draft written report shall contain the following information:
- Names and positions of the Committee members and any experts
 - Name and position of the Respondent
 - List of the allegations
 - ~~Relevant~~ Grant support (in particular, PHS support to include grant numbers, applications, related contracts, and publications listing support)
 - List of the research evidence reviewed
 - List of individuals interviewed and summaries of testimony, if any
 - The Committee's recommendation on initiating conducting an Investigation
 - The evidence supporting the recommendation
 - Other actions that should be taken if an Investigation is not recommended
 - Reasons for extension of the Inquiry beyond 60 days, if applicable

The RIO in consultation with ~~and~~ Legal Counsel should review the draft report for legal sufficiency and solely to ensure that the report includes all elements required by this policy. The Committee will make modifications if necessary and appropriate. The RIO shall give a copy of the draft report to the Respondent and provide the Respondent with a copy of or supervised access to all evidence on which the report is based. The Respondent shall be given ten University business days to comment in writing upon the findings and recommendations of the Inquiry Committee. ~~These~~ The Respondent's comments will be included in ~~made part of~~ the final written report.

- (l) The final written report of the Inquiry Committee will be conveyed to the Senior Vice President and Provost and the Vice President for Research.
- (m) If, after reviewing the outcome of the Inquiry, the Vice President for Research and the Senior Vice President and Provost, determines that there is a need for a formal investigation, the Senior Vice President and Provost or Vice President for Research will notify the RIO, who will initiate that action within fifteen University business days.
- (n) If, after reviewing the outcome of an Inquiry, the Senior Vice President and Provost or and the Vice President for Research determines that a formal Investigation is unwarranted, or if the Inquiry is terminated for any reason, the Senior Vice President and Provost or Vice President for Research shall inform the RIO, who shall:
- 1) Notify all involved individuals and make diligent efforts to restore the reputations of persons alleged to have engaged in misconduct when allegations are not confirmed,
 - 2) Undertake diligent efforts to protect the positions and reputations of those persons who, in good faith, have made allegations of scientific misconduct
 - 3) If required by applicable federal regulations, send a report to the ~~NIH~~ federal Office of Research Integrity stating the intent to terminate the procedure without an Investigation and including a description of the reason for such termination.
 - 4) Take all reasonable and practical steps on behalf of the University, as appropriate, to restore the Respondent's reputation, if the Respondent so requests.

If the Inquiry Committee finds the allegations not to have not been brought in good faith, sanctions may be recommended against the individual(s) making the allegation.

- (o) Records of the Inquiry are confidential to the maximum extent possible and are to be passed on to the Committee of Investigation if a formal Investigation review is initiated. The records of Inquiry shall contain sufficiently detailed documentation of the Inquiry to permit a later assessment of the reasons for determining that an Investigation was not warranted, if necessary. If a formal Investigation is not initiated, the records shall be kept by the RIO for at least ~~three~~ seven years after completion of the Inquiry and shall, upon request, be provided to authorized Department of Health and Human Services personnel.

(e)(5) **Investigation**

- (a) Prior to initiating the formal Investigation, the RIO will ~~immediately notify, among others with a need to know, the Director of the National Institutes of Health (NIH) carry out all required and appropriate notifications to all parties with a need to know that an Investigation is being initiated, including the federal Office of Research Integrity, the National Institutes of Health, if appropriate, and the funding source, if any, that an Investigation is being undertaken, or other sponsors, as appropriate.~~ A copy of the Inquiry Report should accompany the notification, where appropriate. ~~This notification is expected to occur within twenty-four hours of the determination of the need for a formal Investigation.~~ Under certain circumstances, the University may be expected to notify the sponsoring agency or funding source at a point prior to the initiation of an Investigation. Factors used in the RIO's determining the timing of such notification include the seriousness of the possible misconduct, the presence of an immediate health hazard, and consideration of the interests of the funding agency, the scientific community, the public, and the individual who is the subject of the Inquiry and his/her associates.
- (b) Prior to initiating the formal Investigation, the RIO will take all reasonable and practical steps to take custody of inventory and sequester in a secure location any research evidence that was not previously sequestered during the Inquiry or that becomes known or relevant after the Inquiry, including that thought to be needed to investigate any additional allegations or instances of possible misconduct that have resulted in broadening of the scope of the Investigation.
- (c) At the time of sequestration of evidence, the RIO will notify the Respondent in writing of the decision to begin an Investigation and provide the allegations to be investigated, including any new allegations not addressed in the Inquiry, a copy of inventory of any additionally sequestered materials, and copies of applicable policies and procedures. If there are no data to sequester, the RIO will continue with notice to the Respondent as described above. Notification of the Respondent will typically occur within fifteen University business days after the decision to begin an Investigation.
- (d) The RIO, in consultation with the Vice President for Research, shall appoint an Investigation a Committee ~~of Investigation~~ of no fewer than three senior faculty who have no real or apparent conflict of interest, hold no appointment in the department of either the individual(s) making the allegation or the Respondent, and have appropriate expertise for evaluating the information relevant to the case. ~~Preferably, at least one member should not be associated with the University.~~ The purpose of the Investigation Committee ~~of Investigation~~ is to further explore investigate the allegation(s), by evaluating evidence and testimony to determine, based on a preponderance of the evidence, whether scholarly misconduct has been committed occurred, and, if so, determine the type and extent of the misconduct and who was responsible. The Investigation Committee ~~of Investigation~~ should generally be constituted within five University business days after notification of Respondent that an Investigation is being conducted.
- (e) The RIO shall notify the Respondent, in writing, of the proposed membership of the Investigation Committee ~~of Investigation~~. The Respondent should be given five University business days to notify the RIO in writing of any bias or conflict of interest of any proposed member.
- (f) At the first meeting of the Investigation Committee ~~of Investigation~~, the RIO will present the charge. The charge will include the initial allegation(s) as well as any additional allegation(s) and issues identified during the Inquiry, and the purpose and scope of the Investigation. The original and any additional respondents will be identified. The Committee will be informed of its responsibility to conduct the Investigation as described in this policy and to prepare a written report that meets the requirements of this policy. The RIO ~~and Legal Counsel~~ will discuss the responsibilities of the

Committee, answer procedural questions, and emphasize the need to maintain confidentiality. The RIO will be responsible for assisting the Investigation Committee in all their activities, including setting committee meetings, arranging interviews, assisting with the development of plans to conduct the Investigation within the time limit, and taking and maintaining notes for all Committee activities.

- (g) The Investigation normally will include examination of all documentation, including, but not necessarily limited to, relevant research data and proposals, publications, correspondence, and memoranda of telephone calls. Interviews should be conducted with all relevant individuals involved. The interviews ~~should~~ must include the Respondent and the individual(s) making the allegation, as well as other individuals who might have information regarding key aspects of the allegations.

The ~~R~~Respondent shall be given the opportunity to address the allegations and evidence presented at the interviews. Audio will be recorded from all interviews; Complete summaries-transcripts of these interviews should be prepared from the audio files, provided to the interviewed party for comment or revision, and included in the investigatory file. The Investigation Committee ~~of Investigation~~ may request the involvement of outside experts. The Investigation must be sufficiently thorough to permit the Investigation Committee ~~of Investigation~~ to reach a firm conclusion about the validity of the allegations and the scope of the wrongdoing or to be sure that further investigation will be unlikely to alter an inconclusive result. In the course of an Investigation, additional information may emerge that may justify broadening the scope of the Investigation beyond the initial allegation. Should this occur, the Respondent is to be informed, by the RIO, after consultation with the Vice President for Research, in writing of any significant new directions in the or additional allegations for the Investigation.

- (h) All individuals involved in the Investigation are obligated to cooperate in a timely fashion by producing any additional data or information requested for the Investigation.
- (i) The proceedings of the Investigation Committee ~~of Investigation~~ are confidential and will be closed. ~~A tape recording of proceedings may be made at the discretion of the chair of the Committee of Investigation.~~
- (j) The review by the Investigation Committee ~~of Investigation~~ should be completed and a written report filed within 120 calendar University business days of written notification to the Respondent that an Investigation was being initiated. If the Investigation Committee ~~of Investigation~~ determines that this deadline cannot be met, the Committee shall request an extension from the RIO. The request must include a report summary of progress to date, an explanation of why an extension is needed, and the anticipated completion date. The RIO will review the report ~~and present his/her recommendations and the written request to the Vice President for Research for determination.~~ If the extension is granted, the RIO shall inform all individuals with a need to know.
- (k) ~~Any s~~Significant developments during the formal Investigation will be reported by the RIO to the Vice President for Research, the research sponsor, the NIH-federal Office of Research Integrity, ~~if appropriate, and or~~ others as needed necessary and deemed appropriate by the RIO.
- (l) Upon completion of the Investigation, the Investigation Committee ~~of Investigation~~ shall deliberate and prepare its findings and recommendations. The Investigation Committee ~~of Investigation~~ shall submit to the RIO a full written report which details the Investigation Committee's ~~of Investigation's~~ findings and recommendations and the documentation to substantiate the findings.

The Investigation Committee ~~of Investigation's~~ draft written report must include the following information:

- Nature and specifics of the allegations included in the charge to the Committee
- Relevant Ggrant support (in particular, PHS support to include grant numbers, applications, related contracts and publications listing support), pending grant proposals that may be impacted by scholarly misconduct actions, and manuscripts and submitted manuscripts that may be impacted by scholarly misconduct
- List of research evidence secured along with identification and summary of that which was reviewed
- Statement of finding determined by a preponderance of evidence for each individual allegation that includes the type of misconduct (falsification, fabrication, plagiarism, etc.), and whether it was

intentional, knowing, or done in reckless disregard; summarized supportive facts and analyses, including the merits or reasonable Respondent explanations; individual(s) responsible for the misconduct; relevant PHS and non-PHS support including past, current, and pending applications, and whether correction or retraction of any publications, including submitted manuscripts, is needed

- Names and positions of the Committee members and any experts who were interviewed
- Name and position of each Respondent
- Reasons for extension of the Investigation beyond 120 calendar days, if applicable
- Recommended University actions

The RIO in consultation with ~~and~~ Legal Counsel will review the draft report for legal sufficiency and solely to ensure the report includes all elements required by this policy. The Committee will make modifications if necessary and appropriate. This draft report shall be sent by the RIO to the Respondent ~~and Complainant, if appropriate~~, along with a copy of or supervised access to the evidence on which the report is based. The Respondent ~~and Complainant, if appropriate~~, shall be given ~~20 University business~~ thirty (30) calendar days to comment in writing on the ~~allegations, evidence, findings, and recommendations draft report~~ of the Investigation ~~Committee of Investigation~~. A copy of these comments must be attached to the final report.

- (m) The RIO will transmit the final report, including the Respondent's comments, to the Senior Vice President and Provost and the Vice President for Research. The Senior Vice President and Provost is the Deciding Official (D.O.) for OUHSC and shall then make the a final decision based on the findings and recommendations, and, if applicable, impose sanctions. The Senior Vice President and Provost will consider the comments by the Respondent ~~and Complainant~~, if any, before making his/her the final decision. If the Senior Vice President and Provost's determinations differ from those in the Investigation report, the Senior Vice President and Provost will document in writing the basis of his/her the decision and will attach the documentation to the Investigation report. The Senior Vice President and Provost may also return the report to the Investigation Committee with a request for further fact-finding and analysis.
- (n) The Senior Vice President and Provost shall inform the Respondent in writing of the final determination and any sanctions, as well as the appeal process. If the sanctions involve the recommendation for termination of employment or abrogation of tenure, the Senior Vice President and Provost will comply with the University termination or abrogation procedures.
- (o) When appropriate, the RIO will submit the final report of the Investigation to the Director of the NIH federal Office of Research Integrity and ~~the any other~~ funding agency as required. In cases involving a recommendation for severe sanctions, the notification will state, "These sanctions are being recommended and, following University policy, appropriate procedures to appeal the case may be initiated by the Respondent."

(ee)(6) Termination of Inquiry or Investigation

If PHS support is involved and if the University plans to terminate an Inquiry or Investigation for any reason, other than 1) closure after the Inquiry because an investigation is not warranted or 2) a finding of no misconduct in the Investigation, the RIO must notify the Office of Research Integrity in advance for consultation and advice. Examples of reasons that could result in termination of the Inquiry or Investigation process include, but are not limited to, admission of guilt by the Respondent.

(ee)(7) Resolution

- (a) **Finding of absence of scholarly misconduct.** The RIO is responsible for the following actions. Any All research sponsors ~~and or~~ others initially informed of the Inquiry or Investigation shall be ~~informed notified~~ in writing that allegations of misconduct were not supported. If the allegations are deemed to have not been made in good faith, appropriate disciplinary action should be taken against the individual(s) making the allegation. If the allegations, however incorrect, are deemed to have been made in good faith, no disciplinary measures are indicated and an effort should be made to prevent retaliatory actions. In publicizing the findings of no misconduct, the University should be guided by whether public announcements will be harmful or beneficial in restoring any reputations that may have been affected. Usually, such decisions should rest with the person who was wrongfully accused. Diligent efforts, as appropriate, should be undertaken to restore the reputations of persons alleged to

have engaged in misconduct when allegations are not confirmed and to protect the positions and reputations of those persons who, in good faith, made allegations.

- (b) **Findings of scholarly misconduct.** The RIO is responsible for notification to all relevant entities – including of all federal agencies, sponsors, or other entities initially informed of the Investigation - of the finding of scholarly misconduct. The University should take action appropriate for the seriousness of the misconduct, including, but not limited to, the following:

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

- Sponsoring agencies, funding sources
- Co-authors, co-investigators, collaborators
- Department, School, or University
- Editors in journals in which fraudulent research was published
- Editors of other journals or publications, other institutions, other sponsoring agencies, and funding sources with which the individual has been affiliated
- State professional licensing boards
- Professional societies

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

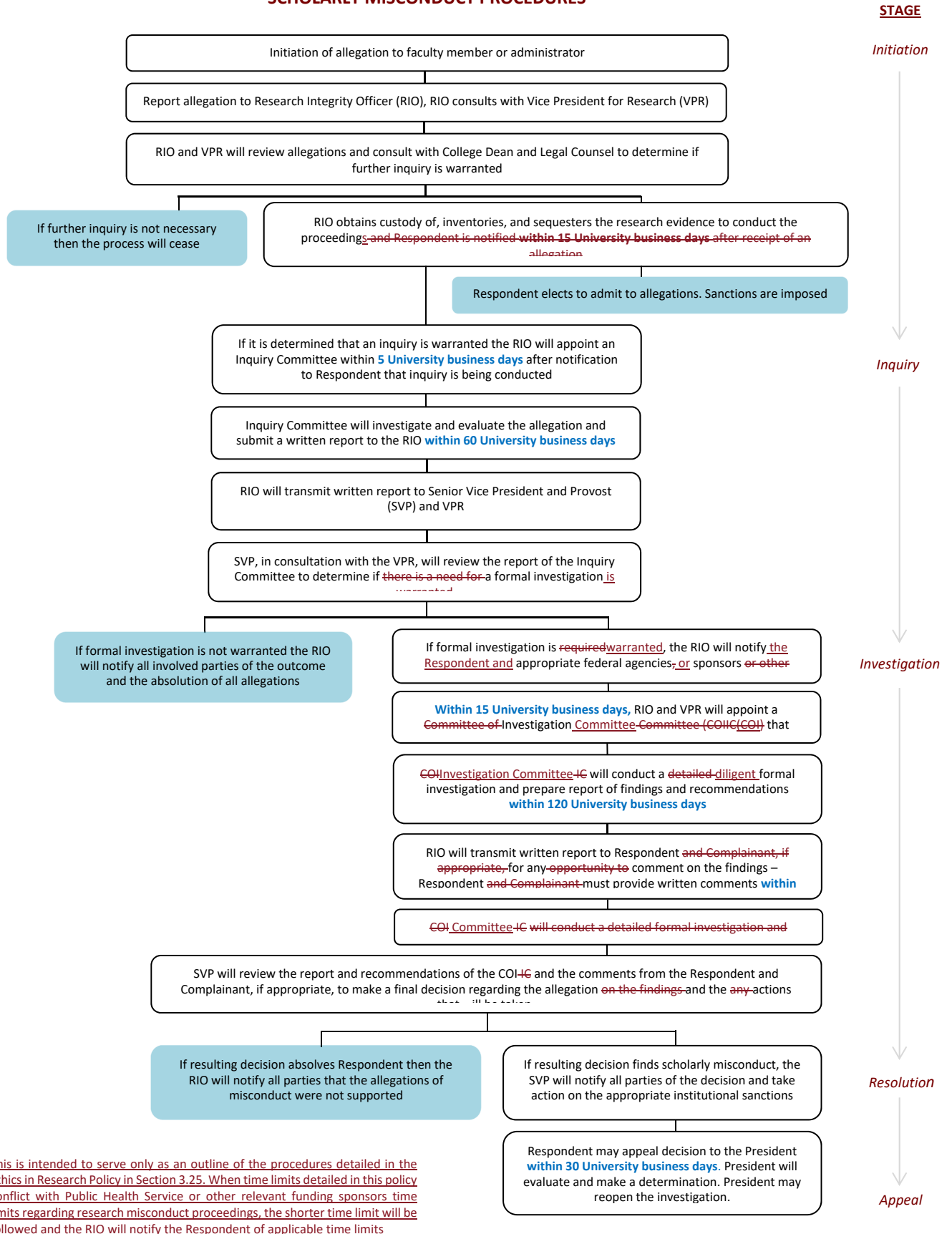
- Removal from particular project
- Special monitoring of future work
- Letter of reprimand
- Probation for a specified period, with conditions specified
- Suspension of identified duties or privileges for a specified period, with or without salary
- Termination of employment/Abrogation of ~~Tenure~~tenure

~~(e)~~(8) **Appeal**

Individuals may appeal the finding of the ~~Committee of~~ Investigation and/or the sanction~~(s)~~. A written statement of the grounds for the appeal must be submitted to the President within thirty University business days of written notification of the results of the Investigation. Grounds for appeal include new previously unconsidered evidence that was not available earlier, sanctions not in keeping with the findings, conflict of interest not previously known among those involved in the Investigation, or lapses in due processes. Upon receipt of a written appeal, the President will evaluate the evidence and make a determination. At the President's discretion, the Investigation may be reopened. The President's decision will be binding on all parties and will be conveyed to all involved in a timely fashion. In case of termination of employment or abrogation of tenure, the decision may be appealed, according to University policies.

(Regents, 6-25-97, 6-25-08, 12-7-12, 9-14-17)

SCHOLARLY MISCONDUCT PROCEDURES



CAPITAL IMPROVEMENT PROJECTS FOR THE NORMAN CAMPUS

I. HIGHEST PRIORITY PROJECTS FOR WHICH STATE FUNDING IS REQUESTED, NORMAN CAMPUS

<u>Priority Number</u>	<u>Project Name</u>	<u>Estimated Total Cost</u>
1	Teaching Lab and Classroom Building	\$100,000,000
2	Galogly College of Engineering Master Plan	\$70,000,000
3	Classroom Renovation and Improvements	\$ 5,000,000
4	Campus Infrastructure Improvements & Deferred Maintenance Projects-Next 5 years	\$120,000,000

II. HIGHER PRIORITY PROJECTS IN PLANNING, DESIGN OR CONSTRUCTION, FUNDING IDENTIFIED IN FULL OR IN PART, NORMAN CAMPUS

<u>Number</u>	<u>Project Name</u>	<u>Estimated Total Cost</u>
5	Campus Infrastructure Improvements and Deferred Maintenance Projects (Years 6 to 20)	\$375,000,000
6	Freshman Housing Master Plan	\$460,000,000
7	Student Affairs Master Plan	\$10,000,000
8	Weather Research / Radar Advanced Manufacturing Facility	\$40,000,000
9	National Weather Center Renovation	\$10,000,000
10	Max Westheimer Airport Improvements	\$52,000,000
11	Couch Restaurants Remodel	\$4,000,000
12	S. J. Sarkeys Complex, Sarkeys Fitness Center Addition and Locker Rooms Renovation	\$15,000,000
13	Jacobson Hall Renovation	\$15,000,000
14	Gaylord Family-Oklahoma Memorial Stadium Master Plan Updates	\$300,000,000
15	Student Athlete Success Center (formerly titled Bud Wilkinson / Wagner Redevelopment)	\$75,000,000
16	L. Dale Mitchell Baseball Park Expansion and Improvements	\$45,000,000
17	Softball Facility Expansion and Improvements	\$47,900,000
18	Sam Viersen Gymnastics Center Expansion Improvements	\$15,900,000
19	Mosier Indoor Track Facility Expansion and Improvements	\$5,000,000

20	Gregg Wadley Indoor Tennis Pavilion and Headington Family Tennis Center' Expansion and Improvements	\$ 8,600,000
21	Charlie Coe Golf Learning Center Expansion and Improvements	\$8,900,000
22	Lloyd Noble Center Team Suites Renovation	\$9,500,000
23	Football Operations Facilities	\$175,000,000
24	Dodge Family College of Arts and Sciences Master Plan	\$1,000,000
25	Infrastructure Transportation Building	\$6,500,000

III. PRIORITY PROJECTS, FUNDING NOT CURRENTLY AVAILABLE, NORMAN CAMPUS

<u>Number</u>	<u>Project Name</u>	<u>Estimated Total Cost</u>
26	S. J. Sarkeys Complex Addition for Health and Exercise Science	\$10,000,000
27	Chemistry and Annex Building Renovation	\$20,000,000
28	Evans Hall Renovation	\$25,500,000
29	Michael F. Price College of Business Renovations	\$30,000,000
30	Bizzell Memorial Library Master Plan	\$45,000,000
31	E-Sports Facility	\$6,000,000
32	Native Nations Center	\$21,000,000
33	Human Anatomy Lab	\$8,000,000

CAPITAL IMPROVEMENT PROJECTS FOR THE OKLAHOMA CITY CAMPUS

I HIGHEST PRIORITY PROJECTS FOR WHICH STATE FUNDING IS REQUESTED, OKLAHOMA CITY CAMPUS

<u>Priority Number</u>	<u>Project Name</u>	<u>Estimated Total Cost</u>
1	Campus Fire Sprinkler Systems	\$3,000,000
2	Campus Construction, Renovations, Equipment and Infrastructure Improvements	\$45,633,000

II. HIGHER PRIORITY PROJECTS IN PLANNING, DESIGN OR CONSTRUCTION, FUNDING IDENTIFIED IN FULL OR IN PART, OKLAHOMA CITY CAMPUS

<u>Number</u>	<u>Project Name</u>	<u>Estimated Total Cost</u>
3	Preclinical Translational Research Facility Renovations	\$18,000,000
4	Steam and Chilled Water Plant Expansion	\$67,000,000
5	OKC Clinic Renovations	\$21,000,000
6	Basic Sciences Education Building 1st Floor Lab Renovation	\$1,100,000
7	Biomedical Sciences Building Laboratory Modernization Project – 7 th Floor; Stephenson Cancer Center	\$9,375,000
8	Stephenson Cancer Center 3rd Floor PK Laboratory and Lobby	\$4,700,000
9	University Research Park Building 755 3 rd Floor Laboratory Renovations	\$13,000,000
10	Basic Sciences Education Building 3 rd Floor West Renovations	\$4,894,000
11	College of Nursing Building Improvements	\$10,880,000
12	College of Dentistry Faculty Practice Clinic	\$3,919,000
13	Biomedical Sciences Building Laboratory Modernization Project - 6 th Floor	\$9,782,000
14	Basic Sciences Education Building Basement Laboratory Renovation/Addition	\$9,000,000
15	University Research Park Building 865 Lower Level Laboratory Renovations	\$5,000,000
16	Basic Sciences Education Building 3 rd Floor East Renovations	\$7,106,000
17	Library and Administration Building Master Plan	\$250,000
18	Cyclotron and Pharmacy Operations	\$12,325,000
19	Basic Sciences Education Building Student Projects	\$2,000,000
20	Biomedical Sciences Building Laboratory Modernization Project – 5 th Floor	\$5,000,000
21	University Research Park Improvements	\$5,000,000
22	Campus Network/Telecommunications Infrastructure Upgrades	\$27,888,000
23	Parking Structure and System Improvements	\$3,000,000
24	Dental Clinical Science Building Internal Renovations	\$14,770,000

III. PRIORITY PROJECTS, FUNDING NOT CURRENTLY AVAILABLE,
OKLAHOMA CITY CAMPUS

<u>Number</u>	<u>Project Name</u>	<u>Estimated Total Cost</u>
25	University Village Apartments	\$5,000,000
26	G. Rainey Williams Pavilion Renovation and Modernization	\$428,000
27	Operations Center	\$6,500,000
28	College of Pharmacy Academic Expansion	\$6,682,000

CAPITAL IMPROVEMENT PROJECTS FOR THE TULSA CAMPUS

I. HIGHEST PRIORITY PROJECTS FOR WHICH STATE FUNDING IS REQUESTED,
TULSA CAMPUS

<u>Priority Number</u>	<u>Project Name</u>	<u>Estimated Total Cost</u>
1	Academic and Administrative Renovations & Equipment	\$6,690,000
2	Campus Infrastructure Improvements	\$15,749,000

II. PROJECTS IN PLANNING, DESIGN OR CONSTRUCTION, FUNDING
IDENTIFIED IN FULL OR IN PART, TULSA CAMPUS

<u>Number</u>	<u>Project Name</u>	<u>Estimated Total Cost</u>
3	OU Physicians Clinical Facilities	\$2,000,000
4	Culinary Medicine Kitchen	\$1,000,000
5	Stephenson Cancer Center 3rd Floor Laboratory	\$600,000
6	Tulsa Nuclear Pharmacy Renovation	\$1,500,000

III. HIGH PRIORITY PROJECTS, FUNDING NOT CURRENTLY AVAILABLE,
TULSA CAMPUS

<u>Number</u>	<u>Project Name</u>	<u>Estimated Total Cost</u>
7	Polytechnic Institute Offices	\$2,000,000
8	Early Childhood Education Institute	\$24,500,000
9	Fitness Center Expansion	\$1,500,000
10	Library Phase II	\$15,000,000
11	Exterior Campus Enhancements	\$3,400,000

12	Campus Parking Enhancements	\$400,000
13	East Side Parking Facility	\$9,000,000
14	Tulsa Nursing Renovation	\$380,000

PROJECT DESCRIPTIONS, NORMAN CAMPUS

The following pages contain additional information about each of the capital projects contained in the preceding Capital Improvements Projects for the Norman Campus. The University may fund certain costs of these projects prior to the delivery of purchase proceeds from its own funds and, to the extent, the University uses its own funds for said purposes, it is intended that proceeds of the Master Lease-Purchase Program may be utilized to reimburse the University.

I. HIGHEST PRIORITY PROJECTS FOR WHICH NEW STATE FUNDING IS REQUESTED, NORMAN CAMPUS

1. **Teaching Lab and Classroom Building: The Teaching Lab and Classroom Building is a proposed research and teaching laboratory building. Located on the main campus, the building will provide much needed space to meet growing demand for lower-level chemistry and biosciences laboratory classes and replace outdated and aging laboratory spaces located in George Lynn Cross and the Physical Sciences Center. The new facility will also provide for new research facilities. Approximately two thirds of the building will be dedicated to teaching labs. The estimated total project cost is \$100,000,000 with funding from State and University sources.**
2. **Gallogly College of Engineering Master Plan: This project will address critical space needs for the Gallogly College of Engineering and review possible expansion and/or renovation to several of its existing buildings. The goal of the master plan is to optimize space usage, consolidate programs and to enhance the educational experience for all students. The master plan will include a review of Felgar Hall, originally constructed in 1910 and has had several additions and renovations over the years but needs significant improvements (electrical, mechanical, life safety, etc.) to meet the college's growing needs. The expected total project cost is 70,000,000.**
3. Classroom Renovation and Improvements: The University's Classroom Renovation Task Force has recommended implementation of basic minimum standards for classroom configuration to address overcrowding and inadequate seating, and to provide the technology necessary for a quality teaching and learning environment. An aggressive program is underway to bring the current 141 centrally scheduled classrooms, comprising over 148,177 net square feet of space, up to the basic standards. The estimated total cost for these projects is **\$5,000,000**.
4. Campus Infrastructure Improvements and Deferred Maintenance Projects – Next 5 Years: These projects involve deferred maintenance and facility infrastructure improvements over the next five years to protect the substantial capital assets of the Norman Campus. The project involves capital renewal in all major campus facilities, including subsystem repairs and replacements, upgrades to and/or replacement of existing elevators and air handlers, roof repair and replacement projects, upgrade of fire alarm systems, interior remodels and upgrades, accessibility improvements, energy conservation work, and

utility upgrades. **Initial projects have been identified as the Bizzell Library 1958 Addition HVAC Replacement Project, the Physical Sciences 3rd & 4th Floor Renovation Project, the NEL Renovation Project, and the Buchanan Hall Renovation Project.** The estimated total cost for these projects is **\$120,000,000.**

II. HIGHER PRIORITY PROJECTS IN PLANNING, DESIGN OR CONSTRUCTION, FUNDING IDENTIFIED IN FULL OR IN PART, NORMAN CAMPUS

5. Campus Infrastructure Improvements and Deferred Maintenance Projects – Years 6 to 20: These projects involve deferred maintenance and facility infrastructure improvements over the next six to twenty years (i.e., conditions will allow for a short delay) to protect the capital assets of the Norman campus. The project involves capital renewal in all major campus facilities, including subsystem repairs and replacements, upgrades to and/or replacement of existing elevators and air handler systems, roof repair and replacement projects, upgrade of fire alarm systems, interior remodels and upgrades, accessibility improvements, energy conservation work, and utility upgrades. The estimated total cost for these projects is \$375,000,000.
6. Freshman Housing Master Plan: A multi-year Master plan has been started to develop the phasing, programming, construction documents, and infrastructure needs to replace the appropriate 3,350 freshman housing beds in the existing three towers. The current plan will keep the housing bed count neutral during the construction of the new housing and replace the towers with smaller buildings to create a greater sense of community and help with recruitment and retention. The estimated total project costs are \$460,000,000. With the lease of Cross and its 1213 beds, the number of beds required for the Freshman Housing Master Plan has been reduced accordingly. It is expected that the project will construct 2,200 – 2,500 beds in two phases with the potential for more depending on enrollment trends. Funding to be provided by University funds or general revenue bond funds.
7. Student Affairs Master Plan: The project will provide planning services for Student Affairs that currently occupies space in the Oklahoma Memorial Union, Henderson Tolson Cultural Center, Jim Thorpe Multicultural Center, Copeland Hall, and other spaces across the campus. The goal of the project is to optimize and consolidate spaces and provide the healthiest and safest spaces for students to socialize, study work, belong, connect, and enhance their academic experiences and to have opportunities to participate in diverse cultural experiences. The estimated costs for these projects are \$10,000,000.
8. Weather Research / Radar Advanced Manufacturing Facility: This University Facility will provide state-of-the-art **weather office and research space, radar research space, and** secure space to house a rapidly growing portfolio of defense-related sponsored research projects. Technical areas supported by the facility will include innovations in radar technology and advanced manufacturing. **The multi-purpose Weather / Radar building will help** facilitate open collaboration among university, government, and industry personnel **in both weather and radar disciplines.** The building will also comprise secure areas to support projects that are governed by ITAR/EAR (International Traffic in Arms Regulations/Export Administration Regulations) as well as areas with additional enhanced security requirements. The estimated total project cost is **\$40,000,000.**

9. **National Weather Center – Renovation:** The National Weather Center Renovation project is an interior renovation, modification, and restacking of multiple departments, programs, and divisions to allow for growth and redistribution of various University and government programs throughout the building. The estimated total cost is \$10,000,000 with funding from University, NIST funding, and lease agreements.
10. **Max Westheimer Airport Improvements:** This project provides for a variety of improvements to the Max Westheimer Airport that will be required to support its continued maintenance and development. The anticipated work includes the following: (1) construct and light new (west) taxiway; (2) rehabilitate, improve, or expand any and all airport pavements to include runways, taxiways, taxi-lanes, aprons and ramp areas; (3) construct new air traffic control tower; (4) install aircraft wash rack; (5) upgrade security fencing; (6) upgrade security camera system; (7) infrastructure development for north and/or south airport property; (8) update the airport master plan; (9) update the airport layout drawing; (10) expand Terminal Building parking; (11) reconstruct fuel lane and taxi lane adjacent to South Ramp; (12) improve drainage; and (13) install/replace runway/taxiway lights and signs as necessary. The estimated cost of these project elements is \$52,000,000 to be funded from a combination of federal and state grants and other University funds.
11. **Couch Restaurants Remodel:** Couch Cafeteria was last remodeled in 2009 and the space is in need of a refresh to keep up with student demand and updated food service trends. The projected cost of the update and refresh is estimated to be \$4,000,000.
12. **S.J. Sarkeys Complex, Sarkeys Fitness Center Addition & Locker Rooms Renovation:** This project involves an approximately 20,000 gross-square-foot addition at Sarkeys Fitness Center for expansion of the general recreation and exercise space in the facility. In addition, the existing men & women’s locker rooms would be renovated and modernized. The estimated total project cost is \$15,000,000.
13. **Jacobson Hall Renovation:** This project includes renovation of the existing 17,300 square foot structure and an addition. First occupied in 1919, this historic structure currently houses the OU Visitor Center and occupies a prominent position as the “Front Door of the University”. The building is primarily office, classroom, and meeting space with space for storage and other support functions. The building will be renovated and upgraded to improve functionality and to preserve and protect its historic character. It is anticipated that new plumbing, HVAC, electrical and life safety upgrades will be required. Work to repair and maintain the building enclosure will include masonry repair, windows and other remedial work identified during assessment and design. The estimated total project cost is \$15,000,000 with funding from University and donor sources.
14. **Gaylord Family-Oklahoma Memorial Stadium Master Plan Updates:** The south stadium work, which comprised the initial construction phase, is substantially complete at a total project cost of \$160,000,000. The enhancement and replacement of the existing North Scoreboard, which comprised the second construction phase, is substantially complete at a total project cost of \$5,000,000. At the October 2018 meeting, the Board of Regents approved the next construction phase with a total project cost of \$14,900,000 which consists of improvements and repairs within the lower seating bowl including additional ADA seating and ADA amenity areas in the North End Zone, additional ADA seating on the West side of the stadium, aisle improvements such as the installation of handrails and intermediate over-pour steps, Wi-Fi infrastructure, the re-cladding of bench seating, and other major maintenance repairs such as traffic coating and expansion joints within the stadium seating bowl. The future remaining phases of stadium work include additional

concourses and seating, handrails, technology improvements, game day operations and press facilities; space for Athletics administration and related operations; the demolition of the existing press box structure and construction of a new west addition that will include significantly improved patron and fan amenities; and field lighting improvements. Future Master Plan development for the remaining phases will include an update of the projected costs of \$300,000,000.

- 15 Student Athlete Success Center (formerly titled Bud Wilkinson/Wagner Redevelopment): This project is intended to address current and future space programming and academic needs for student-athletes and the Athletics Department. The scope of work could include relocation of the Student Athlete Academic Services, collaborative learning areas, administrative office space, Varsity O-Club facilities, multi-purpose space, and review the need for surface or structured parking in the area. The estimated total project costs are \$75,000,000 and is expected to be developed over an extended period of time. Funding for the preliminary planning has been identified from private and Athletics Department sources.
- 16 L. Dale Mitchell Baseball Park Expansion and Improvements: The Athletics Department has reviewed and identified the need for updates and improvements to spectator seating, fan amenities, team facilities, and other site improvements at L. Dale Mitchell Baseball Park, with an estimated total cost of \$45,000,000, with funding to be provided from a combination of private and other Athletics Department funds.
- 17 Softball Facility Expansion and Improvements: The Athletics Department has reviewed and identified the need for updates and improvements to spectator seating, fan amenities, team facilities, and parking expansion and other site improvements. The total estimated cost is \$47,900,000 with funding to be provided from a combination of private and other Athletics Department funds, or general revenue bond funds.
- 18 Sam Viersen Gymnastics Center Expansion and Improvements: The Athletics Department has reviewed and identified the need for updates and improvements to the team and training facilities along with other site improvements at the Sam Viersen Gymnastics Center, with an estimated total cost of **\$15,900,000**, with funding to be provided from a combination of private and other Athletics Department funds, or general revenue bond funds.
- 19 Mosier Indoor Track Facility Expansion and Improvements: The Athletics Department has reviewed and identified the need for updates and improvements to the performance surface, venue infrastructure, team facilities, and other site improvements at the Mosier Indoor Track Facility, with an estimated total cost of \$5,000,000, with funding to be provided from a combination of private and other Athletics Department funds, or general revenue bond funds.
- 20 Gregg Wadley Indoor Tennis Pavilion and Headington Family Tennis Center Expansion and Improvements: The Athletics Department has reviewed and identified the need for updates and improvements to spectator seating, fan amenities, team facilities, and other site improvements at the Gregg Wadley Tennis Pavilion and the Headington Family Tennis Center, with an estimated total cost of **\$8,600,000**, with funding to be provided from a combination of private, Athletics Department funds, or general revenue bond funds.

- 21 Charlie Coe Golf Learning Center Expansion and Improvements: The Athletics Department has reviewed and identified the need for updates and improvements to the team and training facilities along with other site improvements at the Charlie Coe Golf Learning Center, with an estimated total cost of **\$8,900,000**, with funding to be provided from a combination of private and other Athletics Department funds, or general revenue bond funds.
- 22 Lloyd Noble Center Team Suites Renovation: The Athletics Department has reviewed and identified the need for updates and improvements to the Men's and Women's Basketball Team Suites at the Lloyd Noble Center, with an estimated total cost of \$9,500,000, with funding to be provided from a combination of private and other Athletics Department funds, or general revenue bond funds.
- 23 Football Operations Facilities: The new Football Operations Facilities will be located on the Norman campus separate from and adjacent to Gaylord Family Oklahoma Memorial Stadium. It is anticipated that the project will develop new state-of-the-art facilities for functions consistent with those required to support Oklahoma Football training, practice, preparation, and performance. The project will also address existing athletics facilities currently operating at the adjacent location, initially conceptualized to be to the east of the stadium. The estimated project budget is \$175,000,000.
- 24 Dodge Family College of Arts & Sciences Master Plan: This project will provide master planning and professional services for the University of Oklahoma Dodge Family College of Arts and Sciences located on the Norman campus. The Dodge Family College of Arts and currently occupies space in 44 buildings. The goal of the project is to consolidate programs, particularly the newly created Biological Sciences program, and to achieve operational and space efficiencies. The project will also assess growth needs and improvements in the College's teaching and research laboratories. The initial cost of the master plan is estimated to be \$1,000,000.
- 25 Infrastructure Transportation Building: The Infrastructure Technologies Building is an office and laboratory building on the University of Oklahoma Norman research campus. This University facility will provide space for the Gallogly College of Engineering to support transportation research. Technical areas supported by the facility will include unmanned vehicles, battery testing and fuel cell testing. The project will provide office space for up to 12 faculty and 40 graduate students and include an open dry lab. The estimated total cost is **\$6,500,000** with funding from State, Donor, and University sources.
- III. PRIORITY PROJECTS, CURRENT FUNDING NOT AVAILABLE, NORMAN CAMPUS
- 26 S. J. Sarkeys Complex Addition for Health and Exercise Science: This project will consolidate Department of Health and Exercise Science faculty and students in one location with adequate space. The planned addition to the building will be sized to include approximately 19,550 gross square feet constructed to the south of the existing facility. The addition will provide new lab space, classrooms, and faculty offices by expanding the existing basement and first floor. The project also includes modifications to the western façade that provides a new front entrance to the building off Asp Avenue and ties the existing building into the new construction. The estimated total project cost is \$10,000,000.

- 27 Chemistry and Annex Building Renovation: Following the completion of the Stephenson Life Sciences Research Center, the Department of Chemistry and Biochemistry vacated space within the Chemistry and Chemistry Annex buildings. A study to support the reprogramming to the existing facilities for other instructional and research uses will be required. Renovations will be required to reconfigure space, upgrade building systems, and improve accessibility. The estimated total project cost is **\$20,000,000**.
- 28 Evans Hall Renovation: The project will address building accessibility issues, masonry restoration, window replacement, mechanical and electrical system upgrades, and restroom remodel. This historical building renovation also includes a reconfigure of space to better accommodate The University of Oklahoma administration needs within the building. The preliminary budget is **\$25,500,000**.
- 29 Michael F. Price College of Business Renovations: This project will address critical space needs within the Price College of Business as well as the renovation of Adams Hall, originally constructed in 1936 and largely unimproved since that time. Adams Hall requires a significant amount of renovation in the basement, first floor and second floor which includes replacement of all mechanical, electric, and plumbing systems, reconfiguration of spaces, life safety improvements, window and exterior repair/replacement and other enhancements to better utilize the existing space. The expected costs are **\$30,000,000** with funding from University, donor and deferred maintenance funds.
- 30 **Bizzell Memorial Library Master Plan: The Bizzell Memorial Library Master Plan Study will develop a series of phased projects to bring the library to the forefront as a crossroads leader for intellectual and research study at The University of Oklahoma and the world community at large. Recently identified projects include the update of the Main Bizzell library masterplan last reviewed in 2020, a full building analysis of Monett Hall including all space that houses university library collections, and the renovation of existing space in the Library Service Center building to house additional volumes of the library collection currently held in Monett Hall. The expected total project cost is \$45,000,000.**
- 31 **Esports Facility: This project will provide a dedicated Esports gaming and development facility in Cross B. The facility project includes an approximately 5,000 square foot renovation within existing space at the Cross residential complex. The project will provide a state-of-the-art competitive gaming facility, recreational gaming stations, and a production area for use by OU students. The expected total project cost is \$6,000,000 with funding from University and donor sources.**
- 32 Native Nations Center: This project is a new addition to the campus and will be approximately 35,000 square feet on two or three levels. The project will include faculty and staff office spaces, meeting areas, classrooms, a small library, exhibit space as well as space to honor the 39 Sovereign Native Nations within our state. The Native Nations Center at OU will strive to be the premiere center for research and scholarship on Native cultures and sovereignty, and the premiere center for support services for Native students, providing opportunities that will foster and further cultivate relationships between the University of Oklahoma and the native nations within our state and those outside our state. The estimated total cost is \$21,000,000, with funding anticipated from University and donor funds.
- 33 Human Anatomy Lab: Renovation or new building space for the Human Anatomy Academic Lab space. This \$8,000,000 project includes renovated/new lab space, updated mechanical systems, and renovated space to accommodate an increase in undergraduate enrollment for this program.

PROJECT DESCRIPTIONS, OKLAHOMA CITY CAMPUS:

The following pages contain additional information about each of the capital projects contained in the preceding Capital Improvements Projects for the Oklahoma City Campus. The University may fund certain costs of these projects prior to the delivery of purchase proceeds from its own funds and, to the extent, the University uses its own funds for said purposes, it is intended that proceeds of the Master Lease-Purchase Program may be utilized to reimburse the University.

I. HIGHEST PRIORITY PROJECTS FOR WHICH NEW STATE FUNDING IS REQUESTED, OKLAHOMA CITY CAMPUS

- 1 **Campus Fire Sprinkler Systems:** This project involves the installation of fire sprinkler systems across the Health Sciences Center campus including the Biomedical Sciences Building, Library, Basic Sciences Education Building, and OU Technology Center. The project includes the design and installation of fire sprinkler systems and upgrades to fire pumps as necessary. The estimated total project cost is \$3,000,000, with funding proposed from new State or bond funds.
- 2 **Campus Construction, Renovations, Equipment, and Infrastructure Improvements:** This project involves renovation/cosmetic updates to academic and administrative offices, student facilities, support facilities, and laboratories. The purchase of equipment is necessary to support the teaching, research and service missions of the Health Sciences Center and provide state-of-the-art equipment for research. This project also involves deferred maintenance and facility infrastructure improvements to protect the substantial capital assets of the Health Sciences Center. This involves capital renewal in all major campus facilities, including subsystem repairs and replacements, upgrades to and/or replacement of existing elevators and air handlers, restroom remodels and upgrades, roof replacement or repairs, and containment and removal of asbestos. The estimated total project cost is \$45,633,000 with funding proposed from new State, bond, Section 13 and New College Funds, and/or institutional funds. Priority building improvements are planned utilizing Section 13 and New College Funds and institutional funds. This includes the use of approximately \$3,000,000 in Section 13 and New College Funds.

II. HIGHER PRIORITY PROJECTS IN PLANNING, DESIGN OR CONSTRUCTION, FUNDING IDENTIFIED IN FULL OR IN PART, OKLAHOMA CITY CAMPUS

- 3 **Preclinical Translational Research Facility Renovations:** This project involves renovating approximately 20,800 gross square feet in the Comparative Medicine Building to increase the number of holding spaces. Without additional holding spaces the Department is severely limited on the number of faculty they can recruit. The estimated total project cost is \$18,000,000 with funding proposed in the amount of \$8,000,000 in a NIH C06 award, approximately \$927,000 in Institutional funds and approximately \$9,073,000 proposed from State, bond, grant, Section 13 and New College Funds, and/or department or institutional funds.
- 4 **Steam and Chilled Water Plant Expansion:** This project involves expanding the Steam and Chilled Water Plant and will include adding new chillers and towers, replacing aging boilers and chillers, and upgrading electrical systems. The expansion and upgrades of the Steam and Chilled Water Plant is necessary to replace equipment as needed to accommodate the growth of the OU Health Sciences Center, and to supply uninterrupted services to the campus. The estimated total project cost is \$67,000,000 with funding proposed from Bond funds.

- 5 OKC Clinic Renovations: This project involves renovation of the OKC Clinic building. The University took ownership of the building in January 2017 and the facility requires renovating and updating. The project involves repairing exterior façade, renovating the first and second floors and core infrastructure improvements to allow for various tenant possibilities including the Hospital Outpatient Department. The estimated total project cost is \$21,000,000 with funding proposed from leaseholder improvements and State, grant, and/or Section 13 and New College Funds.
- 6 **Basic Sciences Education Building 1st Floor Lab Renovation:** This project involves renovating approximately 750 square feet of laboratory space on the 1st floor of the Basic Sciences Education Building to provide space to house the Temporal Bone Lab. The project involves painting, replacing casework, benches, equipment, flooring and ceiling tiles and infrastructure updating as needed to make the space usable as teaching space. The estimated total project cost is \$1,100,000 with funding proposed from State, bond, grant, and/or Section 13 and New College Funds.
- 7 Biomedical Sciences Building Laboratory Modernization Project – 7th Floor; Stephenson Cancer Center: This project involves the renovation of approximately 20,070 square feet of laboratory space on the 7th floor of the Biomedical Sciences Building for the Stephenson Cancer Center. The project involves painting, repairing/repairing casework, benches, flooring and ceiling tiles and infrastructure updating as needed to make the space usable research laboratories. The estimated total project cost is \$9,375,000 with funding proposed from Grant, private and/or Departmental funds.
- 8 **Stephenson Cancer Center 3rd Floor PK Laboratory and Lobby:** This project involves the renovation of approximately 3,369 square feet of patient blood draw, office, and laboratory space on the 3rd floor of the Stephenson Cancer Center. The purpose of the project is to convert the existing waiting room and PK Lab into a blood draw area and to expand the PK Lab to meet the growing demand of infusion services in both standard of care and clinical trials. The project will be focused within existing clinical space on the 3rd floor of the Stephenson Cancer Center that involves painting, new casework, benches, walls, flooring and ceiling tiles and infrastructure updating as needed to emphasize best practice workflow, maximum efficiencies, and increased patient safety, and create adequate space to accommodate additional volume growth. The estimated total project cost is \$4,700,000 with funding proposed from Departmental funds.
- 9 University Research Park Building 755 3rd Floor Laboratory Renovations: This project involves renovating approximately 26,058 square feet of space on the 3rd floor of 755 Research Parkway for research laboratories and offices. The project will include constructing open lab spaces with wet and dry benches and fume hoods, central rooms for tissue culture/microscopy, a cold room, and common areas for two autoclaves, two dishwashers, and freezers. A research space analysis demonstrates that space is being effectively utilized across campus and in order to continue to grow in research, additional research space is necessary. There is currently no research space to recruit researchers into the clinical departments, which will be critical for growing a number of our thematic areas of research identified in the HSC Strategic Plan, such as infectious diseases and immunology, Children’s Medical Research, Neurosciences, and Cardiovascular Diseases. Renovation of the 3rd floor of URP 755 would provide research space for between 8-12 new researchers depending on their funding and research space needs. The estimated total project cost is \$13,000,000 with funding proposed from Bond Funds.

- 10 Basic Sciences Education Building 3rd Floor West Renovations: This project involves renovating approximately 8,020 square feet of laboratory space on the West side of the 3rd floor of the Basic Sciences Education Building to provide flexible space to house four diabetes center investigators, with room enough for up to four more. The labs will be remodeled to an open modular configuration which along with reconfiguring offices, storage rooms and procedure space will add approximately 767 square feet of laboratory space. Equipment will include new cabinetry, gas lines, biosafety cabinets, bench/desk reconfiguration, and walls with outlets suitable for 220V freezers and centrifuges. The space as it currently is configured, is inefficient for collaboration and lacks several modern conveniences including overhead gas lines, procedural space, and common space for investigators to interact with one another. With the expected increase in recruitment of faculty there is a critical need to be able to work together, as well as perform state-of-the-art translational research. The renovation of this space will allow the University to attract and retain faculty, post-docs, and students expecting a modern, up-to-date, biomedical research facility. The estimated total project cost is \$4,894,000 with funding proposed from State, bond, grant, and/or Section 13 and New College Funds.
- 11 College of Nursing Building Improvements: This projects involves improvements to the College of Nursing (CON) building to include renovations to the Student Success Center to allow a conducive and stimulating learning environment including provisions for the increased enrollment initiative associated with the nursing workforce shortage strategy and renovating the former simulation lab on the first floor to provide an additional 9,000 square feet of flexible, conducive learning space; a state-of-the-art Simulation Center on the 2nd floor to accommodate the increase in enrollment; and technology upgrades at all CON sites. In addition, classrooms will be modernized with learning conducive environments configured to provide clear visual projection, interactive flexibility, ergonomically correct placements and electronic capabilities; 3rd and 4th floor restrooms will be renovated and modernized; lecture room 138 will be updated with distance education (DE) equipment to accommodate the growing demands of remote classes; the skylights in the lobby will be replaced; and classroom air handlers will be replaced. The estimated total project cost is \$10,880,000 with funding in the amount of \$880,000 proposed from new State, grant, and/or Section 13 and New College Funds, and \$10,000,000 in College of Nursing and private donations.
- 12 College of Dentistry Faculty Practice Clinic: This project involves the renovation of approximately 4,623 gross square feet of the Dermatology Building for a new dental clinic facility for the faculty of the College of Dentistry to see private patients. The clinic will have approximately 10 operatories and three dental surgical suites. The current clinic used for faculty practice within the College of Dentistry building is outdated, improperly configured, and too small to meet the current needs of a growing practice. In addition, the clinic is difficult for patients to navigate to given inconvenient patient parking. The larger, more accessible location will facilitate new patient growth. The estimated total project cost is \$3,919,000 with funding proposed from State, grant, and/or Section 13 and New College Funds.
- 13 Biomedical Sciences Building Laboratory Modernization Project – 6th Floor: This project involves the renovation of approximately 11,208 square feet of laboratory space facing the central corridor on the 6th floor of the Biomedical Sciences Building. The project involves painting, repairing/replacing casework, benches, flooring and ceiling tiles and infrastructure updating as needed to make the space usable research laboratories. The estimated total project cost is \$9,782,000 with funding proposed from Bond Funds.

- 14 **Basic Sciences Education Building Basement Laboratory Renovation/Addition:** This project involves renovation of approximately 4,000 square feet of space in the Basic Sciences Education Building within the basement and a possible addition of approximately 2,000 square feet to the building to house additional storage and support spaces for the College of Medicine. These spaces will include additional instructional space to meet the demand of larger enrollment in the College and support/prep spaces for the laboratories. This will involve a full renovation of the space that will involve painting, flooring, ceilings and all the infrastructure additions needed to make the space usable for the intended activities. The estimated total project cost is \$9,000,000 with funding proposed from State, bond, grant, and/or Section 13 and New College Funds.
- 15 **University Research Park Building 865 Lower Level Laboratory Renovations:** This project involves renovating approximately 5,000 square feet of space on the Lower Level of 865 Research Parkway for research laboratories. The project will increase the capacity for preclinical relational research activity. A research space analysis demonstrates that space is being effectively utilized across campus and in order to continue to grow in research, additional research space is necessary to support the researchers' activities. The estimated total project cost is \$5,000,000 with funding proposed from State, grant, and/or Section 13 and New College Funds.
- 16 **Basic Sciences Education Building 3rd Floor East Renovations:** This project involves renovating approximately 11,970 square feet of laboratory space on the East side of the 3rd floor of the Basic Sciences Education Building to provide flexible space to house four diabetes center investigators, with room enough for up to four more. The labs will be remodeled to an open modular configuration which along with reconfiguring offices, storage rooms and procedure space will add approximately 767 square feet of laboratory space. Equipment will include new cabinetry, gas lines, biosafety cabinets, bench/desk reconfiguration, and walls with outlets suitable for 220V freezers and centrifuges. Currently, as configured the space is inefficient for collaboration and lacks several modern conveniences including overhead gas lines, procedural space, and common space for investigators to interact with one another. With the expected increase in recruitment of faculty there is a critical need to be able to work together, as well as perform state-of-the-art translational research. The renovation of this space will allow the University to attract and retain faculty, post-docs, and students expecting a modern, up-to-date, biomedical research facility. The estimated total project cost is \$7,106,000 with funding proposed from State, bond grant, and/or Section 13 and New College Funds.
- 17 **Library and Administration Building Master Plan:** This project involves reconfiguring the platform seating for the Library lecture hall to better accommodate accessibility and renovating and space planning of approximately 121,722 gross square feet in the Library building to accommodate the dire need for more office space and to enhance functionality for both faculty and students. The project will provide more appealing study space and modernized multi-use space to support the University's mission. It is anticipated that design and construction would proceed as a multi-phased effort as identified through a master planning process and as funding is available. The estimated total project cost is \$250,000 with funding proposed from State, grant, Section 13 and New College Funds, and/or Philanthropic funds.

- 18 Cyclotron and Pharmacy Operations: This project involves the acquisition of a cyclotron and renovation of the nuclear pharmacy labs and closed-door pharmacy space. The purchase of a cyclotron will provide additional products to the College of Pharmacy's clients. This will generate additional funds to the College allowing for better support to the academic and research missions including products for cancer patients and cancer research. Nuclear Pharmacy labs need renovated to be compliant with updated federal requirements. The estimated total project cost is \$12,325,000 with funding proposed from Departmental funds.
- 19 **Basic Sciences Education Building Student Projects:** This project involves the renovation of academic space in the Basic Sciences Education Building to accommodate an increase in class size, curriculum changes and new staff for the College of Medicine. This project will add module-discussion rooms per floor, increase lecture hall and classroom capacity, convert simulation rooms to exam rooms, consolidate the PA program, add new offices for faculty and staff, create a learning center and update and expand lounge space. In addition, it will accommodate simultaneous small-group teaching for large classes which will allow the College to move into the future with a modern curriculum. The estimated total project cost is \$2,000,000 with funding proposed from new State, bond, Section 13 and New College Funds, and/or institutional funds.
- 20 Biomedical Sciences Building Laboratory Modernization Project – 5th Floor: This project involves the renovation of approximately 11,000 square feet of laboratory space on the south half of the 5th floor of the Biomedical Sciences Building to increase research space through higher capacity designs to facilitate the recruitment of new investigators. The project involves painting, repairing/replacing casework, benches, flooring and ceiling tiles and infrastructure updating as needed to make the space usable research laboratories. The estimated total project cost is \$5,000,000 with funding proposed from Bond Funds.
- 21 University Research Park Improvements: This project involves renovation of the University Research Park for new space leases. The estimated total project cost is \$5,000,000 with funding from University Research Park and/or other funds.
- 22 Campus Network/Telecommunications Infrastructure Upgrades: This project involves the continued development and expansion of the campus network and telecommunications infrastructure that is critical to meet current and future system demands, including the replacement and implementation of a new, enterprise-wide Student Information System (SIS). The project will refresh and expand Data Center infrastructure equipment such as data storage, archive servers, routers, and IT lab equipment; existing IT data core and wireless network equipment located in campus wide buildings; existing campus telecommunications infrastructure; IT security tools and infrastructure used for enterprise-wide applications; data services and the existing campus super computer infrastructure used for research. Purchases will be made for software licensing for enterprise applications such as computer remote management tools, mobile device management, API Management tools, Salesforce Licenses, Experience Cloud, and PeopleSoft/Oracle license expansions; and for equipment to build a new campus endpoint management infrastructure system to manage and secure endpoint devices such as desktops and laptops. The estimated total project cost is \$27,888,000 with funding in the amount of \$16,715,000 proposed from new State, bond, Section 13 and New College Funds, and/or institutional funds and \$11,173,000 proposed from Information Technologies reserves and Departmental funds.

- 23 Parking Structure and System Improvements: This project involves parking structure maintenance and repairs to the Williams Pavilion, Stonewall, Stephenson Cancer Center, University Research Park, Nicholson, Harold Hamm, Ambulatory Surgery Center and College of Medicine garages, and other parking areas across campus, funds permitting; the purchase of Parking Guidance Technology for the Williams Pavilion Parking Garage for patient parking; the purchase of replacement parking meters for the campus; and the purchase of EV Charging Stations. The estimated total project cost is \$3,000,000 with funding in the amount of \$2,000,000 proposed from OU Parking and Transportation Services' parking reserves and \$1,000,000 proposed from new State, bond, Section 13 and New College Funds, and/or institutional funds.
- 24 Dental Clinical Sciences Building Internal Renovations: This project involves renovation, reconfiguring, and expansion of approximately 26,854 square feet in the Dental Clinical Sciences Building in response to growth in clinical operations allowing for additional patient visits, more efficient delivery of clinical care to patients, and additional support staff offices. Renovations include expansion and updating of the Oral Surgery clinic on the 2nd floor; renovation of the 2nd floor core for Information Technology and Dental Informatics office space; renovation of the digital laboratory on the 3rd floor; build-out of a Clinical Radiology area on the 3rd floor; updating and reconfiguration of the clinics on the 4th floor; and expanding and reconfiguring the pre-clinical simulation lab on the 4th floor to incorporate new teaching models and modern digital dental techniques. The clinics are original to the building built in 1976. The estimated total project cost is \$14,770,000 with funding in the amount of \$1,971,000 from College funds and donations and \$12,799,000 proposed from new State, bond, Section 13 and New College Funds, and/or institutional funds.
- III. PRIORITY PROJECTS, CURRENT FUNDING NOT AVAILABLE, OKLAHOMA CITY CAMPUS
- 25 University Village Apartments: This project involves renovating approximately 72,340 square feet at the University Village Apartments (UVA). The complex was built in 2002 and interior renovations are necessary in the 64 two-bedroom townhouses and 22 studio apartments. The UVA residents include approximately 150 students, staff, and faculty from the OUHSC's seven health professional colleges. The estimated total project cost is \$5,000,000 with funding proposed from private and/or other funds.
- 26 G. Rainey Williams Pavilion Renovation and Modernization: This project involves the renovation of several areas, including Psychiatry, in the G. Rainey Williams Pavilion due to the age and condition of the current facility. The estimated total project cost is \$428,000 with funding proposed from new State, bond, Section 13 and New College Funds, and/or institutional funds, including College of Medicine reserve funds.
- 27 Operations Center: This project involves the purchase and renovation of a facility that will house the Health Sciences Center Operations and related shops, Motor Pool, and other offices. These departments will be relocated from the old Service Center Building. The estimated total project cost is \$6,500,000, with funding proposed from State, grant, and/or Section 13 and New College Funds.
- 28 College of Pharmacy Academic Expansion: This project involves renovating approximately 16,829 square feet for a 225-seat classroom; space for teaching labs; offices for faculty, residents, and support staff; breakout rooms; and restrooms on the east side of the College of Pharmacy building in order to consolidate the Pharmacy academic program into one building. Additional classroom and support space are needed to provide the educational experience necessary for current pharmacy students and to accommodate the additional electives in the current class size. Existing space limitations

have required that faculty share offices, maintain offsite offices, and faculty be dispersed between floors. These conditions have strained the College's ability to establish an effective and efficient academic environment and growth needs for the foreseeable future. The estimated total project cost is \$6,682,000 with funding proposed from State, grant, and/or Section 13 and New College Funds.

CAPITAL IMPROVEMENT PROJECT DESCRIPTIONS, TULSA CAMPUS:

The following pages contain additional information about each of the capital projects contained in the preceding Capital Improvements Projects for Tulsa Campus. The University may fund certain costs of these projects prior to the delivery of purchase proceeds from its own funds and, to the extent, the University uses its own funds for said purposes, it is intended that proceeds of the Master Lease-Purchase Program may be utilized to reimburse the University.

I. HIGHEST PRIORITY PROJECTS FOR WHICH NEW STATE FUNDING IS REQUESTED, TULSA CAMPUS

- 1 Academic and Administrative Renovations and Equipment: This project involves various renovation projects and the purchase of equipment for the Schusterman Center. The project includes renovation for academic and administrative units, including updating TD hallway and 2F offices on the Schusterman Campus, Simulation Center renovations, Stephenson Cancer Center renovations and for campus-wide Information Technology and Academic Affairs. Renovations and the acquisition of equipment and software applications will involve offices, research laboratories, video technology, research, and startup of Biomedical Engineering, building renovation for OU-Tulsa Polytechnic Institute and a collaborative learning classroom. The estimated total project cost is \$6,690,000 with funding proposed from State, grant, Section 13 and New College Funds, and/or department or institutional funds.
- 2 Campus Infrastructure Improvements: This project involves various physical plant projects. They include boiler room controls, LED lights replacement, roof replacement on several buildings and condition space as well as replacement of 36 to 47-year-old inefficient chillers that have reached their useful life expectancy. Additionally, the project includes water pumps and water pipe replacement, coil replacement, window replacement in building 1, equipment replacement in Family Medicine, carpet replacement, remodel restrooms, replacing fleet vehicles, replacing all smoke detectors, asbestos removal, police department renovations and fitness center locker room replacement. The estimated total project cost is \$15,749,000, with funding from bond issues or State, grant, Section 13 and New College Funds, and/or department or institutional funds.

II. PROJECTS IN PLANNING, DESIGN OR CONSTRUCTION, FUNDING IDENTIFIED IN FULL OR IN PART, TULSA CAMPUS

- 3 OU Physicians Clinical Facilities: This project involves the renovation and updating of clinical facilities and the furniture, fixtures, and equipment within these areas as needed from the wear of heavy patient traffic as well as clinical space usage being renovated due to a change in the clinical specialty needs. The estimated total project cost is \$2,000,000 with funding proposed from Clinical funds over 5 years.
- 4 Culinary Medicine Kitchen: This project involves the support for the OU Institute for Food & Equity vision. This initial launch phase will allow the OU Institute for Food & Equity to build and strengthen the successful program with secure funding, as well as leverage additional internal and external funding. A total of \$3,891,400 will assist with staffing to sustain and expand services, food for classes, healthy food markets on all OU

campuses, and establishing a teaching kitchen. External support will be combined with University funding in the amount of \$1,185,498 (\$551,000 existing and \$634,498 new), along with an additional \$667,000 to be raised from other external funding sources. The estimated total project cost is \$1,00,000 for facilities renovation and equipment with funding proposed from State, grant, Section 13 and New College Funds, and/or department or institutional funds.

5 **Stephenson Cancer Center 3rd Floor Laboratory:** This project involves renovating approximately 1,200 square feet of existing laboratory space on the 3rd floor of Building 1 to provide space to house a new researcher to the University. The project will include adding a restroom, four exam/research rooms and observation space in the existing building. The project involves painting, replacing casework, flooring and ceiling tiles and infrastructure updating as needed to make the space meet the needs of the researcher. The estimated total project cost is \$600,000 with funding proposed from Departmental funds.

6 **Tulsa Nuclear Pharmacy Renovation:** A nuclear pharmacy operation was donated to the College of Pharmacy to continue its operations. The current location is located next to St. John's Hospital and the Lease is set to expire. The space is inadequate and outdated to continue in the current location long term. Additionally, this will locate the operation on the Schusterman campus near other clinical operations. Space has been identified and is need of renovations to meet regulations and standards for a nuclear pharmacy. The estimated total project cost is \$1,500,000 with funding proposed from State, grant, Section 13 and New College Funds, and/or department or institutional funds.

III. HIGH PRIORITY PROJECTS, CURRENT FUNDING NOT AVAILABLE, TULSA CAMPUS

7 **Polytechnic Institute Offices:** This project will renovate existing space in Building 4 West on the Tulsa campus to house the new OU Polytechnic Institute. The project renovates approximately 8,100 square feet of space to include the following functions: office space for the Dean, faculty and staff, and a new student success center to support the needs of the students of this new department. This project also includes modifications to the existing restrooms to meet current code and accessibility requirements. The work will also include energy upgrades to include new LED lighting upgrades to the space. The estimated total project cost is \$2,000,000 with funding proposed from State, grant, Section 13 and New College Funds, and/or department or institutional funds.

8 **Early Childhood Education Institute:** This project involves the construction of a 40,000 square foot facility on the OU-Tulsa Schusterman Center campus to jointly house the Early Childhood Education and College of Education for transdisciplinary research and for education who have seen tremendous growth over the last 15 years. The faculty, staff and students are currently spread across multiple buildings. Bringing them together in contiguous space under one roof will enhance opportunities for further research collaboration, create a greater sense of community, improve efficiency of operations, and serve as a showplace for education research and training in Northeastern Oklahoma. The building will include classrooms, meeting spaces, team rooms, collaboration/laboratory spaces, faculty offices, research offices, administrative offices, graduate assistant offices, and visiting scholar offices. There is a reference to transdisciplinary research for education across all three campuses housed in the building. The estimated total project cost is \$24,500,000 including a maintenance endowment, with funding proposed from an external donor (though no funding has been determined for incremental operating expenses). State appropriations would not be used for building construction.

- 9 Fitness Center Expansion: This project involves constructing an addition to the existing Fitness Center space within the Founders Student Center - extending to the south of the existing space within the academic building on the Schusterman campus. The additional space would create an expanded cardio area and expanded free and resistance weight selections. This expansion would also include either the renovation of nearby existing locker rooms or the construction of new locker rooms directly adjoining the expanded fitness center facility. The estimated total project cost is \$1,500,000 with funding proposed from State, grant, Section 13 and New College Funds, and/or department, institutional or Foundation funds.
- 10 Library Phase II: With the completion of the OU-Tulsa Schusterman Center Library construction project in 2011, an approximately 24,000 square foot expansion of the original building is needed to include many key features that were scaled back or eliminated from Phase I planning. Many of these features were proposed when the original library plan was developed based on input from faculty, students, administrators, and external stakeholders including academic accreditors. These features would include more study rooms and collaborative learning spaces for students; an active learning classroom to keep pace with the library's expanding educational role on campus; a data management and visualization lab to support new research; a digital scholarship lab to include recording studio and makerspaces to support instructional design and student project work; small auditorium and event space; additional collections space for non-traditional and historic materials; an enclosed outdoor study garden; individual study carrels; additional office space; and co-working spaces for faculty visiting from Norman and Oklahoma City campuses. The estimated total project cost is \$15,000,000 with funding proposed from State, grant, Section 13 and New College Funds, and/or department, institutional or private funds.
- 11 Exterior Campus Enhancements: This project involves a pedestrian pathway, exterior signage, repaving of the east parking lot, cooling tower screen, landscape garden, and "walking trail." The pedestrian pathway will provide safety improvement for access between the main building, Learning Center, and Schusterman Library. The estimated total project cost is \$3,400,000 with funding proposed from Foundation funds in the amount of \$1,400,000 for the "walking trail" and \$2,000,000 proposed from State, grant, Section 13 and New College Funds, and/or department or institutional funds.
- 12 Campus Parking Enhancements: This project involves street and parking improvements. Additional on-street and surface parking around campus will be provided, as well as necessary sidewalks and improved signage. Campus landscape beautification projects including tree replacements and additional benches as well as streetscape enhancements will be undertaken. This pertains to constructing additional surface parking. This is not repaving existing parking. The estimated total project cost is \$400,000 with funding proposed from Foundation funds.
- 13 East Side Parking Facility: This project involves the construction of a parking structure with up to 500 spaces adjacent to the Learning Center and Library. The estimated total project cost is \$9,000,000 with funding proposed from non-state appropriations sources.
- 14 **Tulsa Nursing Renovation**: **The College of Nursing (CON) has had rapid student expansion and has required more space to adequately deliver the CON programming, particularly in performing lab skills and simulation, as well as offices for the increase in faculty/staff numbers. At the OU Schusterman Center, 1D12 and 1C36, both formerly occupied by the School of Community Medicine (SOCM), were identified as spaces for the CON needs. The 1D12 space, an increase in almost 1,200 square feet, will be conducive with some renovations including changing doors, possibly removal of walls between cubicles, installing new lighting, cabinets, and**

flooring and possibly the addition of a washer/dryer station, which would require plumbing/venting as well. The 1C36 office configuration, approximately 700 square feet, allows for either faculty offices, simulation/lab rooms, or a combination thereof depending on departmental preferences. Minimal changes will be needed in this space if used for office space (painting, etc.). If used for simulation, possibly one wall will need to be removed to support manikin sizes. The estimated total project cost is \$380,000 with funding proposed from State, grant, Section 13 and New College Funds, and/or department or institutional funds.

DISTRIBUTION SAF 2024-2025 ANNUALIZED FUNDS

	2022-2023	2023-2024	2024-2025
Dean of Students	\$1,024,400.00	\$1,040,400.00	\$1,137,900.00
Fitness & Recreation	\$227,836.00	\$227,836.00	\$301,836.00
Gender and Equality Center	\$170,991.28	\$176,097.28	\$176,097.28
Reserve ⁽¹⁾	\$92,000.00	\$94,600.00	\$98,600.00
Student Conduct	\$63,793.00	\$63,793.00	\$63,793.00
Student Government Association	\$806,068.44	\$830,050.44	\$832,050.44
Student Life	\$950,053.28	\$950,053.28	\$962,553.28
Student Media	\$391,907.00	\$391,907.00	\$401,907.00
University Counseling Center	\$872,951.00	\$955,263.00	\$955,263.00
GRAND TOTAL	<u>\$4,600,000.00</u>	<u>\$4,730,000.00</u>	<u>\$4,930,000.00</u> ⁽²⁾

⁽¹⁾ Per Regents' Policy, two percent of Student Activity Fees are allocated to the Reserve. Any unallocated monies are also allocated to the Reserve.

⁽²⁾ FY25 projection reflects Student Activity Fee increase of \$0.08 per credit hour effective Fall 2023. FY25 projection provided by Associate Vice President for Budget and Finance.

EXHIBIT "A"

To that certain easement from The Board of Regents of the University of Oklahoma, to Oklahoma Gas and Electric Company.

An easement in the **SOUTHWEST QUARTER (SW1/4) OF SECTION THIRTY TWO (32), TOWNSHIP NINE (9) NORTH, RANGE TWO (2) WEST** of the Indian Meridian, Cleveland County, Oklahoma, written by Timothy G. Pollard, PLS 1474, on December 19, 2023. Bearings are Based on an arbitrary bearing of N89°54'00"W, on the South Line of said SW1/4 and as shown on attached Easement Sketch, said easement further described as: being Ten (10) feet in width, Five (5.00) each side of a centerline described as follows:

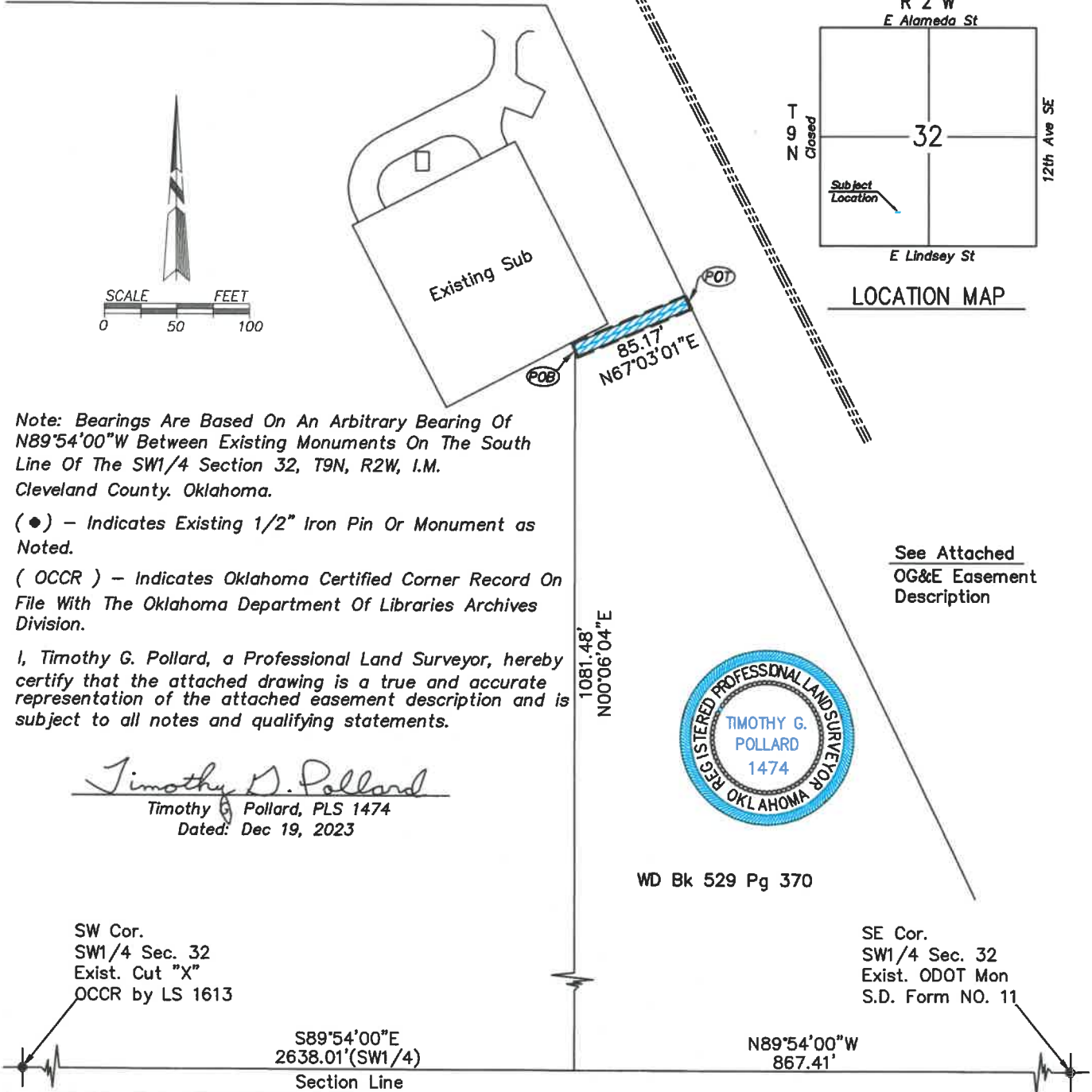
COMMENCING at the SE corner of said SW1/4;

Thence N89°54'00"W, on said South Line for a distance of 867.41 feet;

Thence N00°06'04"E, for a distance of 1081.48 feet, to the **POINT OF BEGINNING**;

Thence N67°03'01"E, on said centerline for a distance of 85.17 feet, to the **POINT OF TERMINATION**.

EXHIBIT "B" EASEMENT SKETCH



Note: Bearings Are Based On An Arbitrary Bearing Of N89°54'00"W Between Existing Monuments On The South Line Of The SW1/4 Section 32, T9N, R2W, I.M. Cleveland County, Oklahoma.

(●) – Indicates Existing 1/2" Iron Pin Or Monument as Noted.

(OCCR) – Indicates Oklahoma Certified Corner Record On File With The Oklahoma Department Of Libraries Archives Division.

I, Timothy G. Pollard, a Professional Land Surveyor, hereby certify that the attached drawing is a true and accurate representation of the attached easement description and is subject to all notes and qualifying statements.

Timothy G. Pollard
 Timothy G. Pollard, PLS 1474
 Dated: Dec 19, 2023



See Attached
 OG&E Easement
 Description

WD Bk 529 Pg 370

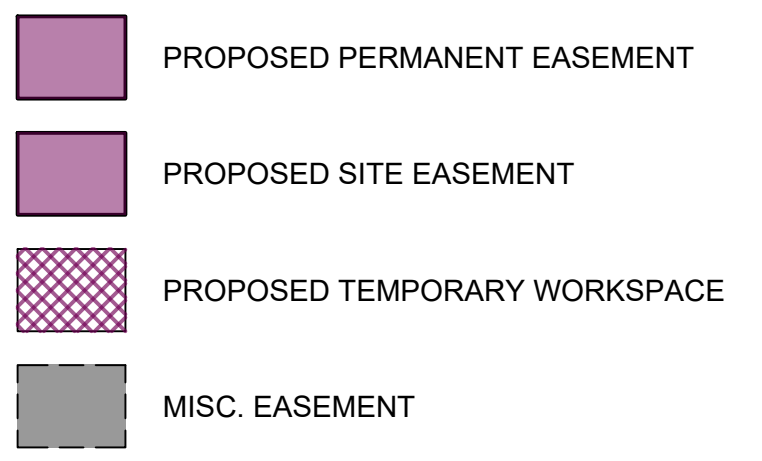
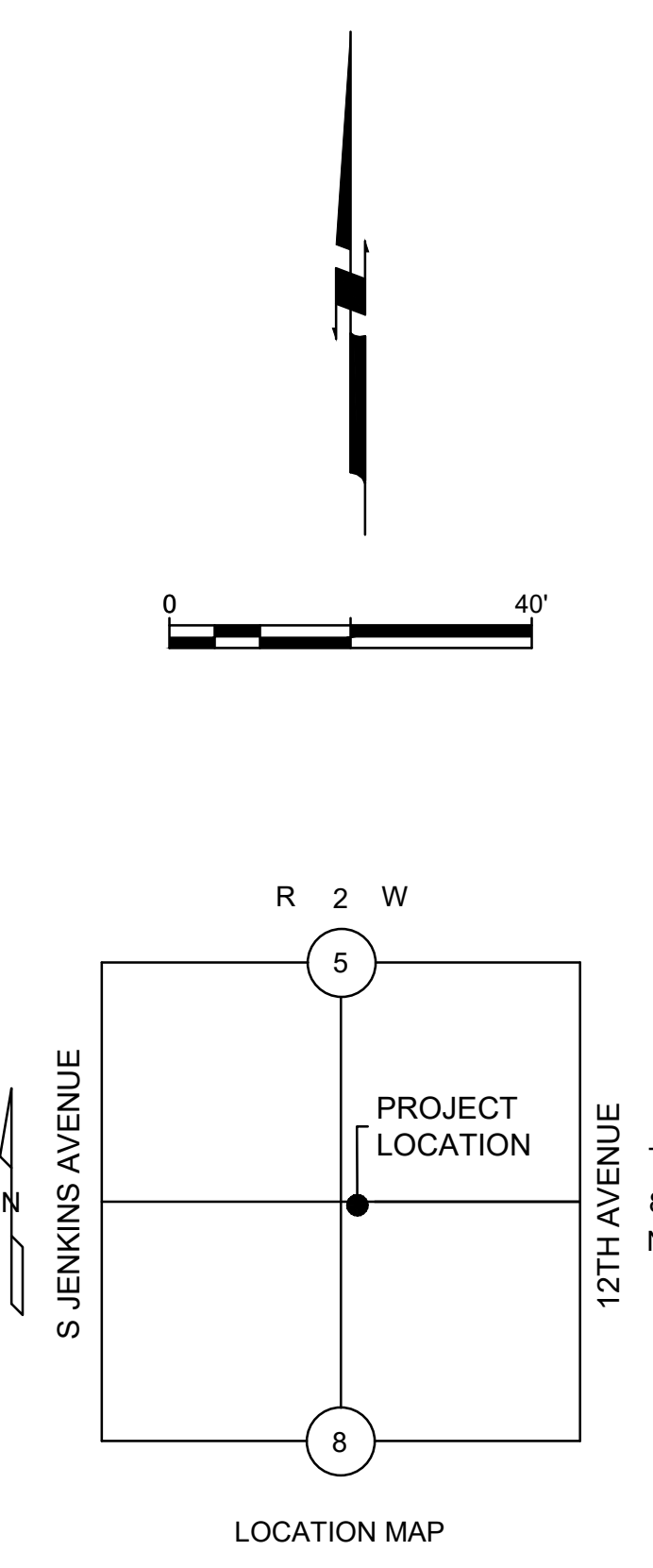
SW Cor.
 SW1/4 Sec. 32
 Exist. Cut "X"
 OCCR by LS 1613

SE Cor.
 SW1/4 Sec. 32
 Exist. ODOT Mon
 S.D. Form NO. 11

S89°54'00"E
 2638.01'(SW1/4)
 Section Line

N89°54'00"W
 867.41'

OKLAHOMA GAS AND ELECTRIC COMPANY				
POLLARD & WHITED SURVEYING INC. 2514 TEE DRIVE, NORMAN, OKLAHOMA 73069 CA#2380 EXP 06-30-25 405-366-0001	OG&E EASEMENT SKETCH WO# 1650921 SW1/4 SECTION 32, T9N, R2W, I.M. CLEVELAND COUNTY, OKLAHOMA		REVISIONS:	
DRAWN BY: J. THOMAS	DATE: Dec 19, 2023	FILE #: 32-9N2W.ASC	DATE: Dec 19, 2023	SCALE: 1" = 100'
APPROVED BY: D. MEEKS	DATE: Dec 19, 2023	DRWG #: 32-9N2W.DWG	DATE: Dec 19, 2023	SHEET 1 OF 1



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NO.	REVISIONS DESCRIPTION	DATE

Johnson & Associates
 1 E Sheridan Ave., Suite 200
 Norman, OK 73061
 405.891.1111
 www.jaok.com
 Certificate of Authorization #1484 Exp. Date: 06-30-2025
 ENGINEERS SURVEYORS PLANNERS

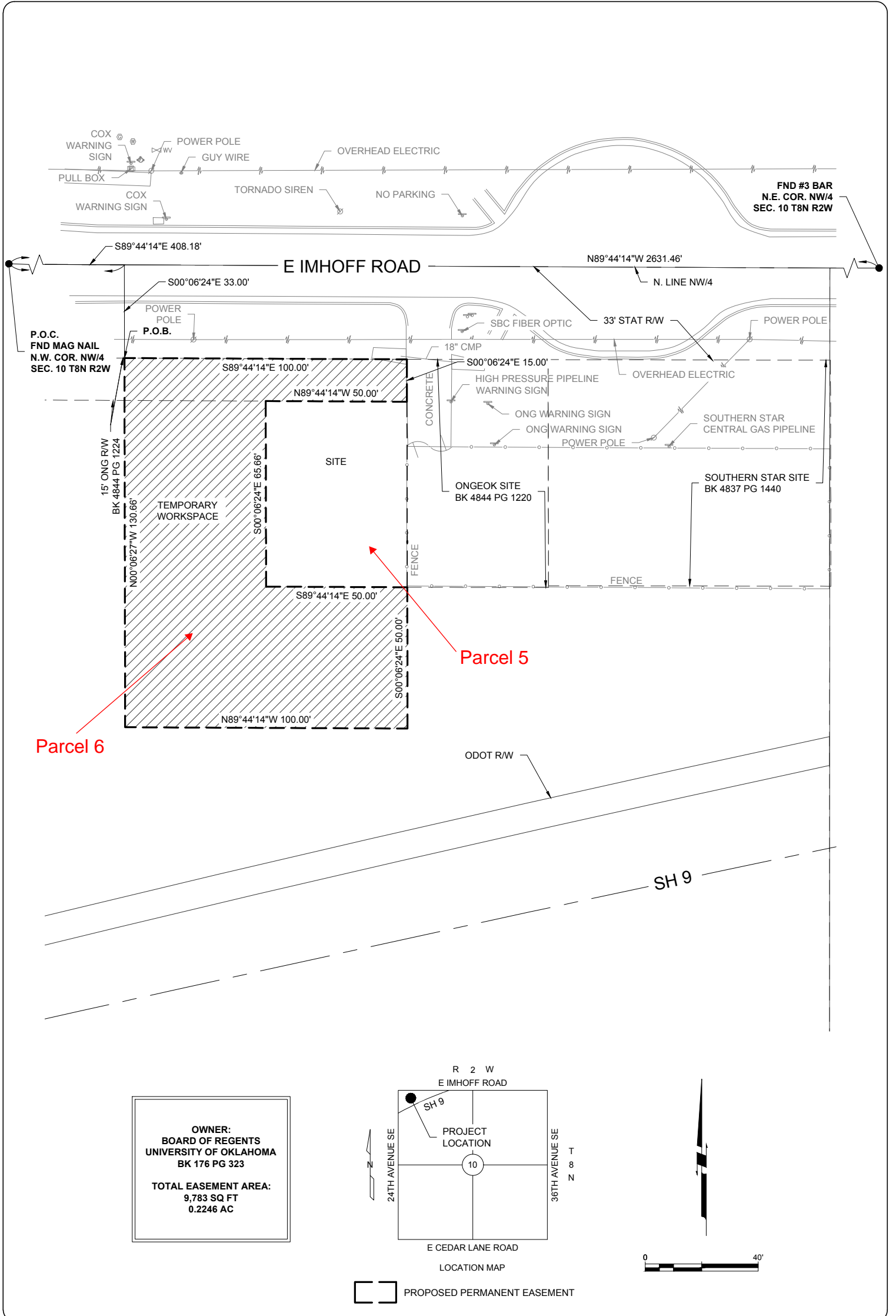
OKLAHOMA NATURAL GAS CO.
 NORMAN, CLEVELAND COUNTY, OKLAHOMA
 THE BOARD OF REGENTS OF THE UNIVERSITY OF OKLAHOMA
OVERALL EXHIBIT

Proj. No.:	11008
Date:	4-24-3
Scale:	1"=40'
Surveyed By:	TW
Drawn By:	TW
Approved By:	

SHEET NUMBER
1 of 1

FOR EXHIBIT PURPOSES ONLY. NOT FOR CONSTRUCTION.
 FOOTPRINTS & ROADS LISTED FOR EACH PROPERTY OWNER ON THE EXHIBIT ARE FOR THE EASEMENT AND MAY DIFFER FROM THE STATINGS LISTED FOR THE AGREEMENT.

EXHIBIT "B"



ACAD FILE: S:\Civil 3D proj\9000 ONG\11008 A-490 WP Site\Working Folder\11008 TRACT 4.dwg, 6/13/2023 3:53 PM, Jason Harvey
XREFS LOADED: 10772 BDY.dwg 11008 BDY.dwg

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Proj. No.: 11008
Date: 6-13-23
Scale: 1"=40'

OKLAHOMA NATURAL GAS COMPANY
NORMAN, CLEVELAND COUNTY, OKLAHOMA
BOARD OF REGENTS UNIVERSITY OF OKLAHOMA
TEMPORARY WORKSPACE



Johnson & Associates
1 E. Sheridan Ave., Suite 200
Oklahoma City, OK 73104
(405) 235-8075 FAX (405) 235-8078 www.jaokc.com
Certificate of Authorization #1484 Exp. Date: 06-30-2023
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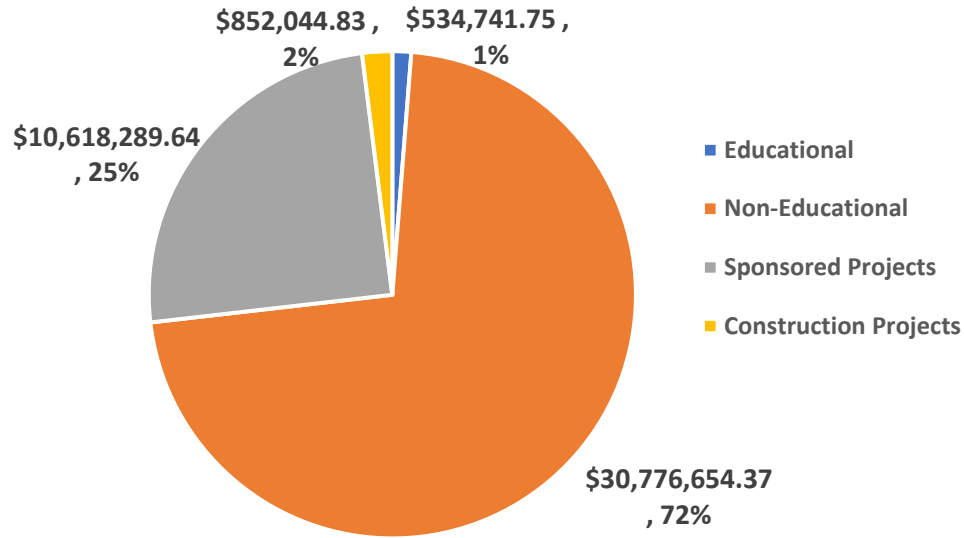
EXHIBIT O

166	KCR WELDING INC	\$ 252,945.00	NORMN	ELEC & COMP ENG ARRC GRANTS	HAILSTONE 2X1 MODULE FABRICATIO	EQUIPMENT	COMPETED	
167	VILLAGE TRAVEL	\$ 156,000.00	NORMN	K-20	BUS CHARTER SERVICES	TRAVEL	COMPETED	
168	NIRX MEDICAL TECHNOLOGIES LLC	\$ 94,795.00	NORMN	ECE SPONSORED	BUNDLE OF 4 X LASER SOURCE FIBERS	EQUIPMENT	SOLE SOURCE	
169	NIRX MEDICAL TECHNOLOGIES LLC	\$ 94,795.00	NORMN	ECE SPONSORED	BUNDLE OF 4 X LASER SOURCE FIBERS	EQUIPMENT	SOLE SOURCE	
170	MTS SYSTEMS CORPORATION	\$ 542,886.66	NORMN	CEES SPONSORED	MTS SERIES LINEAR HYDRAULIC ACTUA	EQUIPMENT	SOLE SOURCE	
171	CARL ALBERT STATE COLLEGE	\$ 111,590.00	NORMN	K-20	INTRAGENCY GEARUP GRANT PROGRN	MISCELLANEOUS FEES	CONTRACTED	
172	MURRAY STATE COLLEGE	\$ 91,620.00	NORMN	K-20	INTRAGENCY-GUMS-CONCURRENT ENR	MISCELLANEOUS FEES	CONTRACTED	
173	OKLAHOMA CITY COMMUNITY COLLEC	\$ 51,120.00	NORMN	K-20	INTRAGENCY OCCG-GUMS CONCURREN	MISCELLANEOUS FEES	CONTRACTED	
174	FISHER SCIENTIFIC COMPANY LLC	\$ 81,843.64	NORMN	CBME SPONSORED	NEW BURNSWICK S41 CO2 INCUBATO	EQUIPMENT	COMPETED	
175	FISHER SCIENTIFIC COMPANY LLC	\$ 50,103.35	NORMN	CBME SPONSORED	DEFROST FREEZER AND REFRIGERATOR	EQUIPMENT	COMPETED	
176	GLOBAL LIFE SCIENCES SOLUTIONS USA	\$ 149,237.35	NORMN	CBME SPONSORED	CYTIVA, AKTA AVANT 150	EQUIPMENT	SOLE SOURCE	
177	GLOBAL LIFE SCIENCES SOLUTIONS USA	\$ 137,518.00	NORMN	CBME SPONSORED	CYTIVA, WAVE 25 ROCKER, CELL CULTI	EQUIPMENT	SOLE SOURCE	
178	GLOBAL LIFE SCIENCES SOLUTIONS USA	\$ 149,237.35	NORMN	CBME SPONSORED	CYTIVA, AKTA AVANT 150	EQUIPMENT	SOLE SOURCE	
179	BECKMAN COULTER INC	\$ 72,611.00	NORMN	CBME SPONSORED	CELL SORTER FOR SM LAB-CYTOFLEX S	EQUIPMENT	COMPETED	
180	BECKMAN COULTER INC	\$ 72,611.00	NORMN	CBME SPONSORED	CELL SORTER FOR SM LAB-CYTOFLEX S	EQUIPMENT	COMPETED	
181	BEST COMPANIES INC	\$ 123,631.00	NORMN	CBME SPONSORED	PURCHASE OF WET LAB CASEWORK	EQUIPMENT	SOLE SOURCE	
182	FISHER SCIENTIFIC COMPANY LLC	\$ 71,878.15	NORMN	CBME SPONSORED	VANQUISH FLEX SYSTEM PROCUREMENT	EQUIPMENT	COMPETED	
183	WATERS TECHNOLOGIES CORPORATIO	\$ 229,205.75	OUHSC	ONCOLOGY SCIENCE 1	XEVO TQ.ABSOLUTE SYSTEM	LAB/MEDICAL/RESEARCH EQU	COMPETED	
184	FREESTYLE CREATIVE	\$ 74,000.00	OUHSC	ONIE PROJECT	2024 CAMPAIGN AGENCY-FREESTYLE C	NON PROFESSIONAL SERVICES	COMPETED	
185	AB SCIEX LLC	\$ 564,188.02	OUHSC	SPONSOR ACCOUNTS	ZENOTOX 7600 LC-MS/MS SYSTEM-INT	LAB/MEDICAL/RESEARCH EQU	SOLE SOURCE	
186	JAGGAER LLC	\$ 765,066.51	OUHSC	CAPITAL PROJECTS - HSC FUNDED	JAGGAER SUBSCRIPTION CUSTOMER S	IT PRODUCT/SUPPLY/SERVICE	COMPETED	
187	MODERNEPIC LLC	\$ 522,600.00	OUHSC	PEDS - DEV BEHAVIORAL PED 2	FORM ID - 115913	ADVERTISING	SOLE SOURCE	
188	GREENPHIRE INC	\$ 171,248.00	OUHSC	SCC TSET HPRC	GREENPHIRE - P3 - KENDZOR	SUBSCRIPTION	SOLE SOURCE	
189	SUBSURFACE GEOPHYSICAL SOLUTION	\$ 165,051.25	NORMN	GEOSCIENCES	EQUIPMENT FOR NSF PROJ. 20007811	EQUIPMENT	SOLE SOURCE	
190	NETVIA GROUP	\$ 121,200.00	NORMN	ELEC & COMP ENG ARRC GRANTS	NETVIA PCB FABRICATION SOLE SOUR	IT PRODUCT/SUPPLY/SERVICE	SOLE SOURCE	
191	ADVANCED ASSEMBLY LLC	\$ 82,040.00	NORMN	ELEC & COMP ENG ARRC GRANTS	PRINTED PCB BOARDS FOR OU RADAR	LAB/MEDICAL/RESEARCH SUP	RFP	
192	SARTORIUS CORPORATION	\$ 1,089,589.76	NORMN	CBME SPONSORED	AMBR 250 HIGH THROUGHPUT W/SIG	LAB/MEDICAL/RESEARCH EQU	MSA	
193	BLUE CEDAR ENERGY LLC	\$ 408,494.00	NORMN	PETROLEUM & GEOLOGICAL ENG	GEOHERMAL PROJECT WELL SERVICE	PROFESSIONAL SERVICES	MSA	
194	SARTORIUS STEDIM NORTH AMERICA I	\$ 1,089,589.76	NORMN	CBME SPONSORED	SARTORIUS AMBR® 250 HIGH THROUG	LAB/MEDICAL/RESEARCH EQU	MSA	
195	ARROW ELECTRONICS INC	\$ 67,600.00	NORMN	ELEC & COMP ENG ARRC GRANTS	DPAS RATED ORDER RFP19350-19	LAB/MEDICAL/RESEARCH EQU	FA8240-1/RFP	
196	AEGIS INDUSTRIAL SOFTWARE CORP	\$ 50,400.00	NORMN	ELEC & COMP ENG ARRC GRANTS	AEGIS SOFTWARE FOR MES/MOM	IT PRODUCT/SUPPLY/SERVICE	MSA	
197	AEGIS INDUSTRIAL SOFTWARE CORP	\$ 50,400.00	NORMN	ELEC & COMP ENG ARRC GRANTS	AEGIS SOFTWARE FOR MES/MOM MSA	IT PRODUCT/SUPPLY/SERVICE	MSA	
198	FUNDING SOURCES: CONSTRUCTION PROJECTS (BONDS, GIFTS)							
199	CADDELL & CO LLC	\$ 390,678.17	NORMN	FAC MGMT PLANNING	NEILSON HALL BASEMENT UPGRADE	CONSTRUCTION	COMPETED	
200	CONSTRUCTION UNLIMITED	\$ 254,669.00	NORMN	FAC MGMT PLANNING	OU GAYLORD HALL NEW ENTRY DOOR	CONSTRUCTION	COMPETED	
201	HENRY HOME INTERIORS	\$ 105,514.46	NORMN	ARCHITECTURAL & ENG PROJECTS	LOVE'S FIELD FURNITURE	FURNITURE	COMPETED	
202	KRUEGER INTERNATIONAL INC	\$ 101,183.20	NORMN	ARCHITECTURAL & ENG PROJECTS	FURNITURE FOR STUDENT SUCCESS CE	FURNITURE	COMPETED	

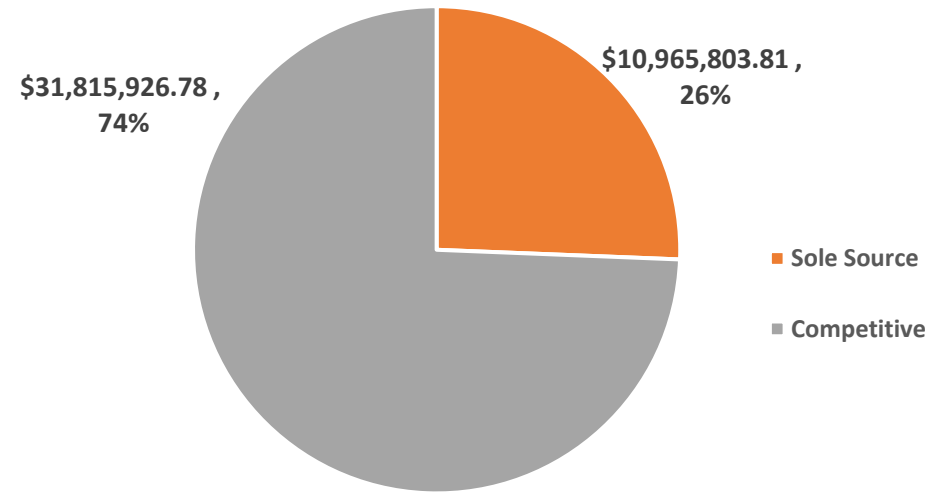
OU PURCHASES FOR THE 2ND QUARTER ENDED DECEMBER 31, 2023

EXHIBIT O

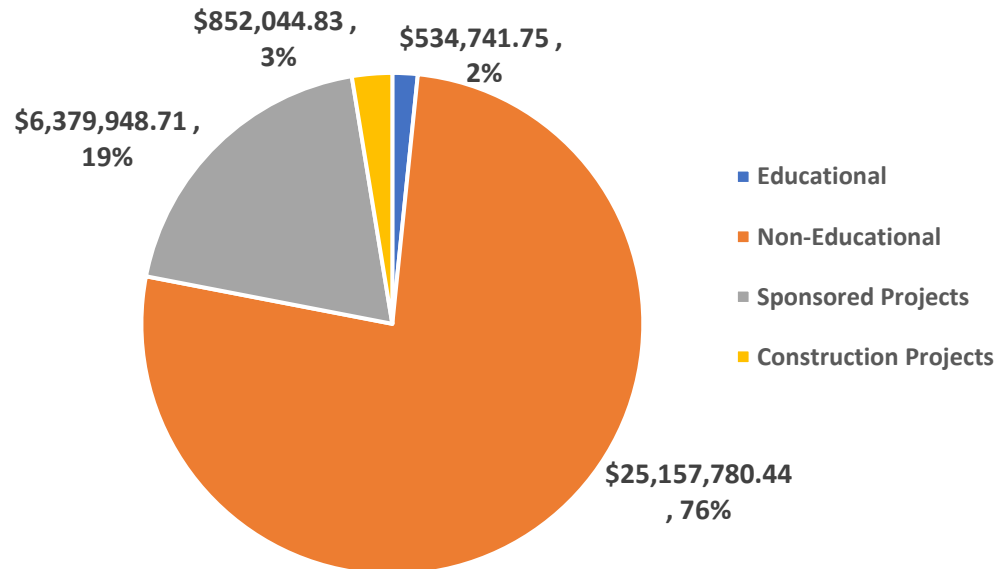
TOTAL PURCHASES



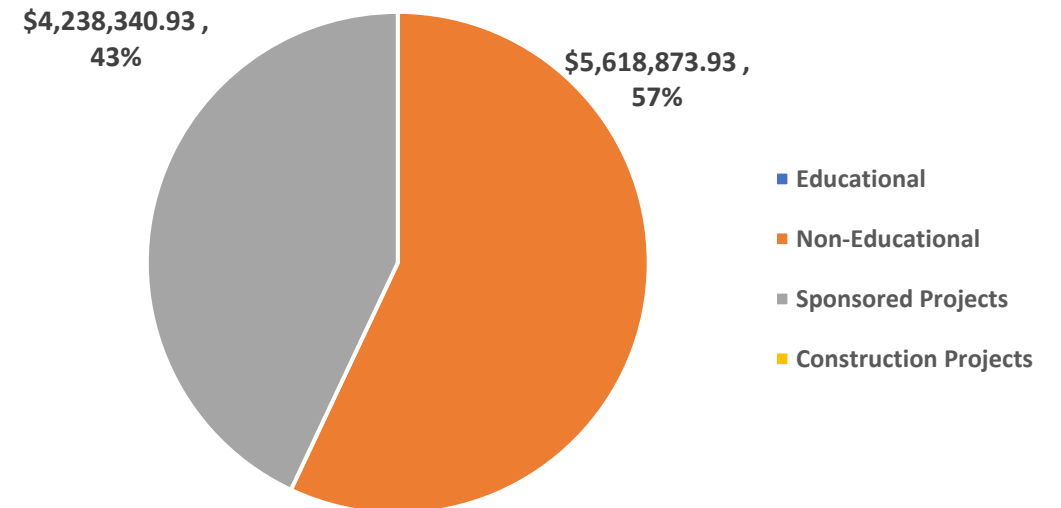
COMPETITIVE VS SOLE SOURCE



NORMAN PURCHASES



OU HSC PURCHASES



OU HEALTH SCIENCES CENTER
 STATEMENTS OF NET POSITION
 AS OF DECEMBER 31, 2023 AND 2022
 UNAUDITED - MANAGEMENT'S USE ONLY
 (\$ in thousands)

	12/31/2023	12/31/2022
Assets		
Unrestricted cash and cash equivalents	585,332	611,523
Restricted cash and cash equivalents	67,488	20,811
Accounts receivable, net	149,853	123,448
Lease receivable	29,730	27,880
Inventories and supplies, at cost	1,543	1,558
Loans to students, net	7,388	7,437
Deposits and prepaid expenses	2,079	5,392
Endowment investments	58,130	52,011
Investments	169,706	172,177
Investments in real estate	2,025	2,025
Net OPEB	1,409	4,188
Capital and lease assets, net	614,961	584,982
Total Assets	1,689,644	1,613,432
Deferred Outflows	85,924	84,174
Liabilities		
Accounts payable and accrued expenses	49,599	65,072
Unearned revenue	8,092	10,354
Accrued interest payable	3,332	2,180
Deposits held in custody for others	1,239	1,161
Lease liability	499	802
Subscription liability	5,327	-
Accrued compensated absences	32,609	31,125
Net pension liability	247,961	164,036
Total OPEB liability	112,667	114,286
Federal loans liability	7,447	7,585
Capital lease payable	10,788	12,277
Revenue bonds payable	160,424	117,300
Total Liabilities	639,984	526,178
Deferred Inflows	79,437	184,047
Net Position		
Net Position	1,056,147	987,381
Total Net Position	1,056,147	987,381

OU HEALTH SCIENCES CENTER
STATEMENT OF REVENUES, EXPENSES AND CHANGES IN NET POSITION
FOR THE SIX MONTHS ENDING DECEMBER 31, 2023
UNAUDITED - MANAGEMENT'S USE ONLY
(\$ in thousands)

Operating Revenues	12/31/2023	12/31/2022
Student tuition and fees (net of scholarship allowances)	36,893	36,089
Patient care	32,086	32,119
Pharmaceutical sales	28,215	38,060
Federal grants and contracts	57,550	53,999
State grants and contracts	51,356	40,978
Private grants and contracts	128,249	114,390
Sales and services of educational activities	1,032	959
Sales and services of auxiliary enterprises:		
Steam and Chill	5,894	5,522
Other	21,322	21,563
Other revenues	6,791	6,967
Total operating revenues	369,388	350,646
 Operating Expenses		
Compensation and benefits	292,414	276,968
Contractual services	48,756	47,189
Supplies and materials	41,923	45,488
Depreciation	15,617	13,935
Utilities	10,575	9,186
Communication	2,375	2,565
Scholarships	1,622	2,190
Other expense	18,055	13,425
Total operating expenses	431,337	410,946
Operating loss	(61,949)	(60,300)
 Nonoperating Revenues and (Expenses)		
State appropriations	42,319	39,554
State on-behalf payments	6,955	5,970
Private gifts	5,774	5,726
Interest on indebtedness	(3,361)	(2,205)
Investment income/loss	9,014	4,162
Endowment income	11,024	9,801
Net nonoperating revenues and (expenses)	71,725	63,008
Income before other revenues, (expenses), gains, or (losses)	9,776	2,708
 Other Revenue, Expenses, Gains or Losses		
State grants and contracts for capital projects	-	-
Federal grants and contracts	-	-
State appropriations for capital projects	2,365	2,545
Private gifts for capital projects	-	-
State school land funds	1,999	1,999
OUHPI Capitalization	-	-
Total other revenue, (expenses), gains, or (losses)	4,364	4,544
 Change in Net Position	14,140	7,252

UNIVERSITY OF OKLAHOMA - NORMAN CAMPUS
STATEMENTS OF NET POSITION
AS OF DECEMBER 31, 2023 AND 2022
UNAUDITED - MANAGEMENT USE ONLY
(\$ in thousands)

	<u>12/31/2023</u>	<u>12/31/2022</u>
Assets		
Unrestricted cash and cash equivalents	228,231	206,209
Restricted cash and cash equivalents	76,688	51,926
Accounts receivable, net	74,806	360,818
Leases receivable	38,137	28,458
Inventories and supplies, at cost	2,618	2,515
Loans to students, net	7,815	9,445
Deposits and prepaid expenses	12,264	13,294
Endowment investments	109,965	110,834
Investments	20,539	18,510
Investments in real estate	220	220
Net OPEB	1,553	4,521
Capital and lease assets, net	1,876,475	1,858,937
Total Assets	<u>2,449,311</u>	<u>2,665,687</u>
Deferred Outflows	<u>133,760</u>	<u>92,923</u>
Liabilities		
Accounts payable and accrued expenses	41,064	44,265
Accrued interest payable	17,785	18,208
Deposits held in custody for others	15,228	3,535
Accrued compensated absences	32,103	30,687
Retirement plan liability	7,187	5,819
Net pension liability	335,556	181,520
Total OPEB liability	153,201	158,171
Unearned revenue	28,793	265,126
Federal loans liability	5,825	7,504
Other financing arrangements	44,493	38,988
Leases payable	11,255	13,689
Subscriptions payable	13,015	-
Revenue bond payable	968,217	1,019,955
Total Liabilities	<u>1,673,722</u>	<u>1,787,467</u>
Deferred Inflows	<u>100,993</u>	<u>225,815</u>
Net Position		
Net Position	808,356	745,328
Total Net Position	<u>808,356</u>	<u>745,328</u>

UNIVERSITY OF OKLAHOMA - NORMAN CAMPUS
STATEMENTS OF REVENUES, EXPENSES, AND CHANGES IN NET POSITION
FOR THE SIX MONTHS ENDING DECEMBER 31, 2023 AND 2022
UNAUDITED - MANAGEMENT'S USE ONLY
(\$ in thousands)

	12/31/2023	12/31/2022
Operating Revenues		
Student tuition and fees (net of scholarship allowances)	195,386	188,831
Federal grants and contracts	80,736	80,033
State grants and contracts	38,900	42,792
Private grants and contracts	3,853	4,464
Sales and services of auxiliary enterprises:		
Housing and food service revenues	43,442	39,166
Net athletic revenues	59,305	68,941
Other	17,513	17,310
Other revenues	21,504	17,259
Total operating revenues	460,639	458,796
Operating Expenses		
Compensation and benefits	315,577	299,886
Contractual services	117,057	99,564
Supplies and materials	26,666	23,741
Depreciation and amortization	45,202	39,507
Utilities	22,412	23,616
Communication	3,595	4,773
Scholarships	16,764	15,138
Travel	14,068	13,539
Other expenses	34,181	44,932
Total operating expenses	595,522	564,696
Operating gain (loss)	(134,883)	(105,900)
Nonoperating Revenues and (Expenses)		
State appropriations	75,325	64,595
State appropriations for special projects	20,000	-
State on-behalf payments	8,611	4,915
Federal grants and contracts	16,959	14,429
State grants and contracts	9,253	6,968
Private gifts	13,485	4,484
Interest on indebtedness	(18,049)	(18,483)
Investment income/(loss)	3,121	1,258
Realized gain/(loss) on disposal of capital assets	(95)	(109)
Endowment income	7,188	11,365
Net nonoperating revenues and (expenses)	135,798	89,422
Income before other revenues, (expenses), gains, or (losses)	915	(16,478)
Other Revenue, Expenses, Gains or Losses		
Federal grants and contracts for capital projects	-	-
State appropriations for capital projects	818	-
Private gifts for capital assets	8,437	625
State school and land funds	4,511	4,261
On-behalf payments for OCIA capital leases	2,503	2,532
Additions to permanent endowments	-	(262)
Total other revenue, (expenses), gains, or (losses)	16,269	7,156
Change in Net Position	17,184	(9,322)