



University of Science and Arts of Oklahoma

FACULTY HANDBOOK

PREFACE

This Handbook includes University policies, administrative procedures, and other information of general interest to faculty. There is also reference to other sources for more detailed and specific information.

This edition of the University Handbook was prepared in 2011-12 by the Vice President for Academic Affairs with assistance from the Handbook Committee of the Faculty Association and approved by the USAO Board of Regents on June 12, 2012. Its content draws on the content contained in the USAO Faculty Handbook approved by the USAO Board of Regents on September 9, 2003. The content, however, also adapts the Handbook to changes mandated by the promulgation of the Mission Enhancement Plan in 2005 and subsequent policies adopted by the Oklahoma State Regents for Higher Education and laws of the State of Oklahoma adopted before publication of the present Handbook.

The University of Science and Arts of Oklahoma, in compliance with Titles VI and VII of the Civil Rights Act of 1964, as amended by the Equal Employment Opportunity Act of 1972 and the Pregnancy Discrimination Act of 1978, Title IX of the Education Amendments of 1972, Section 504 of the Rehabilitation Act of 1973, and other federal laws and regulations, does not discriminate on the basis of race, color, nationality, sex, gender, pay, age, religion, sexual orientation, disability, or status as a veteran in any of its policies or procedures. This includes, but is not limited to, admissions, employment, financial aid, and educational services.

I.

THE UNIVERSITY: HISTORY, PHILOSOPHY, AND PURPOSE

History

The history of the University of Science and Arts of Oklahoma (USAO) influences the current philosophy and purposes of the institution.

The first Oklahoma Legislature established the College in 1908 as the Industrial Institute and College for Girls. The first session at the College began in September, 1909, and the first degrees were conferred in 1915. The first building, which is now Troutt Hall, was completed in 1913.

A special act of the Legislature in 1916 officially changed the name to Oklahoma College for Women (OCW). OCW offered both college and high school programs until 1926 when the secondary division was discontinued. Through the years, Oklahoma College for Women (OCW) built an excellent reputation as a liberal arts college for women. Its graduates became leaders in many professions throughout the world.

On July 7, 1965, the Oklahoma State Regents for Higher Education (OSRHE) changed OCW to a coeducational college. OSRHE named the college Oklahoma College of Liberal Arts (OCLA). Reflecting the new name, OSRHE also assigned OCLA a unique mission within Oklahoma's system of higher education.

OSRHE promulgated new guidelines in Resolution 384, on July 7, 1965. Specifically, OSRHE directed the college to provide:

- A. An outstanding liberal arts program with strong undergraduate offerings in the traditional arts and sciences, including mathematics, physical and biological sciences, and social sciences as well as the fine and performing arts;
- B. An academic program particularly suited to the needs of academically and artistically able Oklahoma high school graduates;
- C. A trimester plan of educational programs which will permit students to complete a baccalaureate degree in three years or less.

OSRHE further charged that the "curriculum be geared to the needs of the more academically able high school graduates ... and that admission and retention standards be raised..." OSRHE also directed that "the institution be encouraged to experiment with new instructional approaches... ."

Pursuant to those requirements, OCLA implemented a team-taught general education curriculum required of all students. OCLA also established a trimester system to facilitate graduation within three years.

On May 4, 1974, the Governor signed a bill by which OCLA became the University of Science and Arts of Oklahoma (USAO). This name change became effective on August 16, 1974.

The change was in name only. The University of Science and Arts retained and continues to retain the specific mission that OSRHE assigned to OCLA.

USAO has supplemented the OSRHE's goals with the following articulation included in the college catalogue:

1. To provide an outstanding general education program for the State of Oklahoma with strong offerings in the liberal arts and sciences. The program will feature interdisciplinary team teaching, and will extend throughout the undergraduate experience.
2. To offer programs of study approved by the State Regents for Higher Education culminating in Bachelor of Arts, Bachelor of Science, and Bachelor of Fine Arts degrees.
3. To offer a limited number of career, professional, and specialized degree programs which would be especially strengthened when combined with an interdisciplinary, liberal arts foundation.
4. To provide a learning environment particularly suited to the needs of academically and artistically talented students while offering all students the advantages of an interdisciplinary liberal arts program.
5. To assemble a faculty whose interests, knowledge, and experiences transcend their specialized fields of graduate study, and who are dedicated to liberal arts education.
6. To operate on a flexible trimester plan which will permit some students to complete a baccalaureate degree in three years and allow all students to progress in their academic programs at a rate which they desire.
7. To conduct research and foster scholarly activities appropriate to the nature and needs of the University.
8. To provide cultural, educational, and professional opportunities and services which enrich the University and the State.

In 2005, pursuant to a directive by OSRHE, USAO embarked upon a Mission Enhancement Plan (MEP) to raise admissions standards, to expand marketing and development, to lower the faculty/student ratio, and to enhance residential student life. The underlying goal of the MEP is to advance the previous historic and specifically assigned mission more effectively. As of 2012, USAO has the highest admissions standards in the State of Oklahoma.

STUDENT OUTCOMES

Pursuant to the 1965 directive, the 1993 articulation, and OSRHE's goals expressed in the 2005 Mission Enhancement Plan, graduates of USAO are expected:

- To act creatively and passionately in both professional and personal endeavors.
- To write and speak clearly and persuasively.
- To think critically and rationally in analyzing information.
- To apply tools of the scientific method and mathematics appropriately.
- To understand the behavior and welfare of individuals within the larger society.

- To explore the richness of global and domestic political and economic systems, religious beliefs, philosophical inquiry, literary contributions, cultural histories, technological developments, and artistic expressions.
- To value free inquiry, interdisciplinary perspective, and the civil exchange of opinion.
- To commit to a lifetime of learning guided by a distinctive liberal arts education as a vehicle to interpret new experience and to mold the future.

The administration, faculty, and staff of USAO are committed to realizing these Student Outcomes.

II.

THE UNIVERSITY: ORGANIZATION AND ADMINISTRATION

Board of Regents Oklahoma System of Higher Education

The Oklahoma State Regents for Higher Education (OSRHE) serves as the Coordinating Board of Control for the colleges and universities and other constituent agencies comprising the Oklahoma State System of Higher Education. This board was created by constitutional amendment in 1941. It is composed of nine members appointed by the Governor with the advice and consent of the Senate. These Regents serve nine-year overlapping terms. The principal duties and responsibilities of the Regents as set out in the Constitution of the State of Oklahoma include, but are not limited to, determining the functions and courses of study at each institution, granting degrees and other academic awards for completing prescribed courses of study at institutions, and allocating funds appropriated by the Legislature to the various institutions according to needs and functions.

Board of Regents University of Science and Arts of Oklahoma

The Board of Regents of the University of Science and Arts of Oklahoma is the governing board for USAO. This board determines management policy, employs personnel, and governs the institution as USAO carries out its role as a member institution of the Oklahoma State System of Higher Education.

The Oklahoma State Legislature created the USAO Board of Regents. The Board consists of seven members appointed by the Governor with the advice and consent of the Senate. The members serve seven-year overlapping terms.

University Organization

Administrative Organization

President -- The President is the chief executive and academic officer of the University. The President is responsible to the Board of Regents for the administration of the institution pursuant to state laws, rules, and regulations of the State Regents for Higher Education, and policies formulated by the Board of Regents of the University of Science and Arts of Oklahoma. All authority delegated by the Regents is through the President. Within the University, all delegated authority stems from the Office of the President.

Vice President for Academic Affairs -- The Vice President for Academic Affairs is responsible for the academic programs, budgetary matters relating to the academic programs, academic policies and procedures, and personnel matters relating to the faculty. Academic programs are organized and administered through academic divisions, each headed by a Division Chair. Division Chairs are appointed by the Vice President for Academic Affairs in consultation with members of the division and the President of the University.

When the President is absent, the Vice President for Academic Affairs acts as the president.

Vice President for Business and Finance -- The Vice President for Business and Finance is responsible for advising the President and the Regents on all financial matters, for administration of the budget, and for the maintenance of all financial records. This individual is also responsible for maintaining the Physical Plant, for Personnel Services, for coordinating all employment procedures, and for the maintenance of records pertaining to employment, equal employment opportunities, compliance with the Civil Rights Act, and Auxiliary Services.

Vice President for Enrollment Management and Student Affairs -- The Vice President for Enrollment Management and Student Affairs is responsible for the welfare of all members of the University community and budgetary matters related to student life. This individual is the administrative supervisor for Enrollment Management, Admissions, Student Services, Health Services, Athletics, Security, and Financial Aid.

Vice President for Information Services and Technology -- The Vice President for Information Services and Technology coordinates all institutional research and records and maintains digital communication services.

The Vice President for University Advancement is responsible for public relations, alumni relations, and facilitating fund raising, grants and private gifts and philanthropic support to the University.

Each Administrative Division is composed of appropriate administrative offices and units to accomplish the goals of the University as authorized by the President pursuant to policies of the Board of Regents of the University of Science and Arts of Oklahoma. A current administrative flow chart is maintained in the office of the President.

The foregoing description of functions does not preclude reorganization of administrative offices should the President, with the support of the USAO Board of Regents, deem it necessary or desirable to further the mission of USAO.

Academic Organization

The Interdisciplinary Studies (IDS) of general education, or its articulated equivalent, is required of all graduates of the University of Science and Arts of Oklahoma. Because the IDS program is the cornerstone of the academic experience at USAO, all faculty of all Divisions will be available as part of their academic load to participate in teaching in the IDS program. The IDS program is administered by the Director of Interdisciplinary Studies in cooperation with the Vice President for Academic Affairs and the chairs of academic divisions.

Division Chairs include the Chair of the Division of Arts and Humanities, Chair of the Division of Social Sciences and Business, Chair of the Division of Education and Speech Language Pathology, and Chair of the Division of Science and Physical Education.

The chair of each division reports directly to the Vice President for Academic Affairs. The term of each Division Chair is at the discretion of the Vice President for Academic Affairs in consultation with the President of the University. The Vice President will annually solicit input from faculty members in the division and other Division Chairs regarding performance and execution of duties.

Duties of the Chair of each Division include cooperating with the Director of Interdisciplinary Studies to assure that IDS courses are properly staffed. Division Chairs are further responsible

for working cooperatively to assure that departmental courses are properly staffed and scheduled to allow students to graduate in timely fashion. Division Chairs must also keep the administration informed of concerns of division faculty, must evaluate faculty performance, and must consult with and assist division faculty members regarding performance. The Division Chair shall discuss tenure requirements with eligible faculty members and review annually the faculty member's preparation for tenure application.

Faculty of all divisions will be available as part of their academic load to participate in teaching in the IDS program, as well as within their own department.

The foregoing description of academic organization does not preclude reorganization of academic divisions should the President, with the support of the USAO Board of Regents, deem it necessary or desirable to further the mission of USAO.

Committees

All faculty members are responsible to be available to serve on three kinds of committees: University Committees, Standing Committees and Faculty Association Committees. University Committees and Standing Committees make recommendations to the President on policies and programs. Faculty Association Committees make recommendations as described under III. **Faculty Organization**, *infra.* (pp. 11-12).

University Committees

University Committees are generally composed of faculty, staff, students and administrators. Appointments are made by the President generally from nominations by the President, the Vice Presidents, Division Chairs, and Faculty, Staff and Student Associations. Although there can be exceptions, terms on University Committees are generally limited to two years.

University Committees:

Academic Activity Funds: This committee recommends expenditures of the Academic Activity Fund to support student participation in academic enrichment activities, such as student research, conference participation, or academic trips.

Academic Integrity: This committee hears cases of academic dishonesty referred to it by the Vice President for Academic Affairs. The committee determines the presence or absence of academic dishonesty, determines the severity of the dishonesty, and if appropriate, imposes sanctions beyond penalties assigned by the instructor within an individual course. (See Student Handbook for specific procedures.)

Academic Personnel: This committee, created by provisions of the Tenure Policy (see Academic Tenure, *infra.*, pp. 21-25), provides a hearing for tenure candidates when the recommendation to the Regents is to deny tenure. The purpose of the committee is to assure that approved procedures have been followed. The Committee also provides a forum as described under the University Exigency Policy (See pp. 32-33 *infra.*)

Academic Regulations: This committee reviews the academic records of students who fail to meet retention standards and makes recommendations concerning continued enrollment of such students.

Affirmative Action: This committee reviews the Affirmative Action Plan, makes recommendations to assure civil rights compliance and advises the Affirmative Action officer in compliance matters.

Appeals: This committee makes recommendations on appeals from administrative or committee decisions as requested by the President of the University. It does not replace other committees as provided in the Faculty, Staff, or Student Handbooks.

Athletics: This committee provides oversight of the intercollegiate athletic program and advises the President on athletic policy.

Commencement/Matriculation: This committee plans and prepares materials for commencement exercises and matriculation ceremonies.

Cultural and Recreation: This committee recommends expenditures of the Cultural and Recreation Activity Fund to provide recreational, cultural, and entertainment programming.

Discipline: This committee considers cases of student misbehavior which are referred by the Vice President for Enrollment Management and Student Affairs for recommendations for disposition of the cases.

Faculty-Staff Development: This committee plans, promotes, and executes training, educational, and enrichment programming for USAO faculty and staff.

Faculty Teaching and Scholarly Activity Awards: The committee solicits nominations, screens and selects candidates for Regents' Superior Teaching and Faculty Scholarly Activity Awards. Membership should represent all four departmental divisions and include the previous year's winners and new faculty not eligible for the awards. Division Chairs submit nominations for membership on this committee to the Vice President for Academic Affairs.

Faculty Grievance: This committee recommends solutions to grievances which cannot be resolved between parties concerned. The committee consists of six members, including three members of the Administration appointed by the President of the University and three members of the tenured faculty appointed by the officers of the Faculty Association. Each year, three new members are appointed to serve two-year terms. The President of the University and the officers of the Faculty Association alternate between selecting one or two members. (See Grievances, *infra.*, pp. 31)

Research: This committee reviews the areas of needed study and makes recommendations for a program of institutional research. It also serves as a review committee to make recommendations on applications for funding of research projects. This committee also recommends resolution of any dispute pertaining to patents or copyright issues.

Staff Grievance: This committee recommends solutions to staff grievances which cannot be resolved between the parties concerned.

Student Grievance: This committee recommends solutions to student grievances which cannot be resolved between the parties concerned. (See Grievance Procedures in the Student Handbook.)

Standing Committees

Standing Committees are generally appointed by the President in consultation with the Vice Presidents. In appointing, however, the President may seek advice from any constituency. Terms on Standing Committees are generally continuing at the discretion of the President.

Standing Committees:

Assessment: This committee assists in the process of designing and implementing the University's Assessment Program. It has continuing oversight responsibility for maintaining the program and for recommendations concerning program modification.

Emergency Management: This committee provides guidance and oversight for the University's emergency and disaster management programs, including planning, training and other preparedness issues.

Enrollment Management: This committee oversees and coordinates the recruitment, admission, and retention of students. Membership is composed of the Vice Presidents, Registrar, Director of Admissions, Director of Financial Aid, Dean of Students, Athletic Director, one Division Chair and others as needed.

Festival of Arts and Ideas: This committee plans and executes the Festival of Arts and Ideas.

Financial Aid Appeals: The Financial Aid Appeals Committee reviews all student financial aid academic appeals and applies the campus satisfactory academic progress policies. These policies incorporate required federal elements, campus policies and procedures and is based upon consistent and fair standards of practice. Membership is recommended to the President by the Financial Aid Office.

IDS: The IDS Committee reviews both the curriculum and the implementation of the IDS program. The committee is appointed by the Vice President for Academic Affairs in consultation with the President. Membership includes the Vice President for Academic Affairs, the Director of Interdisciplinary Studies, and others as appointed, including at least one member for each Division. Suggestions for curriculum changes by the IDS Committee are submitted to the Curriculum Committee of the Faculty Association for review.

PLC: This committee oversees the annual selection of students to receive the President's Leadership Council scholarships. Membership is five members, including representatives of Admissions, Financial Aid, Student Services, Students, and Faculty.

Staff Awards: Solicits nominations, screens, and selects candidates for Regents' Staff Achievement Awards.

Standards: This committee consists of the Vice Presidents of the University. This committee will oversee the setting of standards on matters of university-wide significance. It will accomplish this by commissioning ad hoc committees made up of faculty and staff members whose expertise and/or interest qualify them to participate in establishing standards in the areas under consideration.

Symposia: This committee is responsible for planning and execution of the Ray and Mary Giles Symposium in the fall and the Emerson-Wier Liberal Arts Symposium in the spring.

Teacher Education: This committee assists the Director of Teacher Education in developing policy for the administration of the Teacher Education Program. The committee acts upon applications for admission to Teacher Education and Student Teaching.

Faculty Association Committees: Faculty Association Committees are described under III. FACULTY ORGANIZATION, *infra.* pp. 11-12.

III.

FACULTY ORGANIZATION

Faculty Association

The Faculty Association of USAO is composed of all faculty members and professional librarians. (See Appendix C, **Faculty Association Constitution, University of Science and Arts of Oklahoma**. pp. 50-52 *infra*.)

Through established procedures, the Faculty Association recommends policies and procedures in all matters of an academic nature and in all matters affecting faculty welfare. Through established procedures, faculty members participate in decisions concerning curriculum, faculty appointments, reappointments, promotions, and tenure. Faculty are involved further in decision-making through membership on University Committees, Standing Committees, and Faculty Association Committees.

Officers of the Association are President, President-Elect/Treasurer, and Secretary. The officers are elected annually by the faculty members who hold full-time appointments.

Faculty Association Committees

The President of the Faculty Association, in consultation with the other Faculty Association officers, appoints the members of Faculty Association committees and the chair of each committee.

The committees for Curriculum, Resources, and Faculty Handbook should include at least one member from each academic division. The Promotion and Tenure committee has composition and functions described below.

To maintain continuity in fulfilling the responsibilities delegated to each committee, terms of appointment should be staggered.

The Curriculum Committee, the Resources Committee, and the Faculty Handbook Committee of the Faculty Association submit their recommendations to the Faculty Association for consideration. The Faculty Association submits its recommendations directly to the Vice President for Academic Affairs for consideration.

All committees conduct business complying with the laws of Oklahoma and with the policies of the Oklahoma State Regents for Higher Education, the Regents of the University of Science and Arts of Oklahoma, and the administration of the University of Science and Arts of Oklahoma in consultation with Faculty Association officers.

The functions and procedures of the committees are as follows:

Curriculum Development: To receive, review, evaluate, initiate, and recommend to the Faculty Association regarding the development of, or changes in, courses or curricula. Requirements: One member from each division and one member at large. All members of this committee should have completed at least three years as a full-time member of the faculty at USAO.

Faculty Handbook: To study, review, and keep current policies and procedures which pertain to faculty, and, in cooperation with the Vice President for Academic Affairs, edit the Faculty Handbook. Requirements: One member from each division and one member at large.

Resources: To formulate and protect criteria for improving the instructional environment. Its goals include, but are not limited to, increasing communication between faculty and administration; preparing supply, support, and facility changes to enhance teaching; and instigating changes in faculty benefits to encourage sound hiring and faculty retention. Members are the current Faculty Association president, immediate past president, president-elect and one representative from each academic division, two of whom will rotate off each year.

Faculty Promotion and Tenure: To review the candidate's tenure or promotion dossier, to evaluate the recommendations from the Division and the Division Chair, and to recommend directly to the Vice President for Academic Affairs. Requirements: All members of the committee must be tenured and in the rank of associate professor or above. Two members from each division should be appointed to serve. Ideally, these members should be from different disciplines within the division. Division chairs may not serve.

The foregoing descriptions do not preclude the Faculty Association from establishing any committee it wishes to advise the Faculty Association on any matter.

IV.

FACULTY POLICIES AND PROCEDURES

Faculty Selection

A brief outline of the procedures in the employment of full-time academic personnel is as follows:

- A. The Division Chair will submit a request to the Vice President for Academic Affairs to fill an existing vacancy or for the creation of a new position. The Vice President for Academic Affairs, in consultation with both the Division and the President of the University, will consider the request pursuant to the current needs and available resources of the University.
- B. If the request is approved, the Vice President for Academic Affairs will inform the Vice President for Business and Finance of the vacancy and pertinent information including starting time, academic and experience requirements, and a complete job description including all responsibilities.
- C. The Vice President for Business and Finance will circulate notices of vacancy.
- D. All applications for the advertised position will be submitted to the Vice President for Business and Finance. Applications will be maintained in the Personnel office as supervised by the Vice President for Business and Finance.
- E. The Vice President for Academic Affairs, in consultation with the appropriate Division Chair, will appoint a search committee to review applicants' dossiers and to conduct interviews. All persons involved in the interview process should recognize privacy issues and the confidentiality of the candidate's application.
- F. Candidates should interview with the search committee, and should have separate interviews with the Vice President for Academic Affairs, the Chair of the Division involved, and the Director of Interdisciplinary Studies. Candidates should also give a sample class presentation. Following the interviews with candidates, the chair of the search committee will recommend to the Vice President for Academic Affairs. After consulting with the Chair of the Division and the Director of Interdisciplinary Studies, the Vice President for Academic Affairs will recommend to the President.
- G. After an offer has been accepted by both the candidate and the President of the University, the Vice President for Academic Affairs will inform the Vice President for Business and Finance, giving the salary and starting date of the appointment. The Business and Finance office will then initiate action papers for the appointment. The appointment is subject to the approval of the Board of Regents at its next regular meeting.

Salaries

New Appointments

Salaries for new faculty, administrators, and staff will be set at the time of appointment by the Board of Regents upon the recommendation of the President. The President, in formulating a recommendation, will consult with the appropriate vice presidents. Factors to be considered include:

- A. Current level of salaries at USAO and other senior colleges in Oklahoma and surrounding states.
- B. Qualifications based upon education and experience.
- C. The position and rank to which the candidate is appointed.
- D. The demands of the current job market.

Reappointments

Salaries for faculty, administrators, and staff in continuing appointments will be set by the Board of Regents annually, usually in June, upon the recommendation of the President. The President, in formulating a recommendation, will have the advice of the Vice President for Academic Affairs and the Vice President for Business and Finance. Factors to be considered include:

- A. Availability of funds.
- B. Increases in the cost of living.
- C. A performance increment based upon overall performance and service to the University, as determined by evaluations of faculty, administrators, and staff, and recommendations of the appropriate vice president, chair, or supervisor.
- D. Salary adjustments to remove inequities.

Faculty Responsibilities and Ethics

What the faculty does or fails to do is crucial to the reputation and success of the University of Science and Arts of Oklahoma. Teaching excellence shall be the first priority for all faculty. Performance as a faculty member, however, requires more than excellence in teaching.

Individual faculty members have individual strengths and interests. The following performance and ethical criteria will be considered in decisions relating to employment, compensation, tenure, and/or promotion.

- A. Cover the content of courses as described in the University Catalogue with highly effective teaching performance.
- B. Soundly evaluate student performance. Evaluative techniques or procedures should be used sufficiently often that no student can complain of unjust evaluation.

- C. Keep abreast of developments in teaching fields and in the community, state, nation, and world so that instruction is current and integrated with life outside the classroom by relevant applications. Develop or assist in the development of new courses of instruction.
- D. Continue scholarly development through research and a variety of means of presentation.
- E. Promote the assigned mission of the college and assist with recruitment of students. Promote departmental and division goals in cooperation with Division Chairs.
- F. Cultivate a sympathetic interest in the scholastic welfare of students and encourage student scholarship and achievement.
- G. Maintain a schedule of office hours for student conferences, which is to be posted and filed with the Vice President for Academic Affairs.
- H. Be available as necessary five days a week during business hours to fulfill teaching, advising, and service responsibilities.
- I. Advise students effectively in their progress toward fulfilling requirements for graduation from USAO.
- J. Work through organizational lines, with the Division Chairs, the Vice President for Academic Affairs, and the University President in planning, coordinating, and carrying out the entire University program.
- K. Display a responsible level of collegiality that recognizes diverse academic opinion, respects colleagues, and supports an environment conducive to furthering the University's unique function.
- L. Recommend materials for purchase by the library and assist in the selection of texts.
- M. Maintain accurate student records.
- N. As fully as possible, attend faculty meetings, all convocations, all commencement exercises, fulfill committee assignments, and participate in University-wide functions.
- O. Be familiar with the philosophy, policies, regulations, procedures, and announcements of the University as set forth in the University Calendar, the University Catalogue and the Faculty Handbook.
- P. Submit reports and evaluations in a timely manner.
- Q. Perform such duties as may be assigned, recognizing that it is the desire of the University to equalize co-curricular assignments including service on committees.
- R. Cultivate a personal interest in the community served by the University and participate in community activities.

- S. Assist the President and Vice President for Academic Affairs in such other ways as requested.
- T. Encourage the free pursuit of learning by students.
- U. Demonstrate concern for the student as an individual, respecting the confidential nature of the relationship between teacher and student and avoiding any exploitation of students for private advantage.
- V. Abstain from exercising any influence on evaluation of student performance for any student with whom the faculty member has anything other than a professional relationship.
- W. Maintain the prerogative to seek revision within the institution; nevertheless, one must use established administrative channels within the institution before seeking outside aid.

Academic Advising

A student who declares a major when entering the University of Science and Arts of Oklahoma is assigned a faculty advisor from the student's major area.

A student who has not declared a major is assigned to a general academic advisor until the student has a declared major. All full-time faculty members are expected to assist with advising undeclared students. Division Chairs will strive to maintain an equitable distribution of advisees. A student should be encouraged to declare a major by the time 60 hours have been completed.

Advisors are expected to understand the mission and purpose of USAO. Advisors are expected to help students plan their academic programs, giving students ample opportunity for self-expression and independent thought while concurrently maintaining progress toward timely completion of degree requirements. Advisors should also assist students with problems and encourage students to participate in campus activities that support their needs and interests.

Faculty Evaluation

Faculty performance is subject to regular and systematic evaluation. The process of faculty evaluation should include self-evaluation, assessment by Division Chairs and the Vice President for Academic Affairs as well as peer evaluations and student evaluations. All full-time faculty, tenured and non-tenured, are subject to faculty evaluation.

The following materials will be used in the process of faculty evaluation. The steps of the evaluation process with completion dates are:

A. Annual Report

The Annual Report is designed to promote objectivity in the data-gathering portion of the evaluation process. Student evaluations for all courses taught should be attached to the Annual Report. All faculty members must submit a completed Annual Report to their respective Division Chair by January 31. The Report should provide specific and common information that is consistent with **Faculty Responsibilities and Ethics** (*supra*. pp. 14-16) and **Annual Report**. The report is

for the period of January 1 to December 31, rather than the academic year. The Report should address the requirements for promotion and tenure as discussed below.

First-year faculty, who typically begin their careers at USAO during the Fall Trimester, will submit the equivalent of an Annual Report that covers only the Fall Trimester. That truncated Annual Report will form the basis for justifying reappointment.

B. Annual Report, Administrative Review

The Division Chair shall schedule a conference with each faculty member in her or his Division to discuss the Annual Report before submitting the Chair's Administrative Review to the Vice President for Academic Affairs. If necessary, the Division Chair shall thoroughly discuss any concerns that might arise from a faculty member's performance related to **Faculty Responsibilities and Ethics** and provide a plan for improvement. The Division Chair shall provide a copy of the Chair's Administrative Review to the respective faculty member. Upon receipt, the faculty member shall have five calendar days to submit in writing a statement to the Division Chair addressing or rebutting any concerns raised by the Division Chair.

The Division Chair shall submit the Annual Report, the Division Chair's Administrative Review and any additional statement provided by the faculty member to the Vice President for Academic Affairs by February 15.

C. Annual Report, Evaluation of Division Chairs

Division Chairs are full-time members of the faculty with teaching responsibilities. By February 15, each Division Chair shall submit an Annual Report, attaching student evaluations, to the Vice President for Academic Affairs.

Also by February 15, faculty will be asked to submit evaluations of their respective Chairs to the Vice President for Academic Affairs. Faculty who teach in the IDS curriculum will be asked to submit evaluations of the Director of Interdisciplinary Studies to the VPAA.

The Vice President for Academic Affairs shall schedule a conference with each Division Chair or Director to discuss the Annual Report and faculty evaluations. The VPAA shall prepare a written Administrative Review of each Division Chair or Director. Each Chair or Director shall receive a copy of her or his Administrative Review.

Academic Rank and Promotion

Requirements and Criteria for Rank (revised 9/9/2014)

The following criteria apply for rank.

A. Professor (revised 2/8/2017)

1. Should have the earned doctorate or a recognized terminal degree in the appropriate academic discipline; a minimum of ten years successful teaching

- experience, including a minimum of three years at USAO; a minimum of six full years in rank of Associate Professor (application to full Professor, at the earliest, can be submitted in the fall of the sixth year of associate professorship).
2. Should have demonstrated excellent achievement in the three major performance areas of teaching and student advising, research or scholarly development (including creative artistic productions), and service.
 3. Should have an exemplary record regarding Faculty Responsibilities and Ethics.

B. Associate Professor

1. Should have the earned doctorate or a terminal degree in the appropriate academic division; a minimum of four years successful teaching experience, including a minimum of three years at USAO; a minimum of five full years in rank of Assistant Professor (application to Associate Professor should be submitted in the fall of the fifth year of assistant professorship).
2. Should have demonstrated excellent achievement in teaching and student advising and in one of the two performance areas of research/scholarly/creative development or service.
3. Should have an exemplary record regarding Faculty Responsibilities and Ethics.

C. Assistant Professor

1. Should have a terminal degree in the appropriate academic discipline. Normally, this degree will be the earned doctorate.
2. Should have demonstrated a potential for significant achievement in the areas of teaching and student advising, research or scholarly development, and service.
3. For reappointment, should have an exemplary record regarding Faculty Responsibilities and Ethics.

D. Instructor

Should have a Master's degree in the appropriate academic discipline and a demonstrated potential for significant achievement in the areas of teaching, research or scholarly development, and service.

E. Adjunct Faculty

Appointed part-time for a single trimester and for specified courses. Adjunct faculty must meet the approval of the Division Chair in whose Division the adjunct faculty member teaches. The usual minimal standard for employment of adjunct faculty is a Master's degree and teaching experience in the appropriate field. Exceptions are warranted in limited instances involving special expertise and experience.

F. Special Appointments

Individuals who are not full-time regular members of the faculty may be appointed under special arrangements for a specific term and must meet the criteria for appointment as instructor, assistant, associate, or full professor.

A person having less than the above minimum qualifications for rank may be hired to a rank or promoted in those rare cases where the attained level of expertise or scholarly and professional development clearly compensate for the deficiency in formal education.

Criteria for Promotion

Promotion depends upon excellence in all areas of faculty performance with emphasis on superior teaching, and fulfillment of criteria in A through C above. Also important are support for the mission of USAO including enhancement of the IDS program, competent advising, service to the University, continuous professional growth, scholarly productivity (*e.g.*, research, publication, original creative works, scholarly presentations), and adherence to **Faculty Responsibilities and Ethics**.

While the overall record of performance since initial appointment is important, evidence of continued professional growth and development as a teacher and scholar since the last promotion is a prerequisite to justify further advancement in rank.

The faculty member bears the burden of demonstrating that promotion is merited.

Procedures for Promotion (revised 6/9/2015)

After all requirements for promotion to the next higher rank have been fully met, the following procedures apply:

- A. A faculty member seeking promotion must submit a promotion dossier to the Division Chair by November 1 of the final academic year of required term in rank (or any subsequent year). Promotion dossier must include sections titled “I. General Summary” and “II. Supporting Evidence” (a third section titled “III. Other” may be included if necessary)¹. Supporting evidence should only be a compilation of Annual Reports. For first promotion, Annual Reports need to date back to initial hiring. For subsequent promotions, Annual Reports need to date back to the earliest report that was not included in the previous successful application for promotion². The earliest the promotion process can begin for an assistant professor applying for promotion to associate professor is during the fall of their fifth year as assistant professor, with promotion (if approved) to take effect the following fall. The earliest the promotion process can begin for an associate professor applying for promotion to full professor is during the fall of their sixth year as associate professor, with promotion (if approved) to take effect the following fall.

¹ See Appendix F for more information.

² In Most cases, if applicant is applying for Full Professorship, the dossier should include all annual reports of years at current rank, but also the final year of previous rank since that final year’s Annual Report was not included in the applicant’s application for promotion to Associate Professorship.

The Division Chair will make the dossier materials available to all full-time faculty members of the Division. Division members will meet no later than November 15 to discuss the application for promotion. In a secret written ballot, full-time Division members will vote either "yes" or "no" and give written reasons for their vote. A ballot given without reasons will not be counted. A Divisional faculty member who is currently serving on the Promotion and Tenure Committee will vote on the application in both the Division and the Promotion and Tenure Committee.

The faculty member whose request for promotion is being considered will not be present during a division discussion and vote.

The Division Chair will insure and maintain the confidentiality of every ballot and keep the original ballots in a secure place.

- B. The Division Chair will prepare a written report of the Division member's votes and their reasons. The Division Chair will also prepare his or her separate written recommendation supported by reasons. The Division Chair will add to the applicant's dossier these two additional items and forward the dossier to the Vice President for Academic Affairs by December 1.
- C. The Vice President for Academic Affairs will provide the dossier and all recommendations to the Faculty Promotion and Tenure Committee by December 5.
- D. The Promotion and Tenure Committee shall meet and vote on the promotion request. The chair of the committee will write a report of the vote counts and list the reasons for and against the applicant's promotion request. The chair will add this report to the candidate's promotion dossier and return it to the Vice President for Academic Affairs no later than January 15. A faculty member whose request for promotion is being considered cannot be present during the committee's discussion and vote.
- E. The Vice President for Academic Affairs shall prepare and submit her or his separate written recommendation, together with all other recommendations and the dossier, to the President by February 1.
- F. The President shall make a recommendation to the Board of Regents at the April meeting. The applicant will receive notification, in writing, of the Regents' decision within 15 days. If approved, promotion will become effective the following fall trimester.

An applicant not recommended for promotion at any stage of consideration before reaching the Board of Regents will be notified so by the Division Chair or the Vice President for Academic Affairs before the dossier and recommendations are forwarded to the next stage. The notice will be in writing and will include reasons for the decision.

An applicant may, at any stage in the procedures, submit a written request to the Division Chair or Vice President for Academic Affairs withdrawing the application from further consideration.

An applicant not recommended for promotion may submit a written request for a hearing to the Chair of the Academic Personnel Committee within 21 calendar days after receipt of notification of the negative recommendation. This committee will not review the substantive decision, but will review and determine only whether required procedures have been followed. The Committee will report its findings to the VPAA.

Except for a request for a hearing before the Academic Personnel Committee, time is not of the essence at any stage of the foregoing "Procedures for Promotion."

Academic Freedom and Responsibility

Academic freedom and responsibility are the liberty and obligation to study, investigate, present, interpret, and discuss facts and ideas concerning all branches and fields of learning. A University faculty member is an individual with citizens' rights who enjoys full constitutional freedom, as a member of a learned profession, and as a representative of an educational institution. Faculty members may speak or write on any subject of interest. Nevertheless, it should be made clear that when acting as private citizens that faculty speak, write, and act as individuals and not as representatives of the institution.

Academic freedom entails professional responsibilities. Faculty members of the University shall promote an atmosphere of free inquiry.

In the solution of certain difficult problems, all members of the academic community must note their responsibilities to society, to the institution, and to each other, and must recognize that, at times, the interests of each may vary and will have to be reconciled. The use of intimidation, harassment of any kind, or other disruptive acts which interfere with ordinary institutional activities or with the freedom of all members of the academic community to pursue their rightful goals, are the antithesis of academic freedom and responsibility.

Examples of conduct that does not enjoy the protection of academic freedom include, but are not limited to, the following: unreasonable departure from course descriptions; disruption of the orderly administration of USAO; publicly belittling colleagues; and breaches of **Faculty Responsibilities and Ethics**.

Academic Tenure

The "1940 Statement of Principles," which is widely cited as the basis for academic tenure, reads as follows:

The purpose of this statement is to promote public understanding and support of academic freedom and tenure and agreement upon procedures to assure them in colleges and universities. Institutions of higher education are conducted for the common good and not to further the interest of either the individual teacher or the institution as a whole. The common good depends upon the free search for truth and its free exposition.

Academic freedom is essential to these purposes and applies to both teaching and research. Freedom in research is fundamental to the advancement of truth. Academic freedom in its teaching aspect is fundamental for the protection of the rights of the teacher in teaching and of the student to freedom in learning. It carries with it duties correlative with rights.

Tenure is a means to certain ends; specifically: (1) Freedom of teaching and research and of extra-mural activities, and (2) A sufficient degree of economic security to make the profession attractive to men and women of ability. Freedom and economic security, hence tenure, are indispensable to the success of an institution in fulfilling its obligations to its students and to society.

According to these principles, the scope of academic freedom is limited to the search for and exposition of truth for the benefit of professors and students in teaching and research in serving the common good. These principles also protect against scrutiny of private life beyond the duties associated with faculty membership.

The University of Science and Arts of Oklahoma is committed to honoring the 1940 Statement of Principles. The scope of academic freedom as expressed in the 1940 Statement of Principles, however, does not include the right to violate Faculty Responsibilities and Ethics.

Furthermore, according to these principles, tenured status confers “a sufficient degree of economic security to make the profession attractive to men and women of ability.” Tenure is not guaranteed employment for life; tenure is not absolute security. **Tenured status is not leave to perform at a level inferior to the standard required to be granted tenure. Tenure is not a license to breach Faculty Responsibilities and Ethics or to ignore the demands of continued excellent performance.**

Tenured status provides men and women of ability sufficient economic security to allow them to pursue excellence without undue concern about continued employment.

Tenure may be revoked for cause pursuant to appropriate due process (*see* “Review of Tenured Faculty Members,” *infra.*, pp. 25-27 and “Abrogation of Tenure,” *infra.*, pp. 27-29). Tenure further does not protect against termination due to lack of need for services, or due to financial exigency (*see* “Exigency Policy,” *infra.*, pp. 32-33).

The guarantee of due process associated with tenured status assists USAO to recruit exceptionally qualified faculty on a national level.

With the foregoing in mind, tenure is an arrangement under which faculty appointments by the Board of Regents of the University of Science and Arts of Oklahoma are expected to continue until retirement.

Tenure shall not apply to administrative positions, but a tenured faculty member appointed to an administrative position shall retain tenure as a faculty member.

Criteria for Tenure

Only full-time members of the faculty appointed to a tenure-track position are eligible for consideration for tenure. A faculty member may withdraw from a tenure-track position at any time. Serving in a non-tenure-track position means only that reappointment is formally on a year-to-year basis.

For those appointed to a tenure-track position, the criteria for tenure are as follows:

- A. A terminal degree in the appropriate academic discipline and a minimum of 60 graduate hours. Normally, this degree will be the earned doctorate.
- B. A faculty member may apply for tenure during the faculty member's final probationary year as listed below. The probationary period applies to all tenure-track appointments and will not be changed except by mutual agreement of the faculty member and USAO through specific action of the Board of Regents.

Probationary Periods for Tenure Consideration:

The Division Chair shall discuss tenure requirements with eligible faculty members and review annually the faculty member's preparation for tenure application.

Rank at <u>Original</u> Appointment:	Probationary Period
Instructor	6 years (application begins in fall of 6 th year)
Assistant Professor	5 years (application begins in fall of 5 th year)
Associate Professor	4 years (application begins in fall of 4 th year)
Professor	3 years (application begins in fall of 3 rd year)

A probationary year consists of full-time service to the University during the fall and spring trimesters. Time spent on leave of absence does not apply to the probationary period, nor does time served in non-tenure track appointments.

- C. The faculty member bears the burden to provide evidence that his or her contribution is significant to the continuing mission and program of the University, and to provide evidence through a tenure dossier file of successful performance at the academic rank currently held and promise of continuing successful performance. The candidate's tenure dossier file must demonstrate substantial accomplishment in the three faculty function areas of teaching and advising; research, creative or scholarly development; and university and professional development and service, including positive contributions to the special assigned mission of USAO. (See pp. 2-4 *supra*.) The candidate should also have an exemplary record regarding **Faculty Responsibilities and Ethics** (*supra*. pp. 14-16). The primary criterion for tenure approval, however, is teaching excellence.

Procedures for Tenure (revised 6/9/2015; 9/9/2014)

- A. The faculty member seeking tenure must submit a tenure dossier folder to their Division Chair by November 1 of their final probationary year¹. Tenure dossier must include sections titled “I. General Summary” and “II. Supporting Evidence” (a third section titled “III. Other” may be included if necessary)². Supporting evidence should only be a compilation of Annual Reports. Annual Reports need to date back to initial hiring.

The Division Chair will make the dossier materials available to all full-time faculty members of the Division. Division members will meet no later than November 15 to discuss the application for tenure. In a secret written ballot, tenured Division members will vote either “yes” or “no” and give written reasons for their vote. A vote given without reasons will not be counted. A Divisional faculty member who is currently serving on the Promotion and Tenure Committee will vote on the application in both the Division and the Promotion and Tenure Committee. In the case where there are no eligible voters, the chair will collect comments but no official vote will take place.

The faculty member whose request for tenure is being considered cannot be present during a Division discussion and vote.

The Division Chair will insure and maintain the confidentiality of every ballot and keep the original ballots in a secure place.

- B. The Division Chair will prepare a written report of the tenured members’ votes and their reasons. The Division Chair will also prepare their separate written recommendation supported by reasons. The Division Chair will add to the applicant’s dossier these two additional items and forward it to the Vice President for Academic Affairs by December 1.
- C. The Vice President for Academic Affairs will provide the dossier and all recommendations to the Faculty Promotion and Tenure Committee by December 5.
- D. The Promotion and Tenure Committee shall meet and vote on the tenure application. The chair of the committee will write a report of the vote counts and list the reasons for and against the applicant’s tenure request. The chair will add this report to the applicant’s tenure dossier and return it to the Vice President for Academic Affairs no later than January 15. A faculty member whose application for tenure is being considered cannot be present during the committee’s discussion and vote.
- E. The Vice President for Academic Affairs shall prepare and submit their separate written recommendation, together with all other recommendations and the dossier, to the President by February 1.

¹ See Probationary Periods for Tenure Consideration.

² See Appendix F for more information.

- F. The President shall make a recommendation to the Board of Regents at the April meeting. The applicant will receive notification, in writing, of the Regents' decision within 15 days. If approved, tenure will become effective the following fall trimester.

An applicant not recommended for tenure at any stage of consideration will be so notified by the Division Chair or the Vice President for Academic Affairs before the dossier and recommendations are forwarded to the next stage. The notice will be in writing and will include reasons related to the criteria for tenure. **The applicant may add a written response to a negative recommendation before the recommendation is forwarded.**

An applicant may, at any stage in the procedure, submit a written request to the division chair or Vice President for Academic Affairs withdrawing a tenure application from further consideration. To preclude an official denial of tenure from attaching to the candidate's record, the written withdrawal must include a resignation effective at the close of the spring trimester of the final probationary year.

When the President's recommendation to be submitted to the Board of Regents is to deny tenure, the President shall so notify the candidate by March 1.

An applicant not recommended for tenure may submit a written request for a hearing to the Chair of the Academic Personnel Committee within 21 calendar days after receipt of notification of the negative recommendation. This committee will not review the substantive decision, but will review and determine only whether required procedures have been followed. The Committee will report its findings to the VPAA.

Except for a request for a hearing before the Academic Personnel Committee, time is not of the essence at any stage of the foregoing "Procedures for Tenure."

Regardless of whether the faculty member requests a hearing before the Academic Personnel Committee, the faculty member may request a hearing before the Board of Regents to be conducted at its April meeting. The request for that hearing must be submitted to the President by March 31.

If the Board of Regents denies tenure, the faculty member shall be notified by registered mail. A faculty member denied tenure shall not be employed by USAO beyond the close of the spring trimester of that final probationary year.

Except for a request for a hearing before the Academic Personnel Committee and/or the Board of Regents, time is not of the essence for any stage under "Procedures for Tenure."

Review of Tenured Faculty Members (revised 9/14/2016; 9/9/2014)

The University of Science and Arts of Oklahoma recognizes the need for a review of tenured faculty members to ensure continued professional development and accountability. Tenured faculty members must comply with all procedures associated with evaluation (*supra.*, pp. 16-17). Additionally, in the fall of every fifth academic year of tenure following the original granting of tenure by the Board of Regents, tenured faculty members will be formally reviewed for performance.

Procedure for Post-Tenure Review (revised 9/14/2016; 6/9/2015; 9/9/2014)

- A. By April 1 of the academic year preceding the year of the tenure review, the Vice President for Academic Affairs will notify the faculty member in writing of the upcoming tenure review.
- B. The faculty member will prepare a brief Post-Tenure Review (PTR) Summary. This Tenure Review Summary is to be supported by five Annual Reports over the previous five (5) years. The Tenure Review Summary will be presented to the Division Chair for Division consideration by October 1. In a secret written ballot, **tenured** Division members will vote either "yes" or "no" and give written reasons supporting that vote. A Divisional faculty member who is currently serving on the Promotion and Tenure Committee will vote on the application in both the Division and the Promotion and Tenure Committee. The ballots will be submitted to the Division Chair no later than October 15. A vote given without reasons will not be counted.

The faculty member whose post-tenure review is being considered will not be present during a division discussion and vote.

The Division Chair will insure and maintain the confidentiality of every ballot and keep the original ballots in a secure place.

- C. The Division Chair will prepare a written report of the Division faculty's vote and reasons given by Division Faculty. The Division Chair will also prepare her or his separate written recommendation supported by reasons. The Division Chair will forward the dossier, together with the written report of the Divisional faculty's recommendation and the Division Chair's separate written recommendation, with reasons, to the Vice President for Academic Affairs by November 1.
- D. The Tenure Review Summary, the Division recommendation, and the Division Chair's recommendation will be considered by the Vice President for Academic Affairs. The Vice President for Academic Affairs will prepare a separate written recommendation. If all recommendations are favorable, the Vice President will forward the Tenure Review Summary, the Division recommendation, the Division Chair's recommendation and the Vice President's recommendation to the President of the University by December 1.
- E. If a negative recommendation occurs at any point during the procedure, such a recommendation will be referred to the Faculty Promotion and Tenure Committee for review and consideration. The Faculty Promotion and Tenure Committee will meet and review the recommendations then report its findings and conclusions to the Vice President for Academic Affairs by January 15.
- F. The President of the University will forward the Tenure Review Summary, the President's recommendation, and all other recommendations to the Board of Regents.
- G. The Board of Regents will act upon the tenure review recommendation at the February meeting.
- H. If action by the Board of Regents is positive, the faculty member will be notified in writing of a satisfactory review.

- I. If action by the Board of Regents is negative, the faculty member will be informed in writing of the reasons and support for the action. This notice serves to initiate a second tenure review the following academic year that will follow the same procedures for the initial tenure review with a Tenure Review Summary presented to the Division Chair by October 1.
- J. If the second tenure review results in a negative action by the Board of Regents, the faculty member will be notified of the University's intention to terminate employment at the end of the Spring trimester in effect at the time of the February review by the Board of Regents.
- K. If a faculty member is promoted prior to the post-tenure review, the PTR schedule will re-set to the time of the promotion (e.g., the next PTR will be five (5) years after promotion).
- L. Under extenuating circumstances, the Vice President for Academic Affairs may require a Post-Tenure Review of a faculty member, even if that review is outside the normally scheduled review.

Procedure for Appeal

A faculty member who receives notice of intention to terminate employment as a result of the foregoing tenure review proceedings may request a hearing before the Board of Regents. The request must be in writing and be submitted to the President of the University within 21 calendar days after notification of the formal action of the Board of Regents adopting the intention to terminate employment of the faculty member at the end of the aforementioned Spring trimester. Failure to request a hearing is a waiver of the right to a hearing. The faculty member may be accompanied by an attorney at the hearing.

For submitting a request for a hearing before the Board of Regents, time is of the essence. For all other events in the procedure for tenure review, time is not of the essence.

Abrogation of Tenure or Termination of Current Appointment

Abrogation of tenure or termination of contract proceedings can occur at any time.

Abrogation of tenure is a process totally separate from the process described in Post-Tenure Review *supra.*, pp. 25-27. Tenure is not license to breach **Faculty Responsibilities and Ethics**. In addition to the formal tenure review process, tenure may be abrogated and appointments may be terminated at a time determined at the discretion of the President of the University for any of the following reasons:

- A. Incompetence, both intentional and unintentional, in normal instructional and other institutional responsibilities as defined in **Faculty Responsibilities and Ethics**. Refusal to teach or inability to teach content of courses as described in the University catalogue is one possible example of incompetence.
- B. Failure to meet normal instructional and other institutional responsibilities as defined in **Faculty Responsibilities and Ethics** (*supra.*, pp. 14-16). As faculty are required to be available five days a week during regular business hours, refusal to teach a course at a time during regular business hours as assigned by the Division Chair, or abuse of sick leave or failure to meet classes according to policies of the University and of the

Oklahoma State Regents for Higher Education, are possible causes for abrogation proceedings.

- C. Conviction of felony.
- D. Attempts to obstruct the legitimate operations of the institution as defined by state law and the Oklahoma State Regents for Higher Education.
- E. Lack of need for the instructor's services and/or financial exigencies. (With respect to financial exigencies, see **Faculty Financial Exigency Policy**, *infra.*, pp. 32-33).
- F. Moral turpitude. Definition of such turpitude should take into account local community standards, professional ethics, and the mores of general American culture. Behavior legitimated by law and by judicial decisions cannot be considered grounds for abrogation of tenure unless it directly results in the causes specified in items A, B, C, D, and E.

Procedure for Abrogation of Tenure or Termination of Current Appointment

Preliminary Proceedings Concerning the Fitness of a Faculty Member -- When reason arises to question the fitness of a faculty member who has tenure or whose term of appointment has not expired, the Division Chair and the Vice President for Academic Affairs shall discuss the matter with the individual in personal conference. If adjustments are required and are satisfactory, the matter may end at that point.

If a satisfactory adjustment does not result, a written statement detailing the grounds proposed for dismissal shall be presented to the faculty member by the President of the University. If the faculty member wishes to dispute the abrogation or the termination, the faculty member may call for a hearing before the Promotion and Tenure Committee. The request for hearing must be in writing to the President of the University within calendar 21 days of receipt of notice of proposed dismissal from the President of the University. The Promotion and Tenure Committee shall conduct the hearing. The Promotion and Tenure Committee shall give notice of the hearing and the faculty member shall be permitted to appear with counsel. Following the hearing, and after considering all matters before it, the Promotion and Tenure Committee shall report its findings to the President of the University expeditiously.

Suspension of the Faculty Member -- Suspension of the faculty member during the proceedings is justified if there is a threat of immediate harm to the individual in question, to other faculty, staff or personnel, to the academic profession, or to the students or if the quality of the performance of the institution is jeopardized by the individual's continuance. The decision to suspend is entrusted to the discretion of the President and is effective immediately. Suspension may be reviewed by the Promotion and Tenure Committee at the request of the faculty member. The committee must recommend expeditiously to the President that suspension be continued or discontinued. Unless legal considerations forbid, any suspension will be with pay.

Consideration by USAO Regents -- The President of the University shall transmit to the Board of Regents the full report, if any, of the Promotion and Tenure Committee. If the Board of Regents determines its intention to suspend, abrogate, and/or terminate employment of the faculty member, the Board shall give notice to the faculty member. The faculty member may, within 21 calendar days of receiving written notice of the Board's intention to suspend, abrogate, or terminate employment, request a hearing before the Board of Regents. The Board shall schedule a hearing and advise the faculty member of the hearing date.

Termination of employment cannot become effective until one of the following has occurred: (1) the faculty member fails to request a hearing before the Board of Regents within 21 days following the faculty member's receipt of the Board's notification of intent to suspend, abrogate and/or terminate employment (time is of the essence); (2) the faculty member waives such a hearing; or (3) after conducting the requested hearing, the Board of Regents suspends, abrogates, and/or terminates the employment of the faculty member.

Effect of Abrogation or Termination -- A decision by the Board of Regents to abrogate tenure or a decision to terminate an appointment of a non-tenured faculty member abolishes the employment relationship of the faculty member with USAO. In such case, the faculty member is obligated to vacate any University facilities used by the faculty member and to terminate all campus privileges and duties.

Non-Reappointment

- A. During the term of probationary service (*see p. 23 supra.*), a faculty member on a tenure track appointment shall be notified no later than March 1 before the expiration of the annual contract in the event the faculty member will not be reappointed to the faculty the following year.
- B. Notwithstanding the terms in paragraph A. under **Non-Reappointment**, a faculty member denied tenure at the April meeting of the USAO Board of Regents under **Procedures for Tenure**, *supra.*, will not be reappointed to a faculty position the following academic year.
- C. A full-time faculty member who is not on tenure track may be notified at any time of non-reappointment.

Termination of Appointment by the Faculty Member

A faculty member who elects to terminate appointment at the end of the current contract year is obligated to give notice in writing at the earliest possible opportunity, but not later than 15 days after receiving notification of the terms of appointment for the coming year.

Class Size and Faculty Load

The Division Chair and faculty of the division must insure that the proper courses are being offered. Small classes (fewer than 10 students) shall be reviewed each term and, if necessary for reasons of economy, canceled.

Although instructional load is the major component of faculty duties, evaluation of a faculty member includes assessment of performance under categories listed under **Faculty Responsibilities and Ethics**. (pp. 14-16 *supra.*)

The normal instructional load for the Fall and Spring trimesters is 12 credit hours. Eight credit hours is the normal load for the ten-week summer session. For lecture courses, each hour per week in class generates 1 credit hour of load.

State Regents' standards require 800 minutes of instruction per semester per credit hour awarded. Because the trimester system at USAO effectively comprises approximately 14 weeks of instruction, classes are scheduled to meet for a full 60-minute hour to satisfy State Regents' requirements. Faculty are responsible for productive use of the entire 60-minute hour.

Non-lecture instruction will be given teaching load credit as follows:

Music: Applied study receives $\frac{2}{3}$ hour credit for every clock hour of instruction.

Art: Studio art instruction receives $\frac{2}{3}$ hour credit for every contact hour of instruction.

Science: Laboratory instruction receives $\frac{2}{3}$ hour credit for every clock hour of instruction.

Education: Supervision of student teachers will be determined by multiplying the total number of student teachers being supervised by $\frac{2}{3}$.

The Chair of each division in consultation with the Vice President for Academic Affairs will apply the formula for each non-lecture instruction period in the division.

In courses in which there are multiple instructors assigned or any other special cases, the credit toward the teaching load will be worked out in a conference between the Vice President for Academic Affairs and the Division Chair.

Unless otherwise specified, faculty assigned to teaching teams in courses in the Interdisciplinary Studies Program, or in other special instances which have the approval of the Division Chair and the Vice President for Academic Affairs, shall be given full teaching load credit.

During the Independent Study term, the instructor will supervise no fewer than ten and no more than 25 students. Under certain conditions, exceptions to this rule may be made with the approval of the Division Chair and Vice President for Academic Affairs.

Requisite Faculty Qualifications for Course Instruction (4/11/2018)

Adequate expertise in a particular subject area is essential to informed and proper course instruction. Faculty members are considered to have expertise in any area in which they have at least 18 hours of graduate course credit. In areas outside their discipline, a faculty member will have to submit a form certifying that any one or more of the following requirements have been met:

- Scholarly or creative output in the subject area. Scholarly or creative output is defined by a peer-reviewed book, journal article, presentation, edited work, or piece which utilizes ideas, skills, or techniques covered in the subject area;
- Scholarly work as an editor in the subject area;
- A graduate or teaching assistantship in the subject area, in which a faculty member has worked under the supervision of another expert in the subject area;

- Certifications related to the subject area;
- Professional licensure or significant* documented professional experience related to the subject area;
- Significant* professional activity in a professional organization or learned society related to the subject area;
- Significant* professional development in the subject area;
- Honors or awards related to academic performance in the subject area.

Each of the above is to be reviewed by the Division Chair who oversees the course(s) of concern.

In an instance where the University or a faculty member requests course instruction where the faculty member does not meet the above criteria, the faculty member can request to be certified in the subject area on a provisional basis in a letter to the Division Chair who oversees the course(s) in question. (In the instance of IDS courses, these issues would be handled by the IDS Director.) After being provisionally certified, the faculty member will work under the supervision of a qualified expert in the subject area. This will include, at minimum, the faculty member submitting his/her syllabi for review to the expert; two visits from a qualified expert to review course instruction; and two meetings throughout the term to discuss the course. If the above requirements are met for two trimesters, the qualified expert will submit a letter to the Division Chair endorsing or not endorsing full certification to the faculty member. If granted certification, the faculty member will work as a qualified expert in that subject area. If not endorsed, the faculty member may appeal to the Division Chair or IDS Director, depending on who oversees the course(s).

Qualified expertise in team-taught courses will be determined based on the above criteria. In an instance where the University or a faculty member requests course instruction where the faculty member does not meet the above criteria in a team taught course, the faculty member will be teamed with a qualified expert in the subject area(s) covered by the course. Once a faculty member has worked with a qualified expert in the course in question for two terms, the qualified expert will submit a letter to the Division Chair or IDS Director (as determined by who oversees the course(s)) endorsing or not endorsing full certification to the faculty member. If granted certification, the faculty member will work as a qualified expert in that subject area. If not endorsed, the faculty member may appeal to the Division Chair or IDS Director, depending on who oversees the course(s).

* - In each of the above instances, “significant” experience or development shall be determined by a committee of peers that, ideally, includes at least one other member of an instructor’s field of instruction. This committee will be constituted by the Division Chair who oversees the course(s) in question.

Outside Employment

Employment by the University must be regarded as a full-time profession which demands the full interests and energies of the personnel employed. Thus, the institution is committed to the policy that all members of the teaching staff are on duty or are available for duty at all times during regular University workdays and periods of special activities: in the classroom, in the library, in their offices, in committee meetings, or involved in other University-related activities.

- A. Faculty members may accept outside remunerative employment only with the explicit approval of the President of the University.

- B. Outside employment includes, but is not limited to:
 - 1. Professional work of a continuing nature such as research, supervising, consulting, or advisory services, or other regular continuing employment for which compensation, regular or occasional, is received.
 - 2. Specific work of usually limited duration, for which compensation is received.
- C. Remuneration for services performed in any period during which the employee is not directly employed by the University is permitted. Lectures, speeches, or literary articles for which honoraria are received are not considered outside remunerative employment.

Prohibited Inducements (Fall 2016)

According to State law (2007), USAO faculty and staff are prohibited from selling instructional materials, including textbooks, that they received from publishers as sample copies, review copies, and instructor copies, from receiving any payment loan, subscription, advance, deposit of money, services, or anything present or promised as an inducement for requiring students to purchase specific textbooks or instructional materials.

Sample copies and instructor copies of textbooks and instructional materials may be accepted as long as they are not resold by faculty, staff, or the Bookstore.

Royalties or other compensation from the sale of the textbooks or instructional materials that include the writing or work of employees may be accepted.

Training in the use of instructional materials and technologies may be accepted.

An honorarium for academic peer review of instructional materials may be accepted. (See Appendix E, **Conflicts of Interest and Ethical Considerations for Regents and Employees of the University of Science and Arts of Oklahoma**. pp. 55 *infra*.)

Grievances

Grievances should go through appropriate channels. If administrative solutions fail, the faculty member may file a grievance with the Faculty Grievance Committee.

Committee Composition

The Faculty Grievance Committee consists of a total of six members, including three members of the Administration appointed by the President of the University and three members of the tenured faculty appointed by the officers of the Faculty Association. Each year, three new members are appointed to serve two-year terms. The President of the University and the officers of the Faculty Association alternate between selecting one or two members. In odd-numbered years, the President will appoint two members and the officers of the Faculty Association one. In even-numbered years, officers of the Faculty Association will appoint two members and the President one.

Procedures

The members of the committee shall select a chair from among themselves to serve for one school year. This position shall alternate between the administration and the faculty, based on

the last year in which the committee met and chose a chair. No person shall serve on the committee for more than two consecutive years.

Grievances which cannot be resolved between the parties concerned will be submitted in writing to the Grievance Committee. The committee will investigate the problem and, within 15 days, submit in writing the grievance and the committee's suggested solution to the President of the University and to each of the concerned parties.

The President of the University will inform the committee and the parties of the decision reached and the proposed solution. If the problem has not been resolved within ten working days of the submission to the President, the faculty member(s) with the grievance may request, and will receive, a personal hearing before the President and the committee. Parties may have legal counsel present.

If, after all campus channels have been exhausted, no satisfactory solution has been reached, the party or parties may request in writing a hearing before the Board of Regents of the University of Science and Arts of Oklahoma.

Legal Liabilities of Committee Members

Members of the Grievance Committee are absolved of any and all personal liability or responsibility for decisions made and actions taken by the committee.

Exigency Policy

The University of Science and Arts of Oklahoma is committed to providing stable employment for all members of the school's faculty, administration, and staff. Nevertheless, a set of conditions could conceivably arise regarding the University's financial status which would require financial adjustments. In harmony with the desire to continue employment for all employees and thereby maintain efficient operation of the University, before implementing any reduction in force of employees, the President of the University should explore the possibility of implementing savings from reduction of plant and equipment. Next, the President should consider minimal reduction of compensation for all employees possibly accompanied by appropriate furloughs, and use of reserves. If such measures cannot satisfy the shortfall, a reduction of employee workforce might be necessary.

If interruption of the service of faculty members is deemed necessary, the President should first consult with officers of the Faculty Association. Any such reduction would be recommended by the President of the University and, upon approval by the Board of Regents, would be implemented according to principles and procedures outlined below.

- A. All measures must pursue the goal of preserving the assigned mission and special purposes of the University of Science and Arts of Oklahoma.

- B. Should the President deem that reduction in the number of faculty is necessary, the President should exercise discretion to consider the order of reduction that would occur considering the following factors:
 - 1. the degree to which a program or faculty member is essential to the assigned mission and special purposes of the University of Science and Arts of Oklahoma;
 - 2. the degree to which a faculty member is essential to assisting students to complete a program;
 - 3. the degree to which a program or faculty member has a low level of credit hour production;
 - 4. the degree to which a program or faculty member is cost-effective for the University; and
 - 5. the degree to which effective operation of the University can be maintained.
- C. After the foregoing considerations, assuming as a prerequisite the willingness and ability of tenured full-time faculty and full-time faculty to assume all tasks performed by faculty who are either temporary or less than full-time, the order of termination for faculty shall be as follows:
 - 1. Adjunct faculty;
 - 2. Temporary faculty teaching on a full-time basis;
 - 3. Part-time faculty;
 - 4. Non-tenured full-time faculty;
 - 5. Tenured, full-time faculty.
- D. A non-tenured full-time faculty member or a tenured full-time faculty member receiving notice of pending termination may request within 21 days, and upon request in writing shall be accorded within 21 days, a hearing before the Academic Personnel Committee. The Academic Personnel Committee will consider whether the termination is consistent with the provisions of the Exigency Policy. Within 10 days the committee will report its findings and recommendations to the faculty member and the President. Failure to make a request in writing for a hearing to the Academic Personnel Committee within 21 days after receipt of notification of pending termination shall constitute a waiver by the faculty member on the right to a hearing before the Committee.
- E. If after considering the recommendation of the Academic Personnel Committee the President still intends to recommend termination, the President shall notify the faculty member. A non-tenured full-time faculty member or a tenured full-time faculty member receiving the President's notice of pending termination may request in writing within 21 days of receiving such notice a hearing before the USAO Board of Regents. Failure to request such a hearing shall constitute a waiver by the faculty member on the right to a hearing before the Board of Regents.
- F. If a tenured full-time faculty member is terminated solely under this exigency policy and, if the position is reactivated within two years, the terminated faculty member will be notified of the vacant position and encouraged to apply, assuming that the faculty member has kept a current forwarding address with the University.

- G. Should a faculty member terminated for financial exigency be re-employed, the faculty member shall retain:
1. former academic rank and tenure status;
 2. salary reflecting all adjustments pursuant to the financial exigency;
 3. all previously earned credit toward sabbatical eligibility.
- H. For terminated faculty, the University will follow federal and state mandates regarding eligibility of terminated employees for health insurance benefits, retirement benefits and all other benefits.

Leaves

Sabbatical Leave (revised 4/11/2018; 9/9/2014)

A sabbatical leave provides opportunity for professional growth and intellectual achievement through study, research, writing, and travel. A sabbatical leave will normally involve specialized scholarly activity. However, it may serve to broaden cultural perspectives if undertaken in a systematic manner and based on a plan with objectives and expected outcomes and clearly related to professional development in one's academic discipline or defined realm of responsibility within the University.

After six years of service to USAO, full-time faculty members are eligible to apply for sabbatical leave to pursue research and professional development. Leave may be granted at one-half salary for two consecutive trimesters or full salary for one-trimester sabbatical.

Requests for leave must be submitted for division review and recommendation by October 1 of the year before the academic year for which the sabbatical is requested. The request shall state the purpose of the sabbatical, its inclusive dates, the anticipated results, and its expected contribution to the University.

After recommending approval or disapproval, the Division Chair will submit the application to the Vice President for Academic Affairs by October 15, who shall refer it with recommendation to the President by November 1. If the President approves the request, the application will be presented to the Board of Regents at the November meeting. The President will formally notify the faculty member of the decision no later than December 1. Sabbatical leave approved by the Regents will be subject to the availability of funds. Sabbatical leave with compensation will be granted only during the academic contract year.

Faculty members receiving leave shall secure a bond for sabbatical leave and enter into a written agreement to return to the University and remain in its service for a period twice as long as the time for which sabbatical leave is granted, or to repay the University the amount of salary received while on sabbatical leave. If the faculty member returns to the University for only a part of the time required, the amount to be paid the University shall be proportionally reduced.

Sick Leave

Sick leave with pay accrues for full-time, regular faculty at the rate of 15 days per year. The maximum sick leave accumulation is 130 days. Once sick leave has been used, a faculty member is entitled to benefits under the Family Medical Leave Act. For details of eligibility consult the Office of Business and Finance.

Sick leave may be used for personal accidental injury, illness, or pregnancy, or accidental injury or illness of the employee's immediate family. "Immediate family" shall include spouse, mother, father, children, brother, sister, mother-in-law, father-in-law, grandparents or grandchildren of employee or spouse, or a person living in the employee's home who is part of the family.

All time lost from work because of personal illness or disability will be charged to earned sick leave. In the case of extended illness or disability, and after all sick leave has been used including Family Medical Leave Act benefits, the employee will be placed on "Leave Without Pay" until the employee recovers sufficiently to perform regular duties and returns to work. A release from the doctor must be filed in the Office of Business and Finance before returning from extended illness or disability.

The Division Chair will be notified when a faculty member is unable to continue working because of illness. The chair will arrange for classes to be staffed and will report arrangements to the Vice President for Academic Affairs.

Personal Leave

In extraordinary circumstances such as family emergencies, faculty may request personal leave. If such circumstance requires absence from class, the faculty member should contact the Division Chair to arrange for the class to be covered. If such absence requires missing any assigned duty, including, but not limited to, conducting class, keeping a scheduled office hour or appointment, or missing a committee meeting, the faculty member must file a notice of leave with the Division Chair.

Only the most extraordinary of circumstances can justify missing a class for personal leave whether the class is team-taught or singly taught.

Leave Without Pay

Upon recommendation of the President, a faculty member may be granted leave without pay by the Board of Regents.

Notice of all leaves should be on file with the Office of Business and Finance.

Student Grade Appeal Policy and Procedure

Policy

If a student believes that a course grade issued by the instructor was incorrect, such student will have the right to appeal.

Procedure

Step 1

- A. Within 30 calendar days following the issuance of the grade in question, the student shall communicate in writing with the instructor, requesting a review of the grade and indicating the reasons why the grade is believed to be incorrect.

- B. If the instructor fails to respond to the appeal within five working days of receiving the request or, if the response is not satisfactory to the student, the student may request in writing a review of the matter by the appropriate Division Chair. Within five working days of receiving the request, the Division Chair shall respond in writing. The response will inform the student of any action taken regarding the grade and the reasons for such action. If the student is not satisfied with the response by the division chair, the student may proceed to Step 2.

Step 2

The student may request in writing that the case be reviewed by the University Academic Regulations Committee. Such requests shall be received no later than 14 working days following the date the Division Chair communicates a decision in Step 1 above. Such requests shall be made to the Vice President for Academic Affairs and the Academic Regulations Committee shall hear the case within ten working days thereafter.

At such review the student shall be allowed to appear in person and present any evidence, including the testimony of others, which is relevant in determining if the grade in question was correct.

The instructor who issued the grade will be given the opportunity for further clarification of how the grade was determined.

The Academic Regulations Committee Chair will communicate the decision of the committee in writing within ten working days after the hearing is closed. Should the committee find in favor of the student, it may recommend to the instructor that the grade be changed.

Step 3

The student shall have the right to appeal the decision if:

- A. The Academic Regulations Committee rules against the student, or
- B. The Academic Regulations Committee recommends that the grade be changed, but the instructor chooses not to do so.

The student will have an additional five working days after notification of the decision of the Academic Regulations Committee to appeal the decision of the Academic Regulations Committee to the Vice President for Academic Affairs.

After consideration, the Vice President for Academic Affairs will render a decision in writing to the student. The decision of the Vice President for Academic Affairs may be to:

- A. Uphold the instructor's original grade, or
- B. Recommend to the instructor that the grade be changed.

Step 4

The student shall have the right to appeal the decision if:

- A. The Vice President for Academic Affairs rules against the student, or
- B. The Vice President for Academic Affairs recommends that the grade be changed, but the instructor chooses not to do so.

The student will have an additional five working days after notification of the decision to appeal it to the University President.

After receiving the reports of the Academic Regulations Committee and the Vice President for Academic Affairs, the President will render a decision in writing to the student and the instructor. The decision of the University President will be to:

- A. Uphold the original grade, or
- B. Instruct the Registrar to change the grade.

Academic Dishonesty Policy

The University's Academic Dishonesty Policy is explained in the USAO Student Handbook.

Patent Policy

Policy

The University recognizes that

- A. Patent policies serve to document the rights and equities of the originator, University, sponsor, and society. Such policies also provide an incentive to creative intellectual effort and research through royalty arrangements.
- B. Patent rights are protected by the Constitution and the laws of the United States to promote the progress of science and the arts by securing for limited times exclusive rights to inventions and to control the manufacture, use, and sale of individual inventions for a specific period of years.
- C. The progress of science and the arts may be benefited by use of the established patent system.
- D. Inventions eligible for patent, created pursuant to University objectives, should be made available to the public under conditions which promote their effective use.
- E. Incentive and recognition of faculty, staff, and students is provided by protecting the individual's rights to proceeds from inventions.

Definitions

Inventions: All discoveries, programs, processes, methods, products or combinations, whether already patented or eligible for patent at any time, under the Federal Patent Act.

University Personnel: Part-time and full-time members of the faculty, staff, all other agents and employees, and students of the University.

Regulations

- A. Patent rights created by the Constitution and the laws of the United States promote the progress of science and the arts by securing for limited times the exclusive rights for an individual's control of the manufacture, use, and sale of an invention for a period of 17 years. Patents are non-renewable after the initial 17-year period.
- B. All University personnel, in accordance with the University's policy of promoting creative and scholarly activities, are free to develop, create, and patent inventions.
- C. Inventions eligible for patent produced by University personnel, except as noted in paragraph "E" below, are the property of the creator of that invention. All rights afforded patent owners under the provisions of the Federal Patent Act reside with the creator unless he or she has assigned or licensed any of the enumerated rights. Decisions relative to registering these inventions with the United States Patent Office are left to the individual creator.
- D. Patent rights in works specifically commissioned by the University shall belong to the University. As the patent right owner, the University shall make decisions relative to registering commissioned works. Royalties for University-commissioned patented inventions may be shared by the University and the creator(s) of the invention. Disputes arising over royalty sharing shall be referred to the University Research Committee, which will in turn recommend to the President.
- E. All noncommissioned patentable inventions, developed with the significant use of funds, facilities or equipment administered by the University, shall be the property of the University. However, the University recognizes and reaffirms the traditional academic freedom of its faculty, staff, and students. In keeping with this philosophy, the University does not construe the provision of office or library facilities as constituting significant use of University facilities nor does it construe the payment of salary as constituting significant use of University funds, except for those situations where the funds, facilities, or equipment are paid specifically to support the development of such invention(s).
- F. Faculty, staff, and students shall own all rights to patented inventions prepared at their initiative, including all royalties from the use of such inventions except as noted in paragraph "E" above.
- G. Inventions produced under a specific contract or grant agreement between the University and a governmental or other agency, or any other organization, are subject to the terms of the contract or grant for purposes of patent rights. If patent rights ownership is not specified, such rights shall reside with the creator(s).

- H. Where University service units are involved with the production of a substantially completed patentable product, royalties shall be distributed between the patent owner and the University as provided in a written agreement prior to completion. However, when a written agreement has not been completed, the distribution of royalties will be evenly distributed between the creator and the University. If disputes arise, the matter shall be referred to the University Research Committee, which will in turn recommend to the President.
- I. The University Research Committee, as noted above, will investigate disputes and make recommendations to the President. The committee's responsibilities shall include, but not be limited to, disputes concerning ownership of University commissioned inventions; terms of commissions; distributions of royalties for University-produced works; and distribution of royalties for inventions that may have necessitated specific and unusual University expenses.

Copyright Policy

Policy

The University of Science and Arts of Oklahoma recognizes that copyrights are protected by the Constitution and the laws of the United States to promote the progress of science and the arts by securing for limited times the exclusive rights to an individual's work and writings. The basic objectives of the University policy concerning copyrights include the following:

- A. To maintain the University's academic policy of encouraging research and scholarship without regard to potential gain from royalties or other income.
- B. To make materials eligible for copyright, created pursuant to University objectives, available to the public under conditions which promote their effective use.
- C. To provide adequate incentive and recognition to faculty, staff, and students through proceeds derived from their work.

Definitions

As used in this policy, terms have the following meaning:

- A. Inventions -- All discoveries, programs, processes, methods, uses, products, or combinations, whether already copyrighted or eligible for copyright at any time, under the current Federal Patent Act.
- B. Written Materials -- All literary, dramatic, artistic, and musical materials or works and all other materials or works, including computer programs, published or unpublished, copyrighted or eligible for copyright, at any time under the Federal Copyright Act.
- C. Recorded Materials -- All audiotapes, videotapes, film, or other recordings or transcriptions, published or unpublished, whether or not copyrighted or eligible for copyright, at any time under the Federal Copyright Act.
- D. Materials -- Written and recorded materials.
- E. University Personnel -- Part-time and full-time members of the faculty, staff, and all other agents and employees, and students of the University.

Regulations

- A. Under the Copyright Revision Act of 1976 (17 U.S.C. 101 et seq.), original works are protected by copyright from the time they are fixed in a tangible medium of expression.
- B. All University Personnel, in accordance with the University's policy of promoting creative and scholarly activities, are free to develop, create, and publish works eligible for copyright.
- C. Copyrighted works produced by University personnel, except as noted in paragraph "E" below, are the property of the creator. All rights afforded copyright owners under Section 196 of the Act reside with the creator unless he or she has assigned or licensed any of the rights. Decisions relative to registering works with the copyright office are left to the individual creator.
- D. Works specifically commissioned by the University under Section 201 (b) of the Act belong to the University. As copyright owner, the University makes decisions relative to registering commissioned works. Royalties for University-commissioned copyrighted works may be shared by the University and the creator(s) of the work subject to the discretion of the University. Disputes arising over royalty sharing shall be referred to the University Research Committee, which will in turn recommend to the President.
- E. All noncommissioned copyrightable material, developed with the significant use of funds, facilities, or equipment, administered by the University, become the property of the University. However, the University recognizes and reaffirms the traditional academic freedom of its faculty, staff, and students to publish freely without restriction. In keeping with this philosophy, the University does not construe the provision of office or library facilities as constituting significant use of University facilities, nor does it construe the payment of salary as constituting significant use of University funds, except for those situations where the funds, facilities or equipment specifically support development of such material.
- F. Faculty, staff, and students shall own all rights to materials prepared at their initiative, including all royalties from publication or distribution of such materials, except as noted in paragraph "E" above.
- G. Works produced under a specific contract or grant agreement between the University and a governmental or other agency, or any other organization, are subject to the terms of the grant or contract for purposes of copyright. If copyright ownership is not specified, such rights shall reside with the creator(s).
- H. Where University service units are involved with the production of a substantially completed copyrightable product, royalties shall be distributed between the copyright owner and the University as provided in a written agreement, prior to completion. However, when a written agreement has not yet been completed, the distribution of royalties will be evenly divided between the creator and the University. If disputes arise, the matter shall be referred to the University Research Committee, which will in turn recommend to the President.

- I. The University Research Committee, as noted above, will investigate and make appropriate recommendations to the President. The committee's responsibilities shall include, but not be limited to, disputes concerning ownership of University-commissioned works; terms of commissions; distributions of royalties for University-produced works; and distribution of royalties for works that may have necessitated specific and unusual University expenses.

Additional Topics

Additional topics of importance and interest are discussed in the following publications:

Employment Handbook

- Benefits
- Drug and Alcohol Policy
- Tobacco-Free Campus Policy
- Open Records Policy
- University Property
- Postal Service
- Health Services

Faculty Services Handbook

- Bookstore Procedures
- Travel and Transportation Procedures
- Library Services
- Instructional Media
- Printing
- Purchasing
- Maintenance
- Student Assistants
- Faculty Recreation on Campus

APPENDIX A
CONSTITUTION
UNIVERSITY OF SCIENCE AND ARTS OF OKLAHOMA

Preamble

The purpose of the University of Science and Arts of Oklahoma, as described in Oklahoma State Regents for Higher Education Resolution Number 384, is to "provide an outstanding liberal arts program with strong undergraduate offerings in the traditional arts and sciences . . . particularly suited to the needs of the academically and artistically able Oklahoma high school graduate." In order to accomplish this general purpose, the university shall . . . "experiment with new instructional approaches such as accelerated programs, advanced placement, independent study, and other practices which enable students to progress in their college program at the rate and depth of which they are capable."

The goals of the university, as expressed in "A New Dimension in Higher Education," are to provide a broad general education that will give students an awareness and understanding of the factors and traditions that have molded their society so that their participation may be relevant; to give them in-depth training in a special field in order that they may perform productively in a vocation; to liberate them from prejudice, fear, ignorance, and self so that they may achieve a free life; to instill in them the desire and ability for independent inquiry and thought so that they can examine evidence and make decisions; to give them the opportunity to accept the important responsibility of self government and to train them in the ways of citizens in a free society. These goals the university accepts in order to provide our students with the education necessary to prepare them to participate in society as productive, thinking, responsible human beings.

Although the responsibility to govern the University of Science and Arts of Oklahoma rests, by law, with the Board of Regents, we adhere to the principle that participation of the constituent elements of the University is vital to the achievement of the goals and objectives of an innovative institution. We conceive those constituent elements of the university are vital to the achievement of the goals and objectives of an innovative institution. We conceive those constituent elements to be the Board of Regents, Administration, the Faculty Association, and the Student Government.

To create a viable system of participation in university governance, the Board of Regents establishes the following Articles of Government:

ARTICLE I

Board of Regents

Section 1: All responsibility to govern the University of Science and Arts of Oklahoma shall reside with the Board of Regents as provided in Article VI, Oklahoma Higher Education Code, as revised.

Section 2: The Board of Regents may delegate authority as specified in its bylaws, subsequent Articles of this Constitution, and actions taken at Board meetings which are recorded in the official minutes. Delegation of authority shall in no way absolve the Board of its responsibility.

ARTICLE II

Administration

Section 1: Executive authority delegated by the Board of Regents shall reside with the President at the University of Science and Arts of Oklahoma.

Section 2: The President shall be delegated sufficient authority for orderly and efficient operation of the total institution. Responsibilities of the President include, but are not necessarily limited to, academic matters, fiscal policy, physical plant, student life, systems operation and auxiliary enterprises and personnel.

Section 3: Duties of the President shall be:

- a. To recommend and to carry out policy decisions approved by the Board of Regents.
- b. To prepare and present to the Board of Regents recommendations for budget, employment of personnel, promotions, rank, tenure and salary schedule on the dates set forth in the Policies and Procedures of the Board of Regents.
- c. To sign all contracts which have been approved by the Board of Regents of the University of Science and Arts of Oklahoma.
- d. To receive policy recommendations from the Faculty Association and the Student Government, and to advise the Board of Regents on the feasibility of the recommendations.
- e. Define, supervise and coordinate duties of the administrative, instructional, clerical, and custodial employees of the University.
- f. Through consultation with the Vice President for Business and Finance and other administrative officers, direct the development of the annual budgetary requirements for University operations and maintain general supervision of all budgetary expenditures.
- g. Administer the use of buildings and grounds.
- h. Exercise general supervision of the preparation and publication of all media intended to interpret, define, and publicize the University.
- i. Recommend to the USAO Board of Regents policies concerning the probation and dismissal of students.
- j. Exercise general direction of relations between the University and the various high schools from which the University draws its students.
- k. Participate in regional, state, and national activities for the development of higher education.
- l. Upon recommendation of the faculty, confer all degrees and issue diplomas in evidence thereof.
- m. Maintain general oversight and control necessary for the efficient operation of all facets of the University community.

ARTICLE III

Faculty Association

Section 1: The Faculty Association shall have the right to make recommendations on all academic matters, faculty welfare policies, promotions in rank and selection of faculty, as provided in the Faculty Association Constitution and Handbook approved by the Board of Regents. All recommendations approved by the Faculty Association shall be submitted to the Administration at least two weeks prior to presentation to the Board of Regents.

Section 2: Original jurisdiction shall reside with the Faculty Association through the procedures established by the Faculty Handbook. Final appellate jurisdiction for the faculty shall reside with the Board of Regents.

ARTICLE IV

Student Association

Section 1: The Student Association shall have the right to make recommendations on all matters concerning student life and the welfare of students as provided in the Student Association Constitution and Handbook approved by the Board of Regents. All recommendations approved by the Student Senate shall be submitted to the Administration at least two weeks prior to presentation to the Board of Regents. Presentation may be made by the President or the Student Representative to the Board of Regents.

Section 2: Original jurisdiction shall reside with the Student Court through the procedures established by the Student Handbook. Final appellate jurisdiction for the students shall reside with the Administration and the Board of Regents.

ARTICLE V

Section 1: Amendments to this Constitution may be recommended by the Board of Regents, the Administration, the Faculty Association or the Student Association, and must be approved by the Board of Regents.

ARTICLE VI

Section 1: Upon approval of this Constitution by the Board of Regents, it, along with the bylaws of the Regents, the Constitutions of the Faculty Association and Student Association, and the Staff Handbook will constitute the Governing Code of the University of Science and Arts of Oklahoma.

APPENDIX B

BOARD OF REGENTS BYLAWS UNIVERSITY OF SCIENCE AND ARTS OF OKLAHOMA

FOREWORD

The contents of these suggestions shall in no way be taken as the basis of, or as instituting, any contractual rights between the Board of Regents of the University of Science and Arts of Oklahoma and any person or employee. It is intended as a summary of the present practices compiled for general convenience of employees of said Board. Of necessity, it cannot be complete in all detail and cannot through error or omission restrict the lawful powers of the Board of Regents of the University of Science and Arts of Oklahoma.

ARTICLE I

Educational Philosophy

- A. Higher education is a function of the State of Oklahoma and serving as the agent for the State in governing the University of Science and Arts of Oklahoma is the Board of Regents of the University of Science and Arts of Oklahoma.
- B. The powers and duties of the Board of Regents of the University of Science and Arts of Oklahoma are limited by and subject to authority expressly delegated by law under the Oklahoma Higher Education Code.
- C. The functions of the Board are executive, legislative, and judicial.
 1. The executive functions of the Board can be delegated by action of the Board to the President of the University and through the President to the faculty and staff.
 2. The legislative functions of the Board are retained by the Board and serve to establish all general policies affecting the University and to establish such rules and regulations as are required to bring these policies into effect.
 3. The judicial functions of the Board are retained by the Board and serve to establish all general policies affecting the University and to establish such rules and regulations as are required to bring these policies into effect.

ARTICLE II

Organization of the Board

- A. The Board of Regents of the University of Science and Arts of Oklahoma is composed of seven members, appointed by the Governor with the consent of the Senate, for seven-year staggered terms which expire on the 30th day of June.
- B. The officers of the Board shall consist of a Chairperson, Vice Chairperson, and Secretary.
- C. The Chairperson, Vice Chairperson, and Secretary shall be elected at the meeting in June each year and shall serve following their elections for the fiscal year and until their successors are elected and qualified.

- D. All vacancies in the offices of the Board shall be filled by election at the next succeeding meetings of the Board and shall be for the unexpired term.

ARTICLE III

Duties of the Officers

- A. The Chairperson of the Board shall preside at all meetings, but shall have full right of discussion and voting. The Chairperson shall
 - 1. Appoint all committees.
 - 2. Sign all contracts, bonds and legal papers approved by the Board.
- B. The Vice Chairperson shall perform the duties of the Chairperson in the latter's absence or temporary disability.
- C. The Secretary shall keep accurate records of the proceedings of the Board. The Secretary to the President of the University shall aid the Board Secretary by keeping minutes of the Board action and seeing that they are properly recorded for future reference.

ARTICLE IV

Meetings

- A. The Board shall hold regular monthly meetings on the third Tuesday of each month. The meeting date may be changed by majority vote of the Board.
- B. Special meetings may be called by the Chairperson when necessary, or by any four members of the Board by giving five days' notice.
- C. An executive session of the Board shall be held at any time by majority vote of the Board.
- D. Four members shall constitute a quorum to transact business.

ARTICLE V

Voting

- A. All motions and amendments to motions shall require a second before being voted upon.
- B. The vote of the Board shall be recorded on all motions.

ARTICLE VI

Amendments

Any provision of Articles I, II, III, IV, V, and IX, except paragraph A of Article II, may be amended or repealed at any regular meeting of the Board by a majority vote on record of all

members of the Board. The proposed amendment(s) and/or the proposed item(s) to be repealed shall be submitted in writing and recorded in the official minutes of this Board at least one month before the final vote is taken.

ARTICLE VII

Powers and Duties of the Board

- A. The Board of Regents of the University of Science and Arts of Oklahoma shall have supervision, management, and control of the University of Science and Arts of Oklahoma.
- B. Adopt rules and regulations it considers necessary to govern the University.
- C. Employ and fix the compensation and duties of all personnel as it deems necessary.
- D. May require employees to furnish corporate surety bonds in such amounts as may be deemed necessary by the Board, payable to the State of Oklahoma and conditioned upon a faithful accounting of all funds and property.
- E. Enter into contracts, purchase supplies, materials and equipment, and incur such other expenses as may be necessary to make any of its powers effective.
- F. Authorize University officials to act in its behalf in making of contracts, or in carrying out the powers conferred upon it.
- G. Receive and make disposition of money, grants, and property from Federal agencies.
- H. Accept gifts of real and personal property, money and other things, and use or dispose of the same in accordance with directions of donors or grantors thereof.
- I. Direct the disposition of all moneys appropriated by the Legislature or the Congress or derived from the sale of bonds or received from any other source by the University.
- J. Acquire and take title to real and personal property in its name on behalf of the University.
- K. Have supervision and charge of the construction of all buildings.
- L. Determine the need for and cause to be constructed dormitories and other buildings on a self-liquidating basis.
- M. Maintain an inventory of all property belonging to the University.
- N. Audit all accounts against the funds allocated to the University.
- O. Establish and maintain plans for tenure and retirement of employees of the University, and for payment of deferred compensation of each employee; and provide hospital and medical benefits, accident, health and life insurance, and for all or a part of the cost thereof for employees, with funds available for the operation of the institution. Amounts payable for the employee for such insurance or annuity contracts may, with the consent of the employee, be deducted from the employee's salary.

P. Do all things necessary or convenient to carry out the powers expressly granted by

Article VI of the Oklahoma Higher Education Code.

Q. Follow rules and regulations in the Governing Board Policy Manual until changed by Board action.

ARTICLE VIII

Actions of the Board

- A. Actions of the Board will be taken at all regular meetings in one or more of the following ways:
1. By resolution in all matters of long-range planning.
 2. By policy statement issued to guide the Board, the administration, the faculty, the staff, and the student body.
 3. By directive to the Administration which will confer specific powers of the Board upon the Administration but which will in no way absolve the Board of its responsibilities.
 4. By rules which will govern the conduct of the Board, the administration, the faculty, the staff, and the student body.
 5. By approval of suggestions, recommendations, or requests properly brought before the Board by the Administration, the faculty, the student body, by committees or other interested parties.
 6. By regulation which shall define the administrative procedures of the University.
 7. By authorization whereby certain persons shall be empowered to conduct the day-to-day business of the University in the name of the Board.
 8. By appointment whereby positions may be filled.
 9. By decision whereby the Board shall settle disputes.
 10. By negotiation terminating in contracts whereby the interests of the University can be served.
 11. By amendments whereby any and all actions taken by the Board may be reconsidered.
 12. By such other means as the Board shall from time to time devise.

ARTICLE IX

Committees

- A. Standing committees of the Board shall be
 - 1. Policies and Procedures
 - 2. Finance
 - 3. Academic and Administrative Affairs
 - 4. Housing and Physical Plant
 - 5. Public Relations
 - 6. Student Life

- B. Chairperson of various committees shall be members of the Board and shall be appointed by the Chairperson of the Board at the regular meeting in July to serve for a period of one year.

- C. Special committees shall be appointed as the Board may, from time to time, direct. Such committees shall cease to exist when discharged from further consideration of the subject assigned.

APPENDIX C

FACULTY ASSOCIATION CONSTITUTION UNIVERSITY OF SCIENCE AND ARTS OF OKLAHOMA

We, the faculty of the University of Science and Arts of Oklahoma, in order to provide for a faculty organization and to make it an effective, integral part of the University, do adopt this Constitution.

ARTICLE I

Name, Membership, Purpose

Section 1: Name of Organization. The organization is hereby designed as the "Faculty Association of the University of Science and Arts of Oklahoma."

Section 2: Membership.

- A. Voting Faculty Membership: The Faculty Association Membership shall consist of all full-time employees (not on leave) who hold at least half-time faculty appointments (two trimesters) including professional librarians.
- B. Non-Voting Membership: Full-time employees who hold less than half-time appointments and part-time teachers are not accorded voting status in the Faculty Association but may enjoy all other privileges accorded to the faculty by this Constitution.

Section 3: Purpose of Organization. The Faculty Association of the University of Science and Arts of Oklahoma shall:

- A. Participate actively in all matters of an academic nature including the establishment and evaluation of curricula, the methods of instruction, the standards for the admission of students, the standards for academic freedom and performance, the enrichment of scholarship, the encouragement of professional growth, the recommendation for all degrees to be granted by the University.
- B. Participate through established procedures in decisions concerning faculty appointments, reappointments, promotions and tenure and in matters affecting faculty welfare.
- C. Participate in writing a faculty handbook.
- D. Participate through committees appointed by the President, Vice President, and Secretary of the Faculty Association in the selection of Presidents, Vice Presidents, and other principal administrative officers and in the reorganization of administrative structure as requested by the administrative officers and/or the Board of Regents of the University of Science and Arts of Oklahoma.
- E. Participate through established committees in long-range plans for the University, the allocation of resources, student affairs, alumni relations, and other matters as the President of the University shall determine.

ARTICLE II

Organization of the Faculty Association

Section 1: Officers. The officers of the Faculty Association shall be President, President-Elect, and Secretary. The President and President-Elect shall be tenured faculty members; the Secretary may be non-tenured. All other members of the Faculty Association shall hereby be known as "members."

Section 2: Duties of Officers.

- A. President: The duties of the President shall be
 - 1. To preside at meetings of the Faculty Association.
 - 2. To lead the faculty in implementing whatever procedures are necessary in effecting the purposes outlined in Article I, Section 3.
 - 3. To serve as liaison between the Faculty Association and the Administration.
- B. President-Elect: Serve as Treasurer of the Association and in the absence of the President, the President-Elect shall assume the duties of the President. Should the President's term of office be terminated prematurely, the President-Elect shall assume the duties of the President for the remainder of the elected term and may also serve one's elected term as President the following year.
- C. Secretary: The Secretary shall serve as the recording and corresponding secretary for the Faculty Association.
- D. The President, President-Elect/Treasurer, and Secretary as a committee shall appoint the Faculty Association committees which are necessary to implement the functions of the Association, with the exception of the Faculty Tenure Committee.

ARTICLE III

Election of Officers

The officers of the Faculty Association shall be elected during the last regularly scheduled Faculty Association meeting in the spring trimester. The election shall be by secret ballot. Provisions shall be made in the bylaws for absentee balloting pertaining to election of officers. All newly elected officers shall assume their respective duties at the beginning of the ensuing fall trimester. All terms of office are for a period of one year beginning September 1. No officer shall be allowed to succeed him/herself. If a vacancy occurs in any office, a special election shall be held at the next regularly scheduled Faculty Association meeting.

ARTICLE IV

Procedures for Recall of Officers

An elected officer of the Faculty Association may be recalled by an election. The elected officials of the Faculty Association shall call the election upon the receipt of a petition signed by 1/3 of the voting members of the Faculty Association. Said election to determine recall shall be held within 20 days of submission of petition.

ARTICLE V

Meetings

The Faculty Association shall hold regular monthly meetings.

ARTICLE VI

Bylaws

Operational procedures governing the implementation of the Constitution shall be adopted by a 2/3 vote of the eligible members of the Faculty Association. Changes in the bylaws must be made the first or second trimester.

ARTICLE VII

Amendments

Amendments to this Constitution may be proposed by written petition submitted to the faculty as a whole at least one month in advance of any regularly scheduled meeting of the Faculty Association and shall become effective when approved by a 3/4 vote of all eligible voting members of the Faculty Association, the Vice President for Academic Affairs, the President of the University, and by the USAO Board of Regents. Amendments must be ratified the first or second trimester.

ARTICLE VIII

Ratification

This Constitution shall become effective when approved by a 3/4 vote by all the eligible voting members of the Faculty Association, the Vice President for Academic Affairs, the President of the University, and by the USAO Board of Regents.

APPENDIX D**FACULTY ASSOCIATION BYLAWS
UNIVERSITY OF SCIENCE AND ARTS OF OKLAHOMA****Election of Officers****A. Nomination and election of candidates for offices.**

The Faculty Association officers as a committee shall appoint a committee of three people who shall nominate a slate of two candidates for each office. These candidates shall be presented to the Association at the March meeting. Nominations from the floor shall be submitted in writing to the Chairperson of the Nominating Committee within ten days following the March meeting. The Association shall receive from the Nominating Committee the names of all candidates at least 15 days prior to the last Faculty Association meeting of the spring trimester. The election shall be held at the last Faculty Association meeting of the spring trimester. The election shall be by secret ballot. All ballots, including absentee ballots, are to be cast in the presence of the Association members, and the election results are to be made known at that meeting. The election shall be determined by a majority of the votes cast. The Chairman of the Nominating Committee shall be responsible for the preparation, collection, and tabulation of the ballots.

In the event a majority of votes is not cast for one candidate, a second casting of ballots will be held at this meeting between the two candidates receiving the greatest number of votes. If there is a tie for second place, the candidate in first place and those in second place will be included in the second election. Elections will be held until there is a majority cast for the officer to be elected. There will be no provisions for absentee ballots in the runoff balloting.

B. Absentee ballots.

Absentee ballots may be provided for these elections, but they must be requested in writing ten days prior to the election date. Each member who wishes to cast an absentee ballot will obtain this ballot in person from the President of the Association and will cast the ballot in the presence of said President no later than 5:00 p.m. of the day prior to the election. These absentee ballots will be held by the President of the Association and tabulated with the secret ballots cast at the general election. Absentee ballots will be provided only for the election of officers.

C. Election of officers to fill a vacancy other than President.

In the event a vacancy occurs, the Association officers as a committee will appoint a committee as in "A" above and the election shall be held at the next scheduled faculty meeting, if the 15-day requirement of notification can be met. If not, it shall be held at the next regularly scheduled following meeting or, if necessary, at a specially called meeting. The election will be to fill the unexpired term of office.

Membership in the Faculty Association**A. Voting and nonvoting membership will be determined by the contract issued by the University to a qualified candidate for membership; i.e., voting membership is awarded to those teaching faculty who are given either a full-time or a permanent**

part-time appointment. Nonvoting membership is awarded to those faculty whose contract states it is part-time or less than full-time temporary appointment.

- B. Membership in the USAO Faculty Association is a privilege, and it is assumed that each will attend every meeting.

Time of Meetings: Meetings of the Faculty Association shall be held the first Tuesday of each month at 11:10 a.m., unless otherwise specified by the faculty. The date and time shall be entered on the University Calendar.

Quorum

Business of the Association and voting on business shall take place only when a quorum is present. A quorum is a simple majority of the eligible voting members.

Committees

Standing committees shall be created by the Association as needed.

Minutes

Minutes shall be kept of all Faculty Association meetings. Copies shall be provided to each Association member, the President of the University, the Vice President for Academic Affairs, and a copy shall be retained in the files of the Association. This is the responsibility of the Secretary of the Association.

Legislative Proposals

All legislative proposals shall be introduced at one meeting and shall be voted on at the next regularly scheduled meeting.

APPENDIX E

CONFLICTS OF INTEREST AND ETHICAL CONSIDERATIONS FOR REGENTS AND EMPLOYEES OF THE UNIVERSITY OF SCIENCE AND ARTS OF OKLAHOMA

ARTICLE I

Statement of Purpose

From the beginning of its existence, the University of Science and Arts of Oklahoma has always embraced a basic policy that all officers and employees avoid any interest which conflicts with the interests of the citizens of the State and the duties and responsibilities involved with public service. The Oklahoma Supreme Court has cautioned that public servants should refrain from becoming involved in situations which could cause criticism for unethical conduct. It is in this spirit that the Regents of the University of Science and Arts of Oklahoma have prepared this policy for use by Regents and employees of the University of Science and Arts of Oklahoma.

ARTICLE II

General Considerations

In general, an officer or employee's interest conflicts with that of the University of Science and Arts of Oklahoma when an employee benefits directly or indirectly through a misuse of position.

In any case of doubt, an employee should confer with the institutional officer designated to consider whether a particular matter could involve a potential conflict of interest, before engaging in the activity in question.

ARTICLE III

Examples of Typical Conflicts of Interest

Seeking or Accepting Gifts

Under no circumstances may any Regent or employee of USAO seek or accept any compensation, gift, loan, entertainment, favor, or service given by a donor for the purpose of gaining influence in the discharge of the employee's official duties.

Any Regent or employee of USAO who receives such a gift or who is offered such a personal benefit, the acceptance of which is prohibited, should return the gift to the donor with a letter to the donor explaining the policy of USAO. A copy of such correspondence should be placed in the employee's personnel file for any needed future reference.

Prohibited Inducements (2016)

According to State law (2007), USAO faculty and staff are prohibited from selling instructional materials, including textbooks, that they received from publishers as sample copies, review copies, and instructor copies, from receiving any payment loan, subscription, advance, deposit of money, services, or anything present or promised as an inducement for requiring students to purchase specific textbooks or instructional materials.

Sample copies and instructor copies of textbooks and instructional materials may be accepted as long as they are not resold by faculty, staff, or the Bookstore.

Royalties or other compensation from the sale of the textbooks or instructional materials that include the writing or work of employees may be accepted.

Training in the use of instructional materials and technologies may be accepted.

An honorarium for academic peer review of instructional materials may be accepted.

It is improper for any Regent or employee of USAO to use an office or position in ways that are designed to obtain some special personal privilege or advantage for self or someone else, except in ways specifically addressed by law.

Disclosure of Confidential Information

No USAO employee or officer may give, release, or discuss confidential information obtained by the use of an official position to any person, group, or business association not entitled to that information. Similarly, it is improper for any public employee to offer to reveal, give, or discuss such confidential information to unauthorized persons or entities. No USAO employee may use any confidential information obtained by the use of an official position for personal gain.

Selling Goods and Services to State Institutions

In general, no officer or employee of USAO may sell, offer to sell, or cause to be sold any goods or services to any agency of the State or to any business entity licensed by or regulated by the State, except where such business relationships are preceded by public notice and competitive bidding, with the employee being declared the lowest and best bidder for the acquisition.

Outside Employment or Compensation

No Regent or employee of USAO may receive or ask for any outside employment or compensation that would impair the independence of judgment of the officer or employee in rendering services as a USAO employee, unless otherwise provided by law.

Use of State Titles/Political Activities

All citizens of this country have basic guaranteed rights as individuals to participate in civic and community affairs which may affect the welfare of society. At the same time, however, activities of this nature must not be represented or implied to represent that the individual is speaking on behalf of USAO.

Regents and employees of USAO are guaranteed the right as individuals to register and vote as they may choose, express political opinions, make voluntary political contributions, or to otherwise participate fully in public affairs, including running for public office, except as prohibited by law. In so doing, however, Regents and employees of USAO should act in a manner which does not materially compromise the neutrality, efficiency, or integrity of their official duties.

ARTICLE IV

Conclusion

No policy can answer all questions that might arise. Whenever in doubt as to the propriety of any given situation one should always err on the side of propriety. The keys are to disclose the potential or perceived conflict, seek advice or guidance from the appropriate officer before entering into the activity in question, and make a record of the matter for future reference and use.

It is hoped that officers and employees of USAO use this policy as a partial tool in determining whether a possible conflict of interest has arisen and, if so, the appropriate action to be taken in such a situation.

APPENDIX F

GUIDELINES FOR DEVELOPMENT OF TENURE, POST-TENURE REVIEW, AND PROMOTION DOSSIERS

Developed in 1975

Revised in 1977, 1983, 2003, 2012, and 2014

Refer to Section IV of the Faculty Handbook for university policies on tenure, post-tenure review, and promotion. All dossiers must include sections titled “I. General Summary” and “II. Supporting Evidence.” The supporting evidence should only be a compilation of Annual Reports. For tenure or first promotion, Annual Reports need to date back to initial hiring. For subsequent promotions, Annual Reports need to date back to the earliest report that was not included in the previous successful application for promotion or tenure. For post-tenure review, supporting evidence need only include the three most recently completed Annual Reports. A third section titled “III. Other” may be used if there are accomplishments, which do not logically fit in sections I and II as defined below. Section III may also be used to address or to rebut concerns that may have been expressed in Administrative Reviews of submitted Annual Reports.

I. General Summary

- A. The candidate’s own statement regarding accomplishments in teaching, scholarly, creative, and professional development, and service. The summary should be written in prose form, approximately 3-5 (double-spaced, typewritten) pages in length. The summary should refer to Supporting Evidence (Section II) in such a manner that the reviewers will find it easy to assimilate the information provided. The candidate should discuss areas of growth and development demonstrated by the Supporting Evidence.
- B. For tenure and promotion only, three letters of recommendation from peers and a letter from the chair¹ (if applicable) are required.

II. Supporting Evidence

- A. All Annual Reviews should discuss
 1. Teaching and Teaching Related Development
 2. Advising and Mentoring
 3. Scholarly, Creative, and Professional Development
 4. Service
 5. Interdisciplinary Studies

¹ The letter from the chair will be added to the dossier by the chair after division ballots have been cast.

III. Other (optional)

- A. Include relevant information not sufficiently covered in Sections I and II.
- B. Address or rebut concerns that may have been expressed in Administrative Reviews of submitted Annual Reports.