

Academic Policies and Procedures Manual

Rogers State University



April 2024

Updated August 2024

TABLE OF CONTENTS

1.0 INTRODUCTION	6
1.1 GOVERNANCE	7
1.2 ACCREDITATION	7
1.3 MISSION	7
1.3.1 MISSION STATEMENT AND COMMITMENTS	7
1.3.2 MISSION AND OUTCOMES FOR GENERAL EDUCATION.....	8
2.0 ORGANIZATION	9
2.1 UNIVERSITY ORGANIZATION	9
2.1.1 CAMPUS EXECUTIVE AND REPRESENTATIVE BODIES.....	9
2.2 ACADEMIC ORGANIZATION	10
2.2.1 VICE PRESIDENT FOR ACADEMIC AFFAIRS.....	10
2.2.2 COLLEGE AND DEPARTMENTAL ORGANIZATION	10
2.3 UNIVERSITY COMMITTEES	11
2.3.1 STANDING COMMITTEES	11
2.4 ACADEMIC COUNCIL	17
3.0 FACULTY PERSONNEL POLICIES	20
3.1 FACULTY MEMBERSHIP	20
3.1.1 REGULAR FACULTY	20
3.1.2 SUPPLEMENTAL FACULTY	21
3.1.3 SUMMER TEACHING FACULTY	22
3.1.4 FULL- AND PART-TIME APPOINTMENTS	22
3.2 PROFESSIONAL ACTIVITIES OF THE FACULTY	23
3.2.1 TEACHING	23
3.2.2 RESEARCH AND OTHER CREATIVE/SCHOLARLY ACTIVITY	23
3.2.3 PROFESSIONAL AND UNIVERSITY SERVICE AND COMMUNITY ENGAGEMENT	24
3.3 ACADEMIC RANK AND PROMOTION OF FACULTY	24
3.3.1 PRINCIPAL ACADEMIC RANKS OF THE UNIVERSITY	24
3.3.2 CONCEPTS AND UNDERSTANDINGS REGARDING RANK AND PROMOTION POLICIES....	26
3.3.3 CRITERIA FOR PROMOTION IN RANK	27
3.3.4 PROMOTION PROCESS	27
3.4 ACADEMIC TENURE	29
3.4.1 CONCEPTS AND UNDERSTANDINGS REGARDING TENURE POLICIES.....	29
3.4.2 PROBATIONARY PERIOD	30
3.4.3 CRITERIA FOR TENURE	31
3.4.4 TENURE PROCESS	31
3.4.5 POST-TENURE REVIEW	34

3.4.6 NON-TENURED REGULAR FACULTY NON-REAPPOINTMENT	34
3.5 MINOR AND SEVERE SANCTIONS POLICY.....	35
3.5.1 MINOR SANCTIONS	35
3.5.2 GROUNDS FOR ABROGATION OF TENURE, DISSMISSAL AND OTHER SEVERE SANCTIONS.....	35
3.5.3 NON-DISCIPLINARY TERMINATION(S).....	36
3.5.4 THE NON-DISCRIMINATION POLICY, THE SEXUAL MISCONDUCT, DISCRIMINATION, AND HARASSMENT POLICY, AND THE CONSENSUAL SEXUAL RELATIONSHIP POLICY.....	37
3.5.5 LEAVE OF ABSENCE PENDING A FORMAL HEARING OR APPEAL OF SEVERE SANCTIONS.....	37
3.5.6 PROCESS FOR TERMINATION OF EMPLOYMENT OR ABROGATION OF TENURE	38
3.5.7 PROCESS FOR OTHER SEVERE SANCTIONS.....	38
3.5.8 FACULTY APPELLATE COMMITTEE PROCEDURES FOR RECOMMENDATIONS REGARDING ABROGATION OF TENURE, TERMINATION OF EMPLOYMENT, AND APPEALS OF SEVERE SANCTIONS.....	39
3.5.9 SELECTION OF THE HEARING COMMITTEE.....	41
3.5.10 HEARING COMMITTEE REGULATIONS.....	42
3.5.11 DISPOSITION OF CHARGES.....	43
3.6 ACADEMIC FREEDOM & ACADEMIC RESPONSIBILITY	47
3.6.1 INSTITUTIONAL ACADEMIC FREEDOM	47
3.6.2 ACADEMIC FREEDOM	47
3.6.3 ACADEMIC RESPONSIBILITY	48
3.7 FACULTY ACCOUNTABILITY	55
3.8 FACULTY DEVELOPMENT AND EVALUATION POLICIES	55
3.8.1 INTRODUCTION	55
3.8.2 POST-TENURE REVIEW PROCESS	56
3.8.3 NON-TENURED REGULAR FACULTY ANNUAL EVALUATION	57
3.8.4 GUIDELINES.....	57
3.8.5 FACULTY EVALUATION SYSTEM	58
3.8.6 EVALUATION PROCEDURES.....	58
3.8.7 EVALUATION GUIDELINES	59
3.8.8 FACULTY DEVELOPMENT AND EVALUATION PROCESS	61
3.8.9 FACULTY EVALUATION GUIDE.....	61
3.9 FACULTY LOAD.....	62
3.9.1 TEACHING	62
3.9.2 RESEARCH AND CREATIVE/SCHOLARLY ACTIVITY	63
3.9.3 PROFESSIONAL AND UNIVERSITY SERVICE & COMMUNITY ENGAGEMENT	63
3.10 DEPARTMENT HEAD LOAD.....	64
3.10.1 TEACHING LOAD	64
3.10.2 ADMINISTRATIVE DUTIES	64
3.11 DEPARTMENT HEAD SELECTION AND RETENTION	66

3.11.1 SELECTION PROCESS.....	66
3.11.2 TERMS OF APPOINTMENT.....	67
3.11.3 EVALUATION OF THE DEPARTMENT HEAD.....	68
3.11.4 REPLACEMENT OF DEPARTMENT HEADS FOR CAUSE.....	68
3.12 POLICIES AFFECTING FACULTY AND DEPARTMENT HEAD LOAD.....	68
3.12.1 CALCULATION OF TEACHING LOAD.....	68
3.12.2 OFFICE HOURS.....	69
3.12.3 ABSENCES FROM DUTY.....	69
3.13 SABBATICAL LEAVE POLICY.....	69
3.13.1 CONDITIONS OF AWARD.....	70
3.13.2 ELIGIBILITY.....	71
3.13.3 APPLICATION.....	71
3.14 EMERITUS STATUS.....	72
4.0 ACADEMIC POLICIES.....	73
4.1 GRADING POLICY.....	73
4.1.1 GRADES USED IN THE CALCULATION OF GRADE POINT AVERAGE.....	73
4.1.2 OTHER SYMBOLS.....	73
4.1.3 MILITARY LEAVE.....	74
4.2 CODE OF ACADEMIC CONDUCT.....	75
4.2.1 GENERAL PROVISIONS.....	75
4.2.2 REPORTING ACADEMIC MISCONDUCT.....	77
4.2.3 NOTICE TO THE STUDENT.....	80
4.2.4 RESPONSE BY STUDENT.....	81
4.2.5 ACADEMIC MISCONDUCT HEARINGS.....	82
4.2.6 GRADE PENALTIES.....	86
4.2.7 DISCIPLINARY SANCTIONS.....	87
4.2.8 POST-SANCTION PROCEDURES.....	89
4.3 FINAL GRADE APPEAL PROCESS.....	90
4.4 STUDENT ABSENCES FOR UNIVERSITY SPONSORED EVENTS.....	93
APPENDIX A: FACULTY DEVELOPMENT AND EVALUATION CRITERIA.....	94
APPENDIX B: CATALOG OF FACULTY DEVELOPMENT AND EVALUATION CRITERIA.....	99
APPENDIX C: FACULTY DEVELOPMENT PLAN.....	102
APPENDIX D: FACULTY DEVELOPMENT PLAN REPORT.....	103
APPENDIX E: FACULTY DEVELOPMENT AND EVALUATION SUMMARY.....	104
APPENDIX F: FACULTY QUALIFICATIONS.....	106
APPENDIX G: RSU INTELLECTUAL PROPERTY POLICY.....	108
1) PREAMBLE.....	108

2) PATENTS 108
3) TRADEMARKS..... 113
4) COPYRIGHT 114

1.0 INTRODUCTION

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

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

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

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

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

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

The University, in compliance with all applicable federal and state laws and regulations, does not discriminate on the basis of race, color, national origin, sex, sexual orientation, gender identity, gender expression, age, religion, political beliefs, disability, or status as a veteran in any of its policies, practices, or procedures. This includes, but is not limited to, admissions, employment, financial aid, and education services.

1.1 GOVERNANCE

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

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

1.2 ACCREDITATION

Rogers State University is accredited by the Higher Learning Commission.

1.3 MISSION

1.3.1 Mission Statement and Commitments

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

Our commitments, which support the RSU mission, are to:

1. Provide quality associate, baccalaureate, and graduate degree opportunities and educational experiences which foster student excellence in oral and written communications, scientific reasoning, and critical and creative thinking.
2. Promote an atmosphere of academic and intellectual freedom and respect for diverse expression in an environment of physical safety that is supportive of teaching and learning.
3. Provide a general liberal arts education that supports specialized academic programs and prepares students for lifelong learning and service in a diverse society.
4. Provide students with a diverse, innovative faculty dedicated to excellence in teaching, scholarly pursuits, and continuous improvement of programs.
5. Provide University-wide student services, activities, and resources that complement academic programs.
6. Support and strengthen student, faculty, and administrative structures that

- promote shared governance of the institution.
7. Assist RSU students, including transfer students, from their first year through graduation in their professional and personal goals.
 8. Promote the success of all learners, who feel more connected at the university and supported by faculty and staff, resulting in greater satisfaction with their overall college experience.

1.3.2 Mission and Outcomes for General Education

Mission of General Education:

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

General Education Outcomes:

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

1. Think critically and creatively.
2. Acquire, analyze, and evaluate knowledge of human cultures and the physical and natural world.
3. Use written, oral, and visual communication effectively.
4. Develop an individual perspective on the human experience and demonstrate an understanding of diverse perspectives and values.
5. Demonstrate civic knowledge and engagement, ethical reasoning, and skills for lifelong learning.

2.0 ORGANIZATION

2.1 UNIVERSITY ORGANIZATION

Within the University community are three primary stakeholders which cooperatively govern day-to-day affairs of the University and in both individual and representative capacities act as recommending and advisory bodies to the Board of Regents. Those three stakeholders include the University Administration, Faculty, and Student Body.

- a) **The University Administration** is headed by the **University President**, who is the chief executive officer of the University and is directly responsible to the Board of Regents for all operations of the University. Other administrators assist the President with the management of University affairs. The Board of Regents encourages faculty, administrators, and students to make recommendations to the President regarding policy improvements and requires appropriate faculty counsel regarding recommendations for appointments, promotions, discontinuances, and retirement of faculty.
- b) **The Regular Faculty** of the University is composed of all faculty members with regular appointments including tenured, tenure track, and non-tenure track at the ranks of Instructor, Assistant Professor, Associate Professor, and Professor. The faculty shall fulfill its duties through academic departments and/or colleges, University committees, various standing committees of the Faculty Senate, and, when appropriate, through ad hoc committees from the faculty. The faculty is to be concerned with the welfare of the academic community and has a responsibility to participate in the development of policies, regulations, and procedures concerning the whole University.
- c) **The Student Body** of Rogers State University consists of all students currently enrolled at the University.

2.1.1 Campus Executive and Representative Bodies

- a) **The Executive Council** is not a formally designated body but acts as the President's cabinet and is composed of administrators appointed by the President. The members meet regularly as a coordinating executive team.
- b) **The Faculty Senate** is established to express the Senate's views and make appropriate advisory recommendations to the University administration. The Senate studies matters it believes to be of significant importance to the faculty.
- c) **The Student Government Association** is a representative organization of the Student Body whose mission is to represent, lead, and unify the Student Body; to decide and recommend for the students upon any matter involving student interests; and to promote common understanding among students,

faculty, and administration while protecting the individual rights of students. Officers of the Student Government Association are elected by the Student Body and include the President, Vice President, and Treasurer.

- d) The **Staff Advisory Council** of Rogers State University represents the administrative, professional, and staff of the University. The council makes policy recommendations, communicates and shares staff concerns, recommends changes to university practices, and provides administrative support to the University.

2.2 ACADEMIC ORGANIZATION

2.2.1 Vice President for Academic Affairs

The Vice President for Academic Affairs (“VPAA”) is the University's chief academic officer charged with daily responsibility for the accomplishment of student learning, scholarly activity, and service as components of the University's mission. The VPAA works closely with the President on academic matters.

A primary responsibility of the VPAA is to create and sustain a University environment conducive to teaching and learning and to student and faculty development. Therefore, the VPAA must be accountable to the faculty and students as well as to the President and the Board of Regents.

2.2.2 College and Departmental Organization

College Administration/Organization

To accomplish its academic mission, the University is divided into colleges with a Dean as the chief administrative officer. The Dean is responsible for an administrative organization designed to meet the particular needs of the college. Staff requirements to support college activities will vary in composition and assignments unique to the college's mission and goals. Departmental organizations will be used to support educational programs with similar goals and objectives. Faculty members shall be solicited to serve on committees and complete tasks supporting the mission and goals of the department, college, and University. The Dean shares (or delegates) many of the specific responsibilities outlined in this policy statement with college staff and the chairs/directors of the separate departments. In schools not divided into separate departments, the school organization is similar to departmental organization.

Departmental Administration

An academic department is administered by a chair. The chair provides

leadership in matters of policy determined by the Regular Faculty members of the department, operating within guidelines provided by the Board of Regents, University administrative officers, and the college. In schools not divided into departments, the school faculty is the equivalent of the departmental faculty, and the Associate Dean performs the duties and functions of the chair.

2.3 UNIVERSITY COMMITTEES

2.3.1 Standing Committees

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

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

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

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

Selection Procedure

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

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

- Between April 15 and May 1, members of committees will be notified of seating in writing.

2.3.1.1 Academic Policies Review Committee

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

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

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

Meetings: Per 2.3.1 above.

2.3.1.2 Assessment Committee

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

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

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

Meetings: Per 2.3.1 above.

2.3.1.3 University Curriculum Committee

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

Membership: A representative from each department. Faculty should be senior (at least five years at RSU) whenever possible.

Recommendations: To the Vice President for Academic Affairs.

Meetings: Per 2.3.1 above.

2.3.1.4 Library Committee

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

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

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

Meetings: Per 2.3.1 above.

2.3.1.5 Faculty Development Committee

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

Membership: At least six appointed College faculty.

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

Meetings: Per 2.3.1 above.

2.3.1.6 Committee on Student Conduct

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

Any act by a properly constituted committee, where at least five members of the committee (one of whom must be a student except in matters involving gender-based misconduct) are present, will be binding.

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

Recommendations: To the University President or as otherwise required by the *Student Code of Responsibilities and Conduct* or other policies.

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

2.3.1.7 Committee on Academic Integrity

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

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

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

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

2.3.1.8 Faculty Appellate Committee

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

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

Recommendations: To the Vice President for Academic Affairs.

Meetings: As needed to consider appeals filed by faculty.

2.3.1.9 Enrollment Management Committee

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

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

Recommendations: To the Vice President for Academic Affairs.

Meetings: Per 2.3.1 above.

2.3.1.10 Strategic Planning Committee

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

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

Recommendations: To the University President

Meetings: As called by the President.

2.3.1.11 Academic Technology Committee

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

Membership: At least six appointed College faculty and a representative from each of the following areas will be appointed by the administrator of the area to serve as a voting member of the committee: Library, Pryor Campus, and Bartlesville Campus. The Director of Information Technology will serve as an ex-officio member.

Recommendations: To the Vice President for Academic Affairs

Meetings: Per 2.3.1 above.

2.3.1.12 Scholarly Activities Committee

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

Membership: At least six appointed faculty with at least three per College

Recommendations: To the Vice President for Academic Affairs.

Meetings: Per 2.3.1 above.

2.3.1.13 Distance Education Committee

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

Membership: At least six appointed faculty, at least three per College.

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

Meetings: Per 2.3.1 above.

2.3.1.14 University Honors Program Committee

Function: Make recommendations involving all aspects of the Honors Program, particularly including Honors curriculum development, modification, and implementation.

Membership: The Director of Academic Enrichment, six additional faculty chosen by the Faculty Senate, and one member each from the Foundation, Student Activities, and the Office of Admissions. The Director of Academic Enrichment will chair the Committee.

2.3.1.15 General Education Committee

Function: Provide oversight of all aspects of general education, including assessing and evaluating the general education program, recommending improvements, reviewing all general education proposals, and reporting annually on the effectiveness of general education. Coordinate with other standing committees (particularly Assessment, Curriculum, and Distance Education) as appropriate.

Membership: At least nine appointed faculty, with at least three from each College. Faculty should have significant general education teaching experience and/or assessment experience whenever possible.

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

Meetings: Per 2.3.1 above.

2.3.1.16 Opportunities and Access Committee

Function: Ensure that RSU is a place of belonging for all students, faculty,

and staff; to promote free speech and inquiry; to promote civility in our treatment of each other; and to provide access and opportunity to all who possess the talent and tenacity to succeed.

Membership: At least six faculty appointed by the Faculty Senate (three from each College), a minimum of one representative from the Office of Student Affairs, Athletics, and a representative from the Library.

Membership on the Opportunities and Access Committee will seek to include persons from a range of perspectives, identifications, and knowledge. At the discretion of committee leadership, an ad-hoc student group may be developed for participation in enrichment initiatives, information gathering, or advisement.

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

Meetings: Per 2.3.1 above.

2.3.1.17 Strategic Marketing Committee

Function: Through an examination of marketing components including demand, growth strategies, branding, and marketing communications production, the committee will encourage departments to develop and promote university programs, services, and events.

Membership: Six faculty appointed by the Faculty Senate (three from each College), and representatives from Communications and Marketing, Library, and Institutional Research as voting members. Ex officio members include representatives from the Comptroller, Development, Athletics, and Student Affairs.

Recommendations: Through the Faculty Senate to the President

Meetings: Per 2.3.1 above.

2.4 ACADEMIC COUNCIL

Function: The Academic Council is the principal advisory body for the Vice President for Academic Affairs on academic and other matters of importance to the University. When recommendations are forwarded to the Vice President for Academic Affairs by the Faculty Senate or a standing faculty committee, the Vice President will bring the recommendation before the Academic Council for consideration. In that case, the appropriate committee chair may be asked to attend and present the recommendation to the Academic Council, provide background, and engage in dialogue with the Academic Council membership during its deliberation. All recommendations accepted by the Academic Council and the Vice President for Academic Affairs will be forwarded

to the President for consideration. The Academic Council may consider and make recommendations to the Vice President for Academic Affairs concerning any academic matter that is not an assigned function of one of the faculty committees.

Membership: The Academic Council's membership will include all College deans, all academic department heads, the Chair of the Faculty Senate, the Registrar, the Director of the Stratton Taylor Library, the Director of Student Success, the Director of the Pryor campus, the Director of the Bartlesville campus, the Associate Vice President for Academic Affairs, and the Vice President for Academic Affairs. The Director of Admissions will serve as ex-officio member and have voting status. The Vice President for Academic Affairs will chair the Council.

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

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

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

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

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

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

- 1) Terminate the recommendation OR
- 2) Refer the original recommendation through the Faculty Senate as appropriate to

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

3.0 FACULTY PERSONNEL POLICIES

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

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

3.1 FACULTY MEMBERSHIP

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

3.1.1 Regular Faculty

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

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

3.1.1.1 Types of Regular Faculty Appointments

The regular faculty holds one of four types of appointments:

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

Tenure Track - Regular faculty holding the rank of professor, associate professor, or assistant professor may be tenure track appointments.* Tenure track appointments are for one (1) academic year beginning August 1 and ending May 30. Action on reappointment is initiated by the academic department head through the respective dean to the Vice President for Academic Affairs, President, and Board of Regents. Notification of non-reappointment shall be given in writing by the Vice President for Academic Affairs no later than March 1.

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

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

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

3.1.2 Supplemental Faculty

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

3.1.2.1 Types of Supplemental Faculty Appointments

The supplemental faculty consists of:

Adjunct Faculty - Adjunct faculty hold part-time, temporary appointments for a semester or session. The rank of such faculty may be adjunct

instructor or lecturer. Adjunct faculty will be limited to teaching nine (9) hours or less per semester or session.

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

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

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

3.1.3 Summer Teaching Faculty

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

3.1.4 Full- and Part-Time Appointments

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

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

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

3.2 PROFESSIONAL ACTIVITIES OF THE FACULTY

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

3.2.1 Teaching

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

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

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

3.2.2 Research and Other Creative/Scholarly Activity

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

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

3.2.3 Professional and University Service and Community Engagement

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

University service may consist of academic student advisement, departmental management, public relations, classroom, studio, or other physical facility management, personnel management, equipment and supplies management, fiscal management, time management, sponsorship of student organizations, membership on ad hoc and standing committees, consultation to other areas of the University, participation in institutional or program self-study activities, and special assignments or responsible participation in activities which advance the academic programs of the University.

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

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

3.3 ACADEMIC RANK AND PROMOTION OF FACULTY

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

3.3.1 Principal Academic Ranks of the University

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

Professor

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

Associate Professor

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

Assistant Professor (One of the following options)

Option A

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

Option B

- Earned master's degree relevant to the teaching field awarded by a regionally

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

Instructor

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

Others

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

3.3.2 Concepts and Understandings Regarding Rank and Promotion Policies

- The highest interests of the University will best be served through a spirit of cooperation and a sense of mutual confidence among the faculty, the department heads, the academic deans, the Vice President for Academic Affairs, and the President of the University. The procedure for recommending promotion in rank is designed to systematize as well as to encourage such cooperation and mutual confidence.
- The determination of professional training and/or experience to meet the criteria for assignment of rank will be the responsibility of the Vice President for Academic Affairs ("VPAA"). The VPAA will consult with peers or supervisors of those who are being considered for changes in rank.
- The VPAA may recommend an instructor for promotion to the rank of assistant professor upon completion of all degree requirements for one of the options in section 3.2.1 and upon presentation of official documentation from the granting institution. Approval of the President and the Board of Regents of the University of Oklahoma is required.
- For promotion to the ranks of Associate Professor and Professor, the number of years specified for higher education teaching experience and the number of years of experience at a given rank must be completed before requesting promotion in rank.
- A faculty member must complete at least two (2) years of full-time employment

at Rogers State University before requesting promotion to the rank of Associate Professor or Professor.

- Any exception to the policy on promotion in rank may be granted by the President of the University consistent with policies of the Board of Regents of the University of Oklahoma. Copies of these exceptions must be kept in the faculty members' personnel files.

3.3.3 Criteria for Promotion in Rank

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

3.3.4 Promotion Process

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

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

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

Step 3 – By January 15, the dean of the college reviews the portfolio and attached recommendations, evaluates each performance criterion, and provides the department head and the faculty member a written notification of his/her

recommendation (approval/disapproval) and the basis for the recommendation. The dean then forwards all documents to the VPAA.

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

If the VPAA recommends approval of the request, he/she forwards all documents to the President.

If the VPAA denies the promotion request, the faculty member may appeal the action to the Faculty Appellate Committee.

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

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

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

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

If the Faculty Appellate Committee recommends disapproval of the request, the promotion is denied. The VPAA then provides written notification to the Faculty Appellate Committee, the dean of the college, the department head, and the

faculty member that the promotion request has concluded with the denial of the promotion.

Step 8 – By May 1, upon receiving a positive recommendation from the VPAA, the President either approves or disapproves the request.

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

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

3.4 ACADEMIC TENURE

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

3.4.1 Concepts and Understandings Regarding Tenure Policies

- Only full-time faculty members holding academic rank of assistant professor, associate professor, or professor may be granted tenure. In those exceptional cases when it is recommended that a faculty member be permitted to reduce his or her employment to less than full-time and maintain a tenured status, specific Regents' approval must be granted. Qualified professional librarians shall be considered faculty members if they are accorded academic rank. The highest interests of the University will best be served through collegiality, a spirit of cooperation and a sense of mutual confidence among the faculty, the department heads, the academic deans, the VPAA, and the President of the University. The procedure for recommending tenure is designed to systematize as well as to encourage such cooperation and mutual confidence.
- Tenure implies a mutual responsibility on the part of the University and the tenured faculty member. In granting tenure to a faculty member, the University makes a commitment to the faculty member's continued employment, subject to certain qualifications. The University expects that tenured faculty members will maintain the level of performance by which they initially earned tenure.

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

3.4.2 Probationary Period

Faculty members shall be on probation for a minimum of four (4) years after date of first being employed by Rogers State University in a tenure track position. Years of experience in a non-tenure track position may be used towards years of the probationary period only if approved by the VPAA. After the four-year probationary period, faculty members holding the rank of assistant professor, associate professor, or professor may request tenure. Faculty members will remain on probation until either tenure is granted or seven years have elapsed. Seven (7) years shall be the maximum probationary period for the eligible faculty member to receive tenure. If, at the end of seven (7) years any faculty member has not attained tenure, there will be no renewal of appointment for the faculty member unless a specific request for a waiver of policy is approved by the President.

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

3.4.3 Criteria for Tenure

Providing that candidates meet the academic rank eligibility requirements for tenure, the tenure decision shall be based on a thorough evaluation of the candidate's total contribution to the mission of the University, including the maintenance of collegial relations with other faculty, staff, students, administration and the community. While specific responsibilities of faculty members may vary because of special assignments or because of the particular mission of an academic unit, all evaluations for tenure shall address the areas of professional activities, as outlined in Section 3.2 (teaching; research and creative/scholarly activity; and professional and University service and community engagement).

3.4.4 Tenure Process

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

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

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

The department head calls a meeting of the Tenure Review Committee to initiate

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

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

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

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

If the VPAA recommends approval of the request, he/she forwards all documents to the President.

If the VPAA denies the tenure request and the faculty member believes that tenure

review procedures were not followed, he/she may appeal the action to the Faculty Appellate Committee. The appeal request must pertain solely to tenure review procedures.

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

Step 6 – By March 7, upon receiving notification of appeal, the VPAA will provide this notification and the grounds for the appeal to the chair of the Faculty Appellate Committee. Pertinent testimony from all parties involved may be heard, but must be limited to tenure review procedures only. The Faculty Appellate Committee will consider all documentation and testimony, vote by secret ballot, and provide the VPAA a written notification of their decision.

The Faculty Appellate Committee must complete its action by March 20.

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

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

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

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

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

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

- All recommendations will be placed in the personnel file of the candidate.
- The portfolio and a copy of all recommendations will be returned to the candidate.
- All confidential, relevant records leading to tenure will be kept in the VPAA's office for a period of five (5) years and then destroyed unless further

recordkeeping of the same is required by either the State of Oklahoma's "General Records Disposition Schedule for State Universities and Colleges," or other legal requirements.

3.4.5 Post-Tenure Review

Post-tenure review at the University is a periodic peer-based evaluation of tenured faculty for the purpose of guiding career development and, when judged necessary, improving faculty performance. The post-tenure review process is based on and extends the annual evaluation of faculty through two processes:

- 1) A retrospective review of faculty performance in teaching; research and creative/scholarly activity; and professional and University service and community engagement over the three years preceding the review, and
- 2) A formative evaluation for future professional growth.

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

Post-tenure review is mandatory for all tenured faculty.

Bearing in mind the value and importance of academic freedom and procedural due process to the well-being and success of the academic community, the University acknowledges and supports in principle the policies and procedures set forth in the AAUP's *Standards for Good Practice in Post-Tenure Review*. Post-tenure review is not a re-evaluation of a faculty member's tenure status, nor is it intended as means to effect programmatic change. The post-tenure review process will be carried out in a manner that is consistent with the University's policies on academic freedom and responsibility and on faculty evaluation. Post-tenure review will be based on the criteria for annual review established by the faculty of the unit and approved by the administration. Specific provisions prescribing post tenure reviews are set forth in Section 3.8.2 of this Manual.

3.4.6 Non-Tenured Regular Faculty Non-Reappointment

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

3.5 MINOR AND SEVERE SANCTIONS POLICY

The University strives to exercise great care in selecting faculty appointees and to confer tenure upon only those faculty members who have demonstrated their merit for tenured appointment. For that reason, the imposition of severe sanctions such as dismissal of a tenured faculty member (abrogation of tenure) or termination of a non-tenured faculty member during their contract and outside of non-renewals pursuant to Section 3.4.6 should be an exceptional event. Although such measures may be required infrequently, the purpose of this policy is to establish procedural safeguards for the imposition of sanctions that preserves both the integrity of the University and the rights of faculty members against whom sanctions may be imposed.

3.5.1 Minor Sanctions

The chair of the academic unit with approval from the dean, has the power to impose minor sanctions. A faculty member against whom the imposition of minor sanctions is sought must be informed in writing of the basis for the action. While it is not possible to specify all grounds for which minor sanctions may be sought, they include, but are not limited to, the following:

- a) Neglect of duty or failure to carry out normal and expected satisfactory teaching, research, or service responsibilities;
- b) Unprofessional conduct adversely affecting the functioning of the area, department, college, or University;
- c) Failure to adhere to certain University policies. However, a faculty member may not appeal a prior finding of a violation of University policy by a University administrative officer or body when such finding has already been appealed under that particular policy (e.g. Institutional Equity matters, Research Misconduct, etc.);

Minor sanctions may include, but are not limited to, suspension of public-facing assignments such as clinic assignments, suspension of travel privileges for not more than thirty (30) days, and/or restitution to the University. A faculty member who believes the sanctions are unfair/unsupported may appeal the sanction(s) imposed to the VPAA within fifteen (15) University business days of notice of the sanction(s). The VPAA will review the sanction(s) imposed, meet with the faculty member if requested, and decide to affirm, modify, or revoke the minor sanctions. The decision of the VPAA is final.

3.5.2 Grounds for Abrogation of Tenure, Dismissal, and Other Severe Sanctions

Severe sanctions may include, but are not limited to, abrogation of tenure and termination of employment, loss of prospective University privileges for a stated period (for instance, loss of eligibility for a sabbatical leave of absence), a fine, or a

reduction in salary. Although termination of employment of a non-tenured faculty member during the term of appointment would be considered a severe sanction, timely non-renewal of a faculty member's appointment pursuant to Section 3.4.6 is not a severe sanction and is not within the scope of this policy. Although it is not possible to specify all grounds for which abrogation of tenure, termination of employment, or severe sanctions may be sought, they include, but are not limited to the following:

- a) Professional incompetence or dishonesty;
- b) Substantial, manifest, or repeated failure to, and/or refusal to fulfill professional duties or responsibilities;
- c) Substantial, manifest, or repeated failure to, and/or refusal to adhere to University policies provided, however, that a faculty member may not appeal a prior finding of a violation of University policy by a University administrative officer or body when such finding has already been appealed under that particular policy (e.g., Institutional Equity matters, Research Misconduct, etc.); and
- d) Personal behavior preventing the faculty member from satisfactory fulfillment of professional duties or responsibilities.

3.5.3 Non-disciplinary Termination(s)

Non-disciplinary terminations are not severe sanctions. A faculty member may request a hearing to challenge a non-disciplinary termination using the procedures for hearings before the Faculty Appellate Committee. However, challenges of non-disciplinary terminations are limited to the following grounds as appropriate: the fact of the change in worksite without authorization, inability to perform essential functions, the relevance of the criminal conviction, or the credentials required for the faculty member's position.

- a) **Change of worksite.** A faculty member is generally expected to work in the state of Oklahoma (or other assigned University site), except where mutually agreed and authorized pursuant to a remote work agreement approved by the dean and the Vice President for Academic Affairs. Changes to work locations, whether to another state or abroad, subject the University to payroll and tax burdens. Faculty members working in other states or abroad, without prior written authorization from the applicable VPAA, must request such authorization within (5) days of being informed of the violation. If the VPAA does not give such authorization within twenty (20) days of this request, the faculty member shall be ineligible for continued employment;
- b) **Inability to perform essential functions.** A faculty member who is unable to perform the essential functions of the faculty member's position, with or without a reasonable accommodation, is ineligible for continued

employment;

- c) **Criminal convictions.** A faculty member who has (1) pleaded guilty or *nolo contendere* or who has been found guilty before a court of competent jurisdiction of a violation of a law relating to dishonesty, violence, or where such plea or conviction prevents the faculty member from satisfactorily fulfilling professional duties or responsibilities, or (2) a faculty member that has violated a court order when such violations relate to the faculty member's proper performance of professional responsibilities is ineligible for continued employment. As noted above, faculty members who have been terminated pursuant to this provision may request a hearing before on the grounds their plea does not satisfactorily prevent the faculty member from fulfilling their professional duties or responsibilities; however, such hearings are not forums for faculty members to change their plea or relitigate the facts that form the basis for the plea;
- d) **Loss of credentials.** A faculty member who has lost the professional licensure or credentials that the University requires for the faculty member's position or profession or that are required by an external licensure board or accrediting entity is deemed no longer eligible for employment; and
- e) **Financial exigency.** Tenured faculty members or faculty members terminated prior to the expiration of their appointment pursuant to the University's policy on financial exigency.

3.5.4 The Non-Discrimination Policy, the Sexual Misconduct, Discrimination, and Harassment Policy, and the Consensual Sexual Relationships Policy

The University's Non-Discrimination Policy; the Sexual Misconduct, Discrimination, and Harassment Policy; and the Consensual Sexual Relationships Policy and their associated grievance procedures set forth the policies and procedures for all grievances, appeals, and sanctions related to any form of discrimination or harassment prohibited by University policy. Violations of those policies are not within the jurisdiction of the Faculty Appellate Committee unless jurisdiction is granted pursuant to those policies. The Institutional Equity Office policies and procedures, currently found at <http://www.ou.edu/eoo.html>, may provide for specific ad hoc hearing committees with specialized training other than the Faculty Appellate Committee.

3.5.5 Leave of Absence Pending a Formal Hearing or Appeal of Severe Sanctions

Upon consultation with or recommendation by the department chair, the VPAA, or the dean, with approval from the VPAA, has the power to place a faculty member on a leave of absence pending proceedings under Section 3.5.8. of this policy.

The duration of leave should be determined based on the circumstances giving rise to the hearing or appeal. Alternatively, the VPAA may assign the faculty member to other duties or a redistribution of effort in lieu of leave. Any leave of absence, reassignment, or redistribution of effort imposed under this section is not in itself a sanction that can be appealed pursuant to this policy.

In cases where the President recommends abrogation of tenure or termination of employment, the President may place the faculty member on unpaid leave if and once the Faculty Appellate Committee Chair has determined the matter will proceed to a formal hearing. Should the Faculty Appellate Committee find in favor of the faculty member, the faculty member will receive any base compensation withheld while on leave without pay.

3.5.6 Process for Termination of Employment or Abrogation of Tenure

When abrogation of tenure or termination of employment is considered, the appropriate administrative officer, typically the academic dean of the university, shall ordinarily investigate the matter and meet with the faculty member in person to discuss the matter, unless reasonably prevented from doing so. The meeting may result in agreement that the formal proceedings should not be initiated or that the best interest of the tenured faculty member and the University would be served by the faculty member's resignation. If this meeting does not result in mutual agreement, the dean will submit a recommendation in writing with rationale to the faculty member, the VPAA and the President. If the President agrees with the recommendation, the President must notify the faculty member and the Faculty Appellate Committee in writing and request a hearing in which the University will be the Complainant. The President's notice shall include a copy of the recommendation for abrogation.

If the faculty member agrees with the President's recommendation or otherwise does not wish to contest the recommendation, the faculty member can decline to participate in the hearing and the recommendation for abrogation shall proceed to the Board of Regents as uncontested. If at any point during the hearing process, the faculty member ceases participation, the hearing process will terminate and the President's recommendation shall proceed to the Board as uncontested.

The Board of Regents shall give all reasonable consideration to the recommendations of the President and, if applicable, the Faculty Appellate Committee before making a decision. Only the Board of Regents has the power to abrogate tenure.

3.5.7 Process for Other Severe Sanctions

Disciplinary action will begin with a meeting between the faculty member, the department head, and the dean of the appropriate college. If, as a result of the

conference, the dean finds that the conduct warrants the imposition of severe sanctions, a written recommendation for action and the rationale for the action will be forwarded to the faculty member and the VPAA. At the VPAA's discretion, the VPAA can request to meet with the faculty member to discuss the proposed disciplinary action. The VPAA will review the proposed disciplinary action, conduct additional inquiry if necessary, and notify the faculty member of whether a severe sanction will be imposed and a copy of the disciplinary action will be placed in the faculty member's personnel file.

The faculty member may request a hearing in writing to the Faculty Appellate Committee within twenty (20) University business days after receipt of the VPAA's notice. The Chair of the Faculty Appellate Committee may grant an extension for good cause shown, not to exceed twenty (20) days. If the faculty member does not request a hearing, the severe sanction will be final. If the faculty member timely requests a hearing, the Faculty Appellate Committee will follow its procedures and forward any final recommendation to the President. The President shall give all reasonable consideration to the recommendations of the Faculty Appellate Committee and decide to uphold, modify, or revoke the severe sanction, which shall be final.

3.5.8 Faculty Appellate Committee Procedures for Recommendations Regarding Abrogation of Tenure, Termination of Employment, and Appeals of Severe Sanctions

After the Faculty Appellate Committee has received a notification that termination of employment or abrogation of tenure proceedings have been initiated or after faculty member has requested a hearing before the Faculty Appellate Committee to appeal a severe sanction, the Chair of the Faculty Appellate Committee will review the request to determine whether it is within the review authority of the Committee under University policy and whether the request is timely. If the request is timely and within the Committee's review authority, the process will continue. If the request is not timely and/or appealable, the Chair shall notify both parties and the process will end. In cases where the Chair is unable to determine from the request for hearing whether the matter falls within the Committee's review authority, the Chair may contact the appropriate party to clarify the request or cure any deficiencies in the request, if appropriate. The Committee Chair's decision is final.

Within ten (10) University business days of receipt, the Chair of the Committee shall appoint a pre-hearing panel and hold a pre-hearing conference by meeting with the University and respondent. The Chair of the Committee shall chair the pre-hearing panel. The purpose of the pre-hearing meeting is to determine whether a matter should proceed to a formal hearing. Requests for hearings that are untimely, frivolous, duplicative, unrelated to University business, or outside the scope of the Committee's review authority should be dismissed and the President so notified.

Otherwise, the process will continue. At the pre-hearing, no documents or physical evidence should be introduced, and no witnesses shall be called, but the parties must appear and relate their views of the matter. A party who fails to appear and/or participate in the Pre-hearing meeting is deemed to have waived future rights to participate in formal proceedings. Due to the seriousness of the allegations and the severity of the recommended sanctions, in cases where abrogation of tenure or termination of employment is recommended, the University has the burden of proving that it has presented sufficient grounds to move to the formal hearing stage. In all other matters, the burden is on the faculty member. As soon as reasonably practicable, but not more than five (5) University business days after the pre-hearing, the Chair shall determine by majority vote whether the matter should proceed or be dismissed and notify the parties in writing. If a matter proceeds, the notice to the parties shall include instructions for the parties to provide written statements as outlined below and information about the Hearing Committee selection.

The faculty member may respond by waiving the hearing in writing and filing a written brief; in which case, the Committee will evaluate the faculty member's written brief as well as the recommendation of the dean of the college. If the faculty member declines to participate in the process, formal proceedings will cease and the President shall determine whether to uphold, modify or revoke the imposition of the severe sanction or, when applicable, recommend termination or abrogation of tenure to the Board of Regents.

The Faculty Appellate Committee hearing is a lay process that relies on peer review and the common sense, sound judgement, good character, and sense of fairness of each Hearing Committee member. The procedures should strive to diminish formality and rigidity. The process is not to be considered a trial but is a system of internal review to effect a just and fair disposition of the matter. From time to time, compliance with applicable state and/or federal law(s) may require modification of the Faculty Appellate Committee process, which includes modification of the related hearing procedures. Procedural errors, standing alone, shall not invalidate a Hearing Committee's decision. The time intervals specified in the preceding and following sections should be maintained unless waived by the Chair of the Faculty Appellate Committee for unusual circumstances or in order to allow continuing progress towards informal resolution of the complaint.

If the pre-hearing panel votes to forward a matter for formal hearing, the Chair of the Faculty Appellate Committee will request the University submit to both the Chair and the faculty member, within fifteen (15) University business days, the following:

- (a) Relevant policies of the administrative or academic unit, the College, the VPAA, the President's Office, and the Board of Regents.
- (b) The written complaint stating in full the grounds upon which the alleged grievance is based.

- (c) A summary of the evidence upon which the complaint is based.
- (d) A list of witnesses proposed to be called and a brief summary of the testimony of each proposed witness.

The Chair of the Faculty Appellate Committee will, upon receipt of the University's statement, request the faculty member to submit to both the Chair and the University, within fifteen (15) University business days, the following:

- (a) Relevant policies of the administrative or academic unit, the College, the Vice President for Academic Affairs' office, the President's Office, and the Board of Regents.
- (b) The written response outlining the specific points of defense.
- (c) A summary of the evidence to be used in refuting the charges.
- (d) A list of proposed witnesses to be called and a brief summary of the testimony of each proposed witness.

3.5.9 Selection of the Hearing Committee

- a) Within five (5) University business days after the written notice to the parties that the matter is proceeding to a formal hearing, the Chair of the Faculty Appellate Committee will provide the parties a list of the members of the Faculty Appellate Committee. The list shall not include members of the Committee that work in the same department as either party or one who is related to either party.
- b) Within five (5) University business days of receiving the list of Committee members, the parties shall notify the Faculty Appellate Committee Chair if either believes that a member of the Appellate Committee should be disqualified on grounds of bias or personal interest in the case. The Faculty Appellate Committee Chair shall determine, in consultation with the Office of Legal Counsel whether cause has been shown to disqualify that person from the Hearing Committee.
- c) If either party believes that the Faculty Appellate Committee Chair should be disqualified on grounds of bias or personal interest, the Vice President for Academic Affairs shall determine, in consultation with the Office of Legal Counsel, whether cause has been shown to disqualify that person from the Hearing Committee.
- d) Within five (5) University business days of any challenges being resolved, the Faculty Appellate Committee Chair will select by lot five members of the Faculty Appellate Committee to serve on the Hearing Committee. The

remaining members of the Faculty Appellate Committee who have not been disqualified will serve as alternates. There should be a minimum of two alternates.

- e) If, due to disqualifications and challenges, there are not enough Faculty Appellate Committee members to staff a Hearing Committee of five members and two alternates, the Chair of the Faculty Senate shall select the remaining number of Hearing Committee members by lot from the roster of Faculty Senate members. These appointees are subject to the same disqualifications and challenges for cause as noted above.
- f) Once finalized the Hearing Committee members will select one member to serve as Chair of the Hearing Committee.
- g) All Hearing Committee members are expected to prioritize Hearing Committee responsibilities above other faculty obligations. Hearing Committee members or alternates who need assistance covering class or other faculty commitments may contact the VPAA's Office for assistance to ensure attendance at the Hearing.
- h) Once selected to serve on a Hearing Committee, Hearing Committee members will be expected to serve for the duration of the Hearing process even if their term on the Faculty Appellate Committee expires.

Every effort will be made to hold the Hearing within thirty (30) University business days of the faculty member submitting his or her written statement.

3.5.10 Hearing Committee Regulations

The following regulations shall apply:

- a) The Chair of the Hearing Committee shall preside over the hearing and is authorized to make decisions regarding questions of evidence and admissibility, the conduct of the proceedings, and take all such steps as necessary to maintain an orderly hearing process. The Chair of the Faculty Appellate Committee shall provide the Chair of the Hearing Committee with a copy of the Complaint and Response as well as the accompanying summaries of evidence, lists of proposed witnesses, and relevant policies. The Chair of the Hearing Committee, after consulting with the legal counsel assigned to the Committee, shall have the final decision on any procedural issues raised that are not addressed by the Academic Affairs Policies and Procedures Manual. The Chair of the Hearing Committee is responsible for maintaining a full and accurate record of the proceedings. This shall consist of a recording and shall include copies of all exhibits and other materials distributed at the hearing.
- b) The parties shall have the right to attend the hearing and to be

accompanied by a colleague or counsel to advise them. The names of such colleague or counsel shall be provided to the Chair of the Hearing Committee at least ten (10) University business days prior to the hearing. Representatives may not question witnesses or address the Hearing Committee. All hearings will be closed to the public.

- c) Communications related to evidence and hearing procedures should be directed to the Chair of the Hearing Committee. Neither party shall communicate orally or in writing with individual Hearing Committee members during the hearing procedure.
- d) If requested by the Hearing Committee, each party must provide copies of all materials to the other party and the Hearing Committee members and alternates at a date to be determined by the Chair of the Hearing Committee but at least five (5) University business days prior to the hearing.
- e) The principles of confrontation shall apply throughout the hearing. Both parties shall have the right to present, examine, and cross examine witnesses, and each other. Each party is responsible for securing the presence of their own witnesses; however, if either party wishes the presence of University employees, the VPAA's Office shall make reasonable efforts to support that request.
- f) In matters relating to abrogation of tenure or termination of employment, the University shall bear the burden of proof which shall be by a preponderance of the evidence., i.e. whether the allegations are more likely true than not true. In matters relating to severe sanctions other than abrogation of tenure or termination of employment, the burden is on the appealing party to prove by a preponderance of the evidence (i.e., more likely than not) that the sanction is unwarranted.
- g) The report of the Hearing Committee, which shall include findings and recommendations, will be submitted to the parties, VPAA and President within ten (10) University business days of the conclusion of the hearing. The President shall make a recommendation to the Board of Regents and include a copy of the Hearing Committee's findings and recommendations.

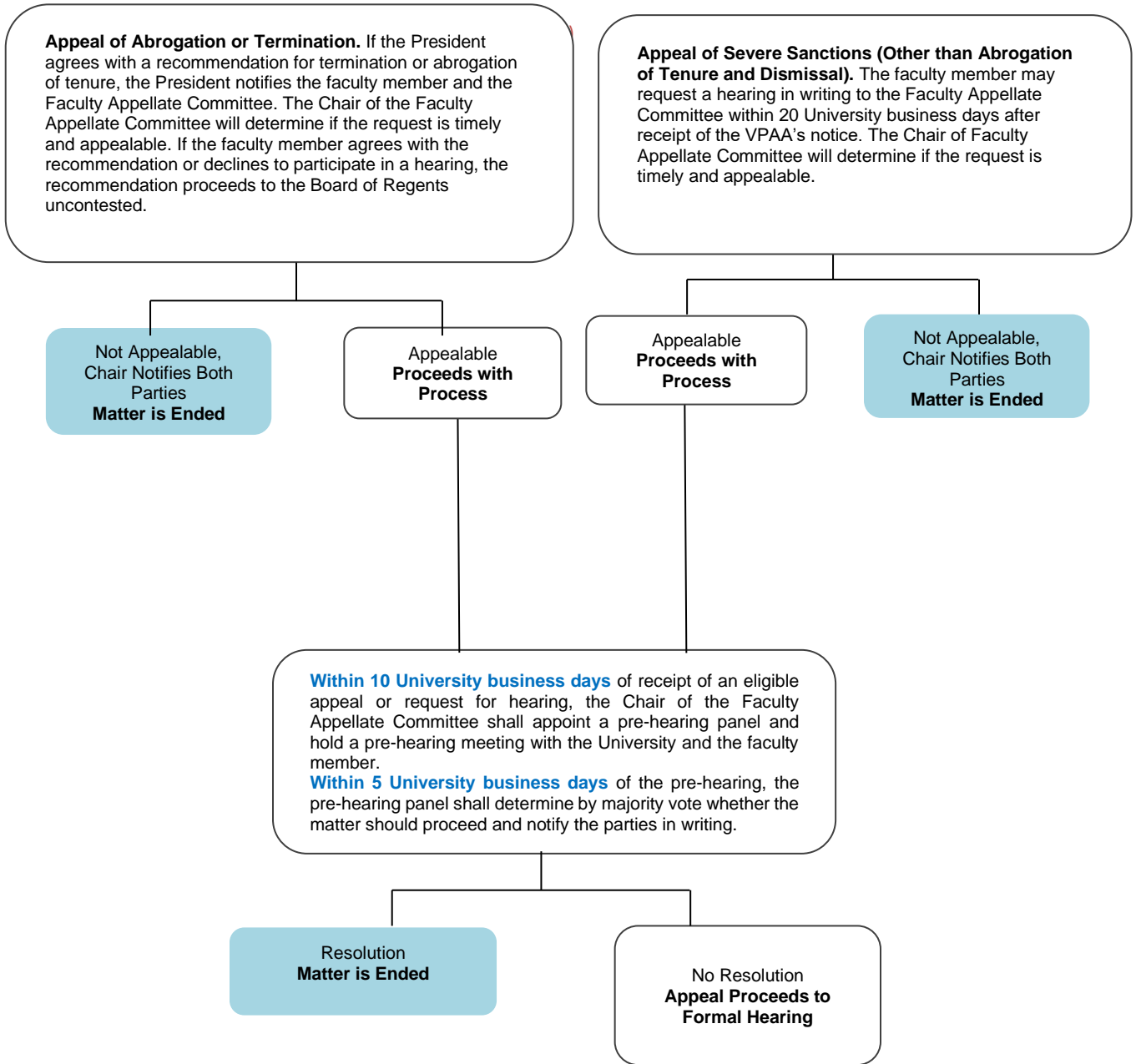
3.5.11 Disposition of Charges

The President shall transmit to the Board of Regents the full record of the hearing and the findings and recommendations of the Hearing Committee, and his/her recommendations. If action by the Board of Regents is required, such as in cases of abrogation of tenure, termination of employment, or severe sanctions, the Board of Regents shall review the materials submitted plus any additional information it wishes to consider and adopt, modify, or reject the President's recommendations, or it may return the matter to the Hearing Committee with

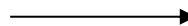
written directions as to how to proceed.

- a) If the Board of Regents chooses to return the matter to the Hearing Committee, the Committee shall review the matter in light of the Board of Regents' directions, receive new evidence or information, if necessary, and submit a final report of its findings and recommendations to the President for transmittal to the Board of Regents, as before. The work of the Hearing Committee is finished when the Board of Regents makes a final determination.
- b) The full record shall be deposited in the office of the Executive Secretary of the Board of Regents. Parties to the case may request copies or excerpts from the full record after the completion of the Committee's work. The costs shall be borne by the requesting party

INITIATION OF APPEAL AND REQUEST FOR HEARING FOR TERMINATION OF EMPLOYMENT, ABROGATION OF TENURE, AND OTHER SEVERE SANCTIONS

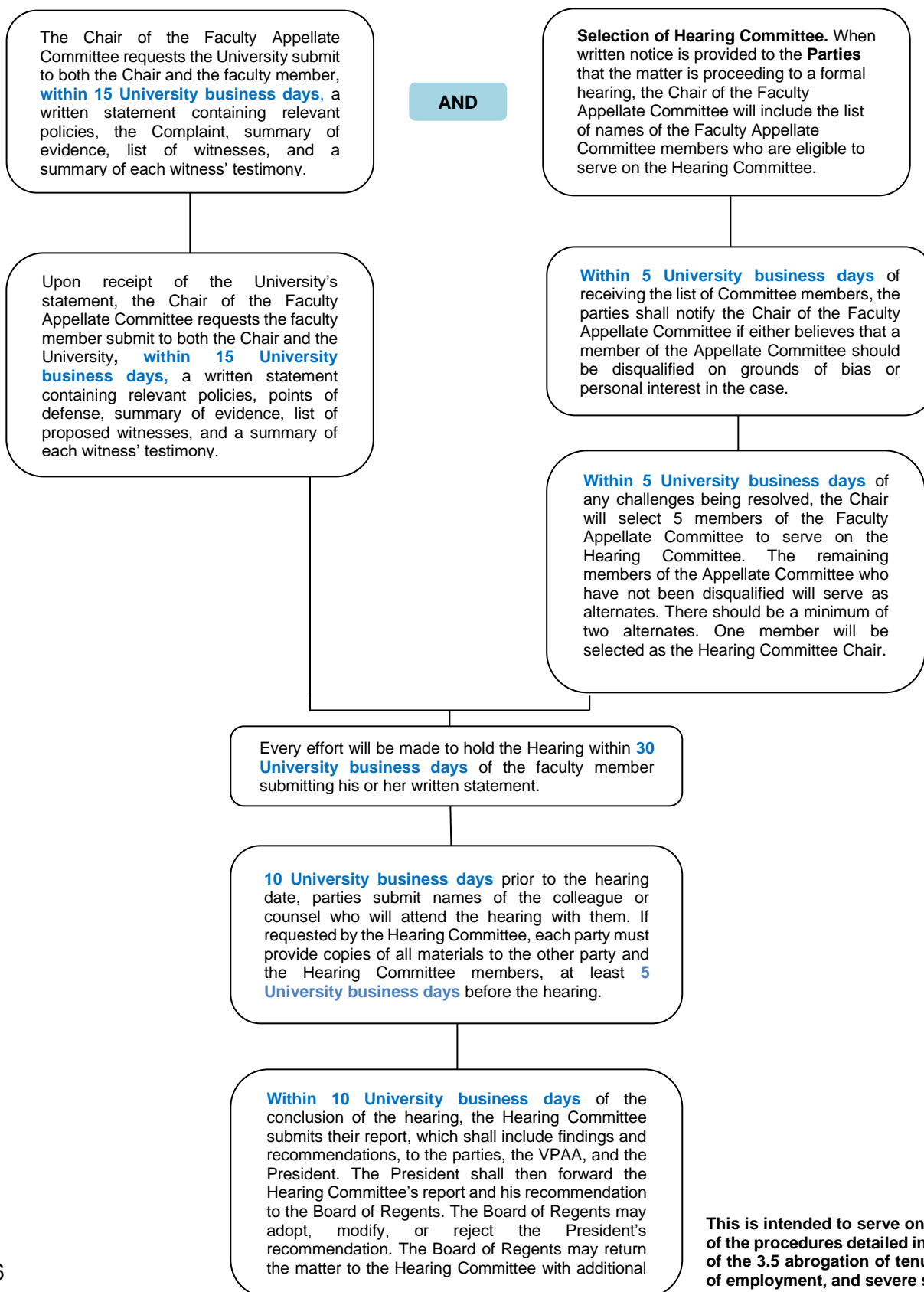


Formal Hearing Procedure (see next page)



This is intended to serve only as an outline of the procedures detailed in 3.5.5, 3.5.6, and 3.5.7 of the 3.5 abrogation of tenure, termination of employment, and severe sanctions.

FORMAL HEARING PROCEDURE FOR TERMINATION OF EMPLOYMENT, ABROGATION, TENURE, AND OTHER SEVERE SANCTIONS (3.5.8 & 3.5.9)



This is intended to serve only as an outline of the procedures detailed in 3.5.8 and 3.5.9 of the 3.5 abrogation of tenure, termination of employment, and severe sanctions.

3.6 ACADEMIC FREEDOM & ACADEMIC RESPONSIBILITY

3.6.1 Institutional Academic Freedom

The accumulation and exchange of knowledge is among the preeminent purposes of the University, and the acknowledgement of individual academic freedom is one of the cornerstones to ensure such purposes are achieved.

Equally important in meeting these goals is the recognition of the right inherent in the responsibility of the Board of Regents to govern the University. “[I]t is the business of a university to provide that atmosphere which is most conducive to speculation, experimentation and creation. It is an atmosphere in which there prevail ‘the four essential freedoms’ of a university – to determine for itself on academic grounds who may teach, what may be taught, how it shall be taught, and who may be admitted to study.” *Sweezy v. New Hampshire*, 354 U.S. 234, 263; 77 S.Ct. 1203; 1 L.Ed.2d 1311 (1957).

3.6.2 Academic Freedom

The 1940 Statement of Principles on Academic Freedom and Tenure, with 1970 Interpretive Comments, of the American Association of University Professors has long been recognized as providing valuable and authoritative guidelines for policy and practice in American colleges and universities. The section on academic freedom below reflects the spirit of those stated principles. In the formulation that follows, these principles have been adopted as policy by the Board of Regents.

- a) Faculty members are entitled to full freedom in research and publication, subject to any restrictions set by law or by applicable codes of professional ethics, and subject to adequate performance of their other academic duties and to stated University policy on outside employment; but, except under conditions of national emergency, a faculty member should not undertake to do research on University time or using University facilities or funds under any agreement which would (except for a definitely and reasonably limited time) prohibit open communication of the results.
- b) Faculty members are entitled to freedom in the classroom in discussing their subject, but it is inappropriate for a teacher persistently to introduce material, which has no relation to the subject of instruction.
- c) As members of the community, university teachers have the rights and obligations of any citizen. They measure the urgency of these obligations in the light of their responsibilities to their subject, to their students, to their profession, and to their institution. In speaking or

acting as private persons, faculty members avoid creating the impression of speaking or acting for their college or university. As a citizen engaged in a profession that depends upon freedom for its health and integrity, the university teacher has a particular obligation to promote conditions of free inquiry and to further public understanding of academic freedom.

- d) As citizens, university teachers should be free to engage in political activities consistent with their obligations as teachers and scholars and with University policy.
- e) Freedom of access to recorded knowledge being essential to learning and research in a democracy, the right and the obligation of the university to provide a full range of materials on any subject, even though some views might be currently unpopular or controversial, or appear incorrect, shall not be infringed. The principles of academic freedom shall apply to the presence of materials and also to those who provide and those who use them.
- f) The University endorses the 1957 declaration of the American Association of University Professors which "...asserts the right of college and university students to listen to anyone whom they wish to hear...affirms its own belief that it is educationally desirable that students be confronted with diverse opinions of all kinds, (and) therefore, holds that any person who is presented by a recognized student or faculty organization should be allowed to speak on a college or university campus." Duly constituted organizations at Cameron University and Rogers State University may invite speakers without fear of sanctions. However, in the exercise of these rights, it is clearly recognized that:

Membership in the academic community imposes on students, faculty members, administrators, and trustees an obligation to respect the dignity of others, to acknowledge their right to express differing opinions, and to foster and defend intellectual honesty, freedom of inquiry and instruction, and free expression on and off the campus. The expression of dissent and the attempt to produce change, therefore, may not be carried out in ways which injure individuals or damage institutional facilities or disrupt the classes of one's teachers or colleagues. Speakers on campus must not only be protected from violence but must be given an opportunity to be heard. Those who seek to call attention to grievances must not do so in ways that significantly impede the functions of the institution. (1970 declaration of the AAUP Council)

3.6.3 Academic Responsibility

The concept of academic freedom shall be accompanied by an equally

demanding concept of academic responsibility. The Board of Regents endorse (adopt) the AAUP 1987 Statement on Professional Ethics.

3.6.3.1 Introduction

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

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

3.6.3.2 The Statement

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

2. As teachers, professors encourage the free pursuit of learning in their students. They hold before them the best scholarly and ethical standards of their discipline. Professors demonstrate respect for students as individuals and adhere to their proper roles as intellectual guides and counselors. Professors make every reasonable effort to foster honest academic conduct and to ensure that their evaluations of students reflect each student's true merit. They respect the confidential nature of the relationship between professor and student. They avoid any exploitation, harassment, or discriminatory treatment of students. They acknowledge significant academic or scholarly assistance from them. They protect their academic freedom.
3. As colleagues, professors have obligations that derive from common membership in the community of scholars. Professors do not discriminate against or harass colleagues. They respect and defend the free inquiry of associates. In the exchange of criticism and ideas professors show due respect for the opinions of others. Professors acknowledge academic debt and strive to be objective in their professional judgment of colleagues. Professors accept their share of faculty responsibilities for the governance of their institution.
4. As members of an academic institution, professors seek above all to be effective teachers and scholars. Although professors observe the stated regulations of the institution, provided the regulations do not contravene academic freedom, they maintain their right to criticize and seek revision. Professors give due regard to their paramount responsibilities within their institution in determining the amount and character of work done outside it. When considering the interruption or termination of their service, professors recognize the effect of their decision upon the program of the institution and give due notice of their intentions.
5. As members of their community, professors have the rights and obligations of other citizens. Professors measure the urgency of these obligations in the light of their responsibilities to their subject, to their students, to their profession, and to their institution. When they speak or act as private persons, they avoid creating the impression of speaking or acting for their college or university. As citizens engaged in a profession that depends upon freedom for its health and integrity, professors have a particular obligation to promote conditions of free inquiry and to further public understanding of academic freedom.

3.6.3.3 Student Appeals Concerning English Proficiency of Faculty

1. It is the policy of Rogers State University that all who provide

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

2. A student who believes that a faculty member is not sufficiently proficient in written, aural, or spoken English may file a written complaint with the VPAA. The identity of the complainant(s) shall remain confidential. Anonymous complaints will not be accepted.
3. The VPAA shall notify the faculty member, the department head of the academic unit in which the faculty member is employed, and the dean of the college that a complaint has been received, although the identity of the complainant(s) shall remain confidential. If, after consulting with the college and department, the VPAA determines that a formal inquiry is necessary, he/she shall appoint an independent evaluator to evaluate the English proficiency of the faculty member. The evaluator may visit the class of the faculty member named in the complaint, interview the faculty member, interview students, or engage in such other activities as necessary to evaluate the faculty member in a fair manner. The evaluator shall provide the VPAA with a written report of his/her findings as to the English proficiency of the faculty member and make recommendations of actions that should be taken.
4. The VPAA shall notify the complainant(s), the faculty member, the department head of the academic unit, and the dean of his/her findings as to the validity of the complaint. In the event that the faculty member is found not to be sufficiently proficient in English, the Vice President for Academic Affairs shall specify actions to be taken by the faculty member and/or the academic unit. Such actions may include but are not limited to: (1) reassignment of the faculty member to other duties; (2) re-evaluation of the faculty member for purposes of hiring, promotion, salary, or other personnel decisions; (3) appropriate remedial measures to assist the faculty member in improving his/her English proficiency; and (4) appropriate remedies for the affected students.

3.6.3.4 Procedural Guidelines

3.6.3.4.1 Records

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

assigned.

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

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

3.6.3.4.2 Syllabi

Each faculty member is responsible for the preparation of an up-to-date course syllabus. A copy of the syllabus must be provided to each student in each class, and copies must be provided to the offices of the academic dean and the VPAA.

Each syllabus should include the following information as a minimum:

1. Course name and number, faculty member's name, phone number, e-mail address, and office number.
2. Course prerequisite and/or co-requisite.
3. Course description from the current bulletin.
4. Next course in sequence (if applicable).
5. Textbooks and other required materials. List the title, edition, author, and publisher of the textbook and supplemental workbooks, lab manuals, and any other materials that are the student's responsibility to obtain.
6. Course objectives. Inform the student about defined student outcomes and what he/she should be able to achieve upon completion of the course.
7. Teaching methods. State the teaching methods to be used, such as lecture, class discussion, guest speakers, films, lab assignments, etc.
8. Assessment techniques. Provide an explanation of how assignments and final grades are determined.

9. Grading system. State how the evaluation techniques will be used to compute the student's grade and how much grading emphasis will be assigned to each component.
10. Attendance policies. Inform the student of class attendance and late arrival policy and whether this policy will be included in the grading system.
11. Late assignment and make-up policy. Notify the student of time limits that exist for make-up work, etc.
12. General topic outline and agenda. Provide a tentative schedule of the events in class such as reading and problem assignments, due dates on reports, essays, and class projects, and tentative exam dates.
13. The Rogers State University plagiarism statement (refer to Academic Integrity Policy).
14. The most recent ADA statement.

3.6.3.4.3 Curriculum Development

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

3.6.3.4.4 Classroom Procedures

As a professional courtesy, furniture in the classroom should be left in an orderly manner for other classes that will occupy the room. If it is necessary to rearrange the furniture for your class, please return the room to its original arrangement before leaving the classroom. The boards should be erased before leaving the classroom, projectors turned off, and computers restarted as appropriate.

3.6.3.4.5 Textbook Selection

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

textbook is being determined by a committee, the Department Head may vote as a regular faculty member of the committee. In the case of a tie, the Department Head also votes to break the tie.

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

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

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

3.6.3.4.6 Classroom Supplies

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

3.6.3.4.7 Examinations

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

3.6.3.4.8 Online Courses

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

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

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

3.6.3.5 Procedures for the Release of Student Records and Information

The process for releasing or accessing Student Records is located in the Student Code of Responsibilities and Conduct.

3.7 FACULTY ACCOUNTABILITY

A faculty member is held accountable for his or her performance in fulfilling faculty duties and in meeting the requirements of academic responsibility and University policies. Persons who accept full-time employment at the University owe their first duty and first loyalty to the University. Any other employment or enterprise in which they engage for income must be secondary to their University duties. The most immediate agents of faculty accountability are the department heads, who should maintain close and regular communication with the faculty member. Among the various mechanisms for ensuring faculty accountability, the most important include annual performance evaluations, and such periodic evaluations as those for advancement in rank. These processes have the primary function of identifying meritorious performance to be rewarded, but they also provide a means by which the University may strengthen itself, by identifying needs for improved performance.

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

For those cases where they are needed, the University has at its disposal the more drastic measures of severe sanctions.

3.8 FACULTY DEVELOPMENT AND EVALUATION POLICIES

3.8.1 Introduction

Faculty evaluation is a continuous process, both prior to and following the granting of tenure. An annual review of each faculty member's performance is the responsibility of the academic deans and the specific academic department head. A systematic procedure for accomplishing such evaluations shall be developed in each academic unit, with the participation and approval of the dean

and the VPAA. The criteria for evaluation shall be carefully and clearly stated. Specific faculty assignments within an academic unit and the specific mission of a particular academic unit may have different percentages of effort distributed across the areas of professional activity (teaching; research and creative/scholarly activity; and professional and University service and community engagement) if, in consultation with the dean and VPAA, this is determined to assist the entire University in best meeting its mission.

3.8.2 Post-Tenure Review Process

Given the dynamic nature of the various fields of knowledge, practitioners of academic disciplines are challenged to keep abreast of changes and developments within their area of expertise. Rogers State University envisions Post-Tenure Review as a means of supporting faculty in enhancing their skills and expertise by providing opportunities for professional growth and development. To this end, the performance of tenured faculty shall be reviewed in the third year after the granting of tenure and in three year cycles thereafter. The areas reviewed shall be a faculty member's teaching; research and creative/scholarly activity; and professional and University service and community engagement. As a desired outcome, Post-Tenure Review shall identify areas of faculty development needed or desired for fulfillment of professional goals and roles within their discipline and the University.

In addition, to support this aim of professional growth and development, Post-Tenure Review is designed to support Rogers State University's primary mission as a teaching institution. In serving the needs of students, the University strongly acknowledges an obligation to ensure the quality of its instruction.

All tenured faculty members of the Rogers State University faculty will have their tenure reviewed at least every three years. Tenured faculty members are expected to perform in all applicable categories in accordance with this section. The specific timing of the review process will follow the same dates outlined in Section 3.8.8 (see Faculty Development and Evaluation Process). Faculty should prepare an updated curriculum vitae covering the period from the granting of tenure with the other required documentation. An annual review may be implemented for a tenured faculty member upon recommendation by the Department Head and Dean to the VPAA.

When the review results in a finding that a tenured faculty member's performance is unsatisfactory, the faculty member shall be notified of the deficiencies in performance and must be reviewed again within one (1) year. Two consecutive (annual) unsatisfactory post-tenure reviews will be grounds for dismissal or suspension as outlined in section 3.5 of this manual.

If the initial review is unsatisfactory, the faculty member may request in writing to the Dean the formation of a Post-Tenure Review Committee no later than

November 15. The committee shall consist of at least three tenured faculty members, all from the department of the one reviewed when possible. If the department has less than three tenured faculty members, the tenured faculty within the department plus additional tenured faculty members appointed by the Dean of the College to form a group of at least three tenured faculty members will serve as the committee.

The Post-Tenure Review Committee shall meet and select a chair. The committee will review all documentation submitted by the faculty member at the time of the initial review. The chair of the committee will submit a written narrative recommendation to the Dean and the VPAA no later than January 15. (The recommendation should be signed by each member of the reviewing committee.) The VPAA will then communicate the results of the committee review to the faculty member.

3.8.3 Non-Tenured Regular Faculty Annual Evaluation

The performance of non-tenured regular faculty members shall be evaluated by March 1 each year, and the results of the evaluation shall be placed in the personnel file of the non-tenured faculty member. The non-tenured faculty member shall be given a copy of the evaluation.

3.8.4 Guidelines

Both the importance and the imperfection of a faculty development and evaluation system are duly considered in the Rogers State University scheme. It is designed within the following guidelines:

1. The Faculty Development and Evaluation System is designed to improve faculty performance.
2. The Faculty Development and Evaluation System will provide important information for promotion and tenure decisions.
3. The System utilizes several sources of data, and these sources are clearly communicated.
4. Evaluation procedures are individualized and flexible.
5. Individualization considers the institution's nature, directions, and priorities, the administrative unit's needs, and the individual's interests.
6. An annual academic performance review (Faculty Development and Evaluation Summary) is submitted for each full-time faculty member. A formal evaluation is conducted for each non-tenured member each year and for each tenured faculty member at least each fifth year.

3.8.5 Faculty Evaluation System

In addition to previously stated educational and experience requirements for appointment to various ranks, the Board of Regents of the University of Oklahoma has specified the following categories upon which academic rank and promotion in rank are based: 1) teaching; 2) research and creative/scholarly activity; and 3) professional and University service and community engagement.

The Faculty Development and Evaluation System of Rogers State University is designed to promote faculty development and to assess faculty performance on those prescribed criteria. Instrumentation of the system consists of four documents:

1. Faculty Development and Evaluation Criteria (Appendix A). This document lists criteria for evaluating faculty performance in the three categories
2. Catalog of Faculty Development and Evaluation Criteria (Appendix B). This document presents exemplars for each criterion. The exemplars are non-inclusive, but do provide examples and extend the definitions of the criteria. These exemplars should be used as guidelines and adapted according to the individual discipline area.
3. Faculty Development Plan (Appendix C). This document is an agreement for areas of emphasis for the forthcoming year
4. Faculty Development Plan-Report (Appendix D). This document is based on the items presented in the previous year's Faculty Development Plan and includes a summary of progress on identified objectives and additional accomplishments as appropriate.
5. Faculty Development and Evaluation Summary (Appendix E) "The Faculty Development and Evaluation Summary" is completed by the department head to list the education and experience of the faculty, rate the faculty member's performance in the categories of teaching; research and creative/scholarly activity; and professional and University service and community engagement, rate the faculty member's overall performance, and provide comments.

3.8.6 Evaluation Procedures

The "Catalog of Faculty Development and Evaluation Criteria" is utilized for establishing individual faculty development plans and for guiding individual faculty evaluations.

Performance in each category is weighted by negotiation between the faculty member and the department head within limits as indicated below.

Institutional emphases define the weights of each category as follows:

Category 1	Teaching	50-80%
Category 2	Research and Creative/Scholarly Activity	5-40%
Category 3	Professional and University Service and Community Engagement	10-45%
Category 4	Performance of Non-teaching or Administrative Duties (if applicable)	25-50%

All faculty are rated on negotiated criteria in Categories 1, 2, and 3, based on established limits. Those duties or assignments that result in a reduced teaching load will be considered in Category 4 and may affect the previously identified percentages. The rating on overall performance is a composite of the ratings in the categories.

The “Faculty Development and Evaluation Summary” is completed by the department head and is based upon a conference of the department head and the individual faculty member during which the relevant criteria for each category are rated. Not all criteria for each category apply to every faculty member. Relevancy of individual criteria is determined by the individual faculty member in consultation with the Department Head.

Commentary may be provided on the reverse side of the “Faculty Development and Evaluation Summary” as indicated. The “Faculty Development and Evaluation Summary” is signed by both the department head and the individual faculty member. The faculty member’s signature denotes that the evaluation has been conducted according to approved procedures. It does not necessarily mean agreement with the ratings.

A completed “Faculty Development and Evaluation Summary” and its corresponding Faculty Development Plan-Report for each full-time faculty member is submitted by the department head to the respective dean of the college for review. The dean of the college reviews the documents, provides comments, and signs both documents. The dean of the college retains a copy in the dean’s office and sends copies with all signatures to the department head. The department head retains signed copies of the documents and returns signed copies to the faculty member.

3.8.7 Evaluation Guidelines

The Faculty Development and Evaluation System of Rogers State University will be administered within the following procedural principles and guidelines.

1. Each faculty member will be evaluated on all Category 1 criteria and on criteria from other categories as determined in consultation with the

department head. However, the development plan to be composed at the beginning of the development-evaluation cycle will specify only areas the faculty and department head identify for development. These areas may be ones from Category 1 in which the faculty needs improvement as well as special tasks in other categories. It is assumed that performance on required criteria not listed in the development plan will remain stable over the evaluation cycle. Cycle-end evaluation will address both the areas listed in the development plan and the other required criteria.

2. The department head assumes that the faculty member is functioning at a level of “proficient” unless there is evidence to the contrary. For a rating lower than proficient, the head has the responsibility of presenting evidence; and for a rating higher than proficient, the faculty member has the responsibility of presenting evidence.
3. Faculty development and evaluation criteria are generally stated in minimum terms. Ratings on criteria vary according to the productivity of efforts.
4. The ratings on the evaluation scale are as follows:

Outstanding: Performance is among the best of colleagues in similar appointments in similar institutions in the respective field nationwide. On applicable criteria faculty member has recognition beyond the state.

Commendable: Performance is among the best of colleagues in similar appointments in similar institutions in the respective field statewide. On applicable criteria, faculty member has statewide recognition.

Proficient: Performance is productive, effective, and consistent with the achievement of the emphases, objectives, and interests of the institution, the administrative unit, and/or the individual.

Needs Improvement: Performance is less than adequate for achievement of the emphases, objectives, and interests of the institution, the administrative unit, and/or the individual.

Critical: Performance fails to contribute to the achievement of the emphases, objectives, and interests of the institution, the administrative unit, and/or the individual.

5. The “Faculty Development and Evaluation Summary” covers a year of performance except in certain instances; i.e., new faculty, faculty on leave, etc.
6. Activities, contributions, and involvements related to the University or to the faculty member’s educational field are of primary consideration in the

evaluation.

7. While formal evaluations of tenured faculty are required at least each third year, formal evaluations may occur more frequently at the request of either the faculty member or the department head. In years when a complete evaluation is not done, a continuation form will be submitted.

3.8.8 Faculty Development and Evaluation Process

The faculty development and evaluation process for the year includes the following:

1. **By September 15**, the faculty member revises and updates the previous year's "Faculty Development Plan-Report" as outlined in the following section entitled "Faculty Evaluation Guide". It should list any activities completed the preceding year and not previously included in the "Faculty Development Plan-Report". The faculty member forwards the revised plan to the department head.
2. **By October 1**, the faculty member and the department head meet for a year-end Evaluation. The department head should send the completed "Faculty Development Evaluation Summary", the associated "Faculty Development Plan- Report", and documentation (if applicable) to the dean of the college.
3. **By October 15**, the dean should return copies of the faculty member's evaluation documents, along with his/her comments to the department head and the faculty member.
4. **By November 1**, the faculty member and the department head complete the current year's "Faculty Development Plan-Report".

3.8.9 Faculty Evaluation Guide

1. The following documents should be used:
 - a. Faculty Development Plan-Report
 - b. Faculty Development Evaluation Summary
2. The evaluation for the preceding year should be made during September/October based on the "Faculty Development Plan-Report."
 - a. Before the conference with the department head, the faculty member should conduct a year-end self-evaluation and succinctly describe progress for each exemplar listed in the preceding year's "Faculty Development Plan-Report." A brief statement indicating whether the exemplar was fully accomplished, partially accomplished, or not addressed is appropriate.
 - b. As the faculty member formulates an overall self-rating for the

Faculty Development Plan-Report in the area of teaching, he/she should analyze progress on several exemplars and accurately combine these to give an overall rating. Overall self-evaluation with only one exemplar is not acceptable. Citing marks from a student evaluation, for example, is not adequate evidence for a rating in the area of teaching. The results from the student evaluations represent only one dimension of teaching effectiveness. Multiple methods should be used to formulate an overall self-rating. For example, results from peer-evaluations, student evaluations, ETS Major Field Achievement Tests, and other exemplars should be combined to support the rating for teaching effectiveness.

- c. In the areas of research and creative/scholarly activity and professional and University service and community engagement, evidence from several exemplars should be combined to formulate the rating in each area.
3. Both the faculty member and the department head should have copies of each of the documents.
 4. When the Faculty Development Plan-Report is complete, a conference should be scheduled between the department head and the faculty member.
 5. In the conference, the department head should review the faculty member's Faculty Development Plan-Report and make his/her own evaluation of the faculty member and mark it on the Faculty Development Evaluation Summary form. Documentation is required for ratings above or below proficient and should be attached to the evaluation forwarded to the dean.

3.9 FACULTY LOAD

University faculty members have responsibilities in the following three areas:

- Teaching
- Research and creative/scholarly activity
- Professional and University service and community engagement

The scope and variety of professional and University service will depend upon the needs of the departments, colleges, and the University at large.

Faculty load assignments will be monitored each semester by the department head, reviewed by the dean of the college, and approved by the VPAA.

3.9.1 Teaching

Instructional assignments are based upon the expertise of the faculty member and needs of the academic department. The assignments are made by the department head in collaboration with the faculty member.

3.9.2 Research and Creative/Scholarly Activity

Individual faculty research and creative/scholarly activities are defined by the professional interests of the faculty member. While the scope and nature of faculty research and creative/scholarly activity will vary among departments, University faculty shall be involved in those activities, individually or collaboratively, which advance the state of knowledge or performance levels of their respective fields. Both the pursuit of new knowledge or techniques and the application of knowledge in creative ways are valued.

3.9.3 Professional and University Service & Community Engagement

3.9.3.1 Student Advisement

Academic advisement is a very important service responsibility for faculty. Advisors are expected to assist students with enrollment, to counsel them about career options, to provide them information about deadlines and checkpoints, and to monitor their progress through programs. A recommended maximum advisement load is approximately forty (40) students.

3.9.3.2 Committees and Advisory Service

University service activities include sponsorship of student organizations, membership on ad-hoc and standing committees, consultation to other areas of the University, and participation in activities that advance the academic programs of the University.

3.9.3.3 Professional Activities

Membership in selected professional organizations appropriate to a faculty member's assignment includes involvement in professional organizations at local, state, regional, and nationwide levels, and consists of attending meetings, holding offices, and serving on committees.

3.9.3.4 Community Engagement

Service to the community at large occurs when a faculty member contributes professional expertise pro bono to the activities of government, public schools, or other public and service agencies. The

contribution may be in, but is not limited to, the following roles: consultant, program participant, member of a board or task force, or advisor.

3.10 DEPARTMENT HEAD LOAD

The department head has the dual role of faculty member and chief administrator of the department. It is important that a proper balance be achieved between the department head's faculty assignment and administrative duties.

3.10.1 Teaching Load

The teaching load for department heads is typically 6 hours per long semester and 3 hours per summer session.

3.10.2 Administrative Duties

The department head is directly responsible to the dean of the respective college and has the charge of providing collegial leadership to the faculty of the academic department. This leadership is in five primary areas.

3.10.2.1 Instructional Program Management

1. Plans departmental course offerings to serve the department majors and provides appropriate service to other clientele (general education, other majors, off campus, and continuing education).
2. Prepares the departmental course schedule each regular semester and each summer term; identifies and recommends qualified faculty; coordinates the preparation and revision of syllabi and instructional objectives of the course of study.
3. Coordinates advisement of students in the department.
4. Coordinates strategic planning efforts and assessment plans for programs offered within the department.
5. Evaluates learning in the department through student evaluations of instruction, program review, and assessment of students.
6. Manages problems and attempts to resolve departmental conflicts.
7. Resolves problems related to closed classes during enrollment and manages enrollment in courses offered by the department.
8. Approves substitutes to cover classes when faculty must be absent.

9. Coordinates orders with the bookstore for textbooks and required student supplies.

3.10.2.2 Personnel Management

1. Coordinates the recruitment and selection of new faculty to maintain a balanced and diversified pool of instructional faculty.
2. Coordinates and participates in the annual faculty evaluation process and assists faculty in preparing their respective portfolio for tenure and promotion.
3. Assigns faculty responsibilities in the areas of instruction, advisement, and departmental service (facilities and equipment management, recruitment, etc.).
4. Fosters faculty development by providing appropriate feedback and assistance in obtaining professional developmental activities.
5. Acts as a communication link between the faculty and the administration.
6. Fosters good morale in the department through a positive outlook and positive relations among the members of the department.
7. Advocates appropriate recognition of faculty in the department.
8. Supervises and evaluates support staff as appropriate.
9. Recruits and supervises student workers and approves time sheets.

3.10.2.3 Financial and Facilities Management

1. Prepares and submits an annual department budget.
2. Manages and controls the department budget by allocating funds as needed, prepares requisitions, and verifies purchase receipts.
3. Supervises the use of department space and requests maintenance of space.
4. Supervises the equipment and instrumentation facilities of the department.
5. Conducts an annual inventory of the equipment and instrumentation assigned to the department.

6. Coordinates resources used jointly with other departments.

3.10.2.4 Department and Program Development

1. Coordinates the establishment of faculty and departmental goals in accordance with the University mission.
2. Coordinates departmental planning for development of quality instruction, research and creative/scholarly activities, facilities, equipment, personnel, and general progress.
3. Develops and recommends curricula for majors and minors in disciplines represented in the department.
4. Fosters good teaching by providing feedback from instructional evaluations.
5. Recruits students by collaborating with Admissions, by corresponding with prospective students, by hosting visiting students, and by preparing recruitment materials.
6. Coordinates regular program review and assessment activities in the department.
7. Supervises periodic follow-up studies of current students and graduates.

3.10.2.5 Academic Leadership

1. Encourages research and creative/scholarly activities among the faculty.
2. Encourages requests for appropriate external funding for the department.
3. Monitors and advances departmental mission and goals.
4. Communicates departmental needs within the University.
5. Engages in positive public relations by communicating information that improves the department's image and reputation.

3.11 DEPARTMENT HEAD SELECTION AND RETENTION

3.11.1 Selection Process

Both departmental faculty and academic administration are involved in the

process of selecting department heads. A department head may be appointed from within the University or from the result of a search and interview process as determined by the VPAA in consultation with the departmental faculty and dean. Searches outside the University will be handled in accordance with established faculty search procedures, including the role of faculty in searching for, interviewing, and recommending candidates. The steps for appointment within the University are as follows:

1. The dean will meet with the faculty of the department to discuss the role, responsibilities, and compensation of the department head. The faculty and dean will develop a written description of the qualifications necessary for a head of that department from duties and responsibilities outlined in the *Academic Policies and Procedures Manual*.
2. The dean will ask the faculty to submit nominations of candidates.
3. The dean will interview the nominees to determine their willingness to serve and their leadership philosophies.
4. The faculty of the department will meet to nominate one, two, or three acceptable candidates, identifying the strengths of each candidate and rank-ordering the nominees (if submitting more than one). The decision will be reported in writing to the dean.
5. The dean will submit a written recommendation on the faculty's nominee(s) to the VPAA.
6. Within two weeks of receipt of the dean's recommendation, the VPAA will forward the dean's recommendation and his/her written recommendation on the faculty's nominee to the President.
7. Within two weeks of receipt of the VPAA's recommendation, the President will notify the VPAA of his/her decision.
8. If the recommendation is not approved by the President, the process will be repeated, beginning with Step 4.

Any situation which is not covered in the aforementioned selection procedure will be handled cooperatively by the departmental faculty and the dean.

3.11.2 Terms of Appointment

Because the University operates on a year-round basis, the head normally is appointed on a 12-month basis. The length of the initial and subsequent appointment as department head shall be fixed at three years. Interim appointments are generally for one year and evaluated annually.

3.11.3 Evaluation of the Department Head

Department Heads will be evaluated annually by their dean and departmental faculty. For evaluating the administrative effectiveness of the head, the dean solicits formal input from the entire faculty and staff of the department.

These evaluations, together with the dean's evaluation of the department head's performance, will be discussed with the department head and considered in future decisions regarding reappointment, rank, and salary.

3.11.4 Replacement of Department Heads for Cause

If the departmental faculty believe a head should be replaced prior to the end of the appointment period, a request containing the signatures of sixty percent of the regular faculty who have taught in that department for three or more semesters may be submitted to the dean. After consultation with departmental faculty, the dean will determine whether or not the request is in the best interest of the department. If the dean disagrees, the decision and justification will be submitted in writing to the faculty and the VPAA. If the dean agrees, he/she will, with the written approval of the VPAA, initiate the selection process immediately.

If the department head's dean believes that the department head should be replaced prior to the end of the appointment period, the dean shall consult with the faculty and, in writing, notify the VPAA of the reasons for seeking a new department head. The written notification will state whether such action is supported by a majority of the faculty. If the VPAA concurs with the dean's recommendation, the VPAA will seek the President's approval to begin a new selection. If the President concurs, the faculty of the department will be notified that a selection process will begin.

3.12 POLICIES AFFECTING FACULTY AND DEPARTMENT HEAD LOAD

3.12.1 Calculation of Teaching Load

Lecture – 1 Carnegie clock hour per week = 1 semester hour unit

Laboratory – 2 Carnegie clock hours per week = 1 semester hour unit

The load status of classes listed as arranged courses, directed readings, independent studies, or departmentally specific courses will be evaluated by the department head, the dean, and the faculty member. Such courses may be judged by the same enrollment considerations applied to other courses.

Independent study courses are discouraged and no faculty member may teach more than 3 students during the entire academic year by this method. Faculty

members teaching independent studies courses do not receive additional compensation. Faculty members teaching arranged courses, directed studies or departmentally specific courses will not be asked to teach a course without proper compensation. Arranged classes, departmentally specific courses, or directed studies courses will not be taught unless adequate enrollment is obtained.

3.12.2 Office Hours

A full-time faculty member is required to schedule eight office hours per week. These hours will be spread over at least four days each week. In addition, a faculty member is expected to be available additional hours by appointment, if necessary.

Faculty with clinical and laboratory responsibilities may submit a request to the department head to include up to a maximum of four hours toward the office hour requirement. The department head, dean, and vice president for academic affairs must approve the request prior to the semester or academic year in which the request is to be effective.

Faculty teaching on-line classes may deduct one (1) hour of office hours for each on-line class that they teach. However, they must include in their syllabus a statement that they will answer all student e-mails from their class in an expedient manner. Most questions will be addressed within 12 hours and all should be answered within 24 hours, except for weekends, holidays, and extenuating circumstances.

During the summer semester, for each three- to five-hour class, two office hours will be posted per week. Those teaching only on-line during the summer will not be expected to keep office hours on campus. However, they must, again, include a statement in their syllabi that they will strive to answer all student e-mails from their class within 24 hours, except for weekends, holidays, and extenuating circumstances.

Adjunct faculty will set aside at least one-half hour either before or after class once a week in order to be available to students.

3.12.3 Absences from Duty

When a faculty member is to be absent from an assigned responsibility, he/she must file a statement with the department head prior to the absence containing the reason for absence and provisions made to cover the responsibilities.

3.13 SABBATICAL LEAVE POLICY

Sabbatical leaves of absence are among the most important means by which an

institution's academic program is strengthened, a faculty member's teaching effectiveness enhanced, and scholarly usefulness enlarged. The major purpose is to provide opportunity for continued professional growth and new or renewed intellectual achievement through study, research, writing, and training.

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

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

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

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

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

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

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

3.13.1 Conditions of Award

A full sabbatical leave will be for one academic year at one-half salary or one semester at full salary. Persons who qualify for less than full sabbatical may be awarded a sabbatical on a proportional basis. Sabbatical leaves shall not be used as a means of augmenting personal income. The sabbatical program requires that persons on sabbatical devote full-time to the scholarly activity for which the sabbatical is granted and will receive no salary or stipend from sources

other than the University, except that, with University approval, (1) persons on sabbatical at less than full salary may engage in other scholarly activity consistent with that for which the sabbatical is granted and receive salary, stipend, or honorarium from other sources in such amounts that total salary stipend, and honorarium do not exceed the annual income normally earned, and (2) persons on leave may receive grants from other sources for travel and research expenses incident to their scholarly activity.

Individuals receiving sabbatical leave shall enter into a written agreement to return to the service of the University and remain for a number of months equal to four times the number of months of full-time equivalent salary (example: One half (1/2) salary x ten (10) months = five (5) full-time months; the number of months to return to the University is five (5) full-time months x four (4) = twenty (20) months) or to repay the University the amount of salary received while on sabbatical leave, unless released from the obligation by the Board of Regents of The University of Oklahoma. If the individual returns to the University for only part of the time required, the amount to be paid the University shall be proportionally reduced. The University shall require any faculty member or administrator who takes a sabbatical leave to give a bond payable to the State of Oklahoma conditional on return to the University at the close of the sabbatical.

At the termination of the sabbatical, and not later than two months after returning to the campus, the individual shall submit a report of the activities undertaken to the VPAA through the department head and the dean. The report will be used to evaluate future applications for sabbaticals of faculty members who have been granted one or more sabbaticals.

3.13.2 Eligibility

Faculty members or administrators are eligible for full sabbatical leaves when they have been full-time employees of the University for six academic years. In order to qualify for a prorated sabbatical, the individual must have been a full-time employee of the University for a minimum of two academic years. For the purpose of determining eligibility for a sabbatical leave, only time spent on a sabbatical is considered as full-time employment; however, time spent on leave without pay is not considered full-time employment. A faculty member or administrator is eligible for a subsequent full sabbatical after six years following any sabbatical leave grant whether full or partial.

3.13.3 Application

A faculty member or administrator shall make formal application for a sabbatical leave which includes the reasons for requesting the sabbatical leave, the activities planned during the sabbatical, and a schedule of the use of time while on the sabbatical leave. The application should be submitted to the President of the University through the appropriate department head, dean, and VPAA. The

department head, dean, and Vice President shall each include a recommendation regarding the sabbatical leave. The decision for recommendation of a sabbatical leave shall be based on the following criteria:

- a) individuals presenting evidence of the highest critical need in order to maintain academic effectiveness;
- b) total years of academic or professional service at the University;
- c) potential contribution to an academic or professional discipline;
- d) length of remaining service to the University;
- e) possession of a terminal degree in the teaching field assigned; or pursuance of a terminal degree in a teaching field in which there is a shortage of qualified faculty.

3.14 EMERITUS STATUS

The Board of Regents of the University of Oklahoma at its discretion may honor recommendations of presidents granting retired faculty members emeritus status and title after retirement. When members of the faculty retire under honorable conditions, they may be entitled to emeritus status and to the use of their last title emeritus (e.g., "President Emeritus," "Professor of History Emeritus," etc.). Retired faculty members' emeritus status and title shall be wholly honorary and does not entitle them to compensation of any kind. Emeritus status shall apply only in cases where the faculty member has been in the service of the University under the jurisdiction of this Board for at least ten years.

Emeritus status will entitle faculty to free library privileges.

Other University positions may be considered for emeritus status upon approval by the President.

4.0 ACADEMIC POLICIES

4.1 GRADING POLICY

In accordance with the Oklahoma State Regents for Higher Education Grading Policy, the following types of grading entries with respective definitions will be used for institutional transcript notations:

4.1.1 Grades Used in the Calculation of Grade Point Average

<u>Grade</u>	<u>Note</u>	<u>Grade Point Per Hour</u>
A	Excellent	4
B	Good	3
C	Average	2
D	Below Average	1
F	Failing	0

4.1.2 Other Symbols

I

An incomplete grade may be used to indicate that additional work is necessary to complete a course. It is not a substitute for an “F,” and no student may be failing a course at the time an “I” grade is issued. To receive an “I”, the student should have satisfactorily completed 70 percent of the course work for the semester but be unable to complete the remaining work due to extenuating circumstances. In order for an “I” to be awarded, a contract, signed by the student and faculty member, must be on file in the associated department. If the contract is not fulfilled within the allotted timeframe, the instructor has the option of allowing the “I” to stand or awarding an “F”. An “I” is GPA neutral.

AU

Audit status is used for the student not interested in obtaining a course grade, but who is enrolled simply to gain course information. An “AU” is GPA neutral. The allowable time to change an enrollment status from audit to credit or credit to audit is within the first five class days of a regular semester or within the first three days of the summer term. Students changing their enrollment status from audit to credit must meet institutional admission/retention standards.

N

The “N” is an indicator that the instructor did not submit the semester grade to the Registrar by the appropriate deadline. The “N” must be replaced by the appropriate letter grade prior to the end of the subsequent semester. An “N” is GPA neutral.

W

Withdrawals transacted during the first ten days of a regular semester or during the first five days of a summer term will not be recorded on the student transcript. A “W” will be recorded on the transcript for all withdrawals occurring during the third through the twelfth week of a regular (fall or spring) semester and during the second through sixth week of a summer term. No course withdrawals, including complete withdrawals, are permitted during the last four weeks of the regular term or the last two weeks of the summer term. These deadlines are for regularly scheduled full-term courses. All other courses will have proportional withdrawal timelines. A “W” is GPA neutral.

Student/s cannot be graded with a “W” unless they have initiated a withdrawal during the proper date guidelines as listed above.

AW

Administrative Withdrawal may be assigned by the Office of Academic Affairs to indicate that a student has been “involuntarily” withdrawn from class(es) after the institution’s drop/add period for administrative or disciplinary reasons. Such withdrawals must follow formal institutional procedures. An “AW” is GPA neutral.

P

The “P” grade is neutral indicating minimal course requirements have been met and credit has been earned. It may also be used to indicate credit earned through advance standing or CLEP examinations. Although the “P” grade is neutral, it is counted in the total number of attempted hours for retention and the total number of attempted and earned hours for graduation.

NP

The “NP” grade is neutral and indicates that a student did not meet minimum requirements in a course designated for P/NP grading. Although the “NP” grade is neutral, it is counted in the total number of attempted hours for retention and the total number of attempted and earned hours for graduation.

4.1.3 Military Leave

Students called to military duty after the completion of twelve (12) weeks or more of the sixteen (16) weeks of a semester who are passing in their subjects at the time they are called shall be given credit for the full semester’s work.

4.2 CODE OF ACADEMIC CONDUCT

4.2.1 General Provisions

4.2.1.1 Basic Principle of Honesty

Honesty is a fundamental precept in all academic activities, and those privileged to be members of a university community have a special obligation to observe the highest standards of honesty and a right to expect the same standards of all others. Academic misconduct in any form is inimical to the purposes and functions of the University and therefore is unacceptable and rigorously proscribed.

4.2.1.2 Definitions

4.2.1.2.1 Academic Misconduct

Any act which improperly affects the evaluation of a student's academic performance or achievement. The following terms illustrate but do not delimit or define academic misconduct:

- a) Cheating: the use of unauthorized materials, methods, or information in any academic exercise, including improper collaboration;
- b) Plagiarism: the representation of the words or ideas of another as one's own, including:
 - 1) direct quotation without both attribution and indication that the material is being directly quoted; e.g. quotation marks;
 - 2) paraphrase without attribution;
 - 3) paraphrase with or without attribution where the wording of the original remains substantially intact and is represented as the author's own;
 - 4) expression in one's own words, but without attribution, of ideas, arguments, lines of reasoning, facts, processes, or other products of the intellect where such material is learned from the work of another and is not part of the general fund of common academic knowledge;
- c) Fabrication: the falsification or invention of any information or citation in an academic exercise;

- d) Fraud: the falsification, forgery, or misrepresentation of academic work, including the resubmission of work performed for one class for credit in another class without the informed permission of the second instructor; or the falsification, forgery or misrepresentation of other academic records or documents, including admissions materials and transcripts; or the communication of false or misleading statements to obtain academic advantage or to avoid academic penalty;
- e) Destruction, misappropriation, or unauthorized possession of University property or the property of another;
- f) Bribery or intimidation;
- g) Assisting others in any act proscribed by this Code; or
- h) Attempting to engage in such acts.

4.2.1.2.2 Course Dean

The dean of the college in which the academic unit offering the course at issue is assigned.

4.2.1.2.3 Code

The Code of Academic Conduct of Rogers State University.

4.2.1.2.4 Date of Service

- a) When service is in person, the date the notice is actually delivered to the student, as noted on the return copy;
- b) When service is by mail, the date determined as follows:
 - 1) if notice is “signed for,” the date the notice was “signed for” as indicated on the return mail receipt; or
 - 2) if notice is not “signed for,” the date of return to the VPAA of the mail receipt, unless notice was sent to an address other than that last provided by the student to the Office of Admissions as his or her current address.

4.2.1.2.5 Instructor

The faculty member or other person primarily responsible for instructing a particular course.

4.2.1.2.6 Regular Class Day

Any day, Monday through Friday, on which the University holds regularly scheduled classes, or regularly scheduled final examinations, except for Intersession classes.

4.2.1.2.7 Student's Dean

The dean of the college to which the student has been admitted.

4.2.1.3 Responsibility for Knowing the Code

It is the responsibility of each instructor and each student to be familiar with the definitions, policies, and procedures concerning academic misconduct and unfamiliarity with the Code shall not alter any rights or responsibilities provided herein.

4.2.2 Reporting Academic Misconduct

4.2.2.1 Who May File

Any University administrative, faculty, or staff member may bring a complaint of academic misconduct by submitting a written report as provided hereafter. Students who identify an act of academic misconduct should report that act to an administrative, faculty, or staff member so that a complaint may be filed.

4.2.2.2 Investigation of Misconduct

Before imposing a grade penalty or filing a complaint of academic misconduct, the faculty or staff member shall initiate a preliminary inquiry to determine whether misconduct has occurred. During the course of this inquiry, the faculty or staff member may discuss the matter with the student suspected of misconduct and with others who may have relevant information.

4.2.2.3 Action by Instructor: Admonition

4.2.2.3.1

An Instructor may conclude that an incident that meets the definition of misconduct under Sec. 4.2.1.2.1 nevertheless merits an admonition rather than a disciplinary sanction as defined in Section 7. In particular, an Instructor might conclude (but is not required to conclude) that the incident is more appropriately treated as an instructional rather than a disciplinary matter. When the Instructor concludes that an admonition is the more appropriate

action, the Instructor may elect to reduce a student's grade and/or require additional, remedial academic work without first filing a charge of academic misconduct, subject to the following limitations and conditions:

- a. The admonition option is intended for assignments and examinations that do not involve a semester-long activity and when the incident in question is not of an egregious nature. The instructor may not use the admonition option for an incident of misconduct on a final examination, a term paper, or term project;
- b. An Instructor who elects to use the admonition option may impose no grade penalty greater than loss of all credit for the assignment; and,
- c. An Instructor who elects to use the admonition option must do the following before imposing the grade reduction or other requirement:
 - 1) inform the student of the nature of and basis for the misconduct;
 - 2) give the student an opportunity to explain;
 - 3) admonish the student and explain the grade reduction or other requirement to be imposed;
 - 4) where appropriate, instruct the student to resolve any confusion the student may have had regarding what constitutes proper academic conduct; and
 - 5) inform the student how to appeal the decision. Notice of procedures for appeal shall be provided in writing; such notice shall be presumed adequate if provided in the course syllabus with a reference to the information published by the Vice President for Academic Affairs on the consequences of accepting the admonition and the procedures for appeal.

4.2.2.3.2

Unless the VPAA imposes a disciplinary sanction as described below, a student who accepts an admonition and resulting grade penalty under this subsection shall not be deemed to have admitted guilt for an act of academic misconduct; provided, the record of the admonition may be used in any subsequent academic misconduct proceeding, as appropriate, to establish the student's prior familiarity with the fundamental rules of academic integrity.

4.2.2.3.3

The Instructor shall notify the VPAA of the admonition, ordinarily within fifteen regular class days of discovery. The VPAA shall forward notice of the admonition to the Course Dean and the Student's Dean, ordinarily within fifteen class days of receipt of notice from the Instructor.

4.2.2.3.4

The student may contest the admonition by contacting the VPAA within fifteen regular class days from the date of the Instructor's notice to the student and scheduling a meeting as provided in Section 4.2.3

4.2.2.3.5

In cases of repeated offenses or otherwise as appropriate, the VPAA may announce a disciplinary penalty as provided in Section 7. Prior to imposing such a sanction, the VPAA shall send notice to the student, ordinarily within fifteen class days of receipt of notice from the instructor but in no case more than thirty regular class days after discovery of the incident. Notice of the VPAA's intent to impose a sanction shall be treated as a "complaint" for purposes of notice and hearing as provided in Sections 4.2.3 and 4.2.4 of this Code, and the disciplinary sanction shall not be imposed until the student is permitted the opportunity to respond as provided in Sections 4.2.4 and 4.2.5 of this Code.

4.2.2.3.6

Provided, where the VPAA announces a complaint, the student may contest the complaint and any fact alleged therein by contacting the VPAA within fifteen regular class days of receiving notice of the proposed disciplinary sanction, notwithstanding the student's prior acceptance of the admonition.

4.2.2.3.7

If the admonition or complaint is contested, the student retains all rights afforded under this Code to any student against whom a complaint is filed, including without limitation the right to representation, hearing, appeal, and the assignment of a neutral grade while the matter is pending.

4.2.2.4 Notification of the Vice President for Academic Affairs

All complaints shall be made in writing, ordinarily within fifteen regular class days of discovery, to the VPAA. This written complaint must contain the following information and may be more specific than what was provided in Section 4.2.2.3.3. Complaints shall include the name of the student, the class in which the misconduct occurred if applicable, the date

on which the incident was discovered, a brief description of the incident, and the grade penalty to be imposed if applicable.

4.2.3 Notice to the Student

4.2.3.1 Notifying the Student

Ordinarily within fifteen regular class days of receipt from the complaining party, but in no event more than thirty regular class days from discovery of the incident, the Vice President for Academic Affairs shall notify the student of the complaint in writing, which shall be served on the student in person or by mail.

4.2.3.1.1 Contents of Notice

The notice shall include a summary of the allegations, notification of the mandatory meeting described in Section 4.2.4.1, and a description of the student's right

- a) to a hearing with adequate notice; and
- b) to have counsel by an attorney at the student's expense;
- c) and to refrain from further discussing the matter or from making any further statement regarding the matter.

4.2.3.1.2 Receipt of Notice by Mail

When service is by mail, the VPAA shall enclose the notice of charges in an envelope, postage prepaid, and mail the letter by certified mail, return receipt requested, to the student at the student's permanent or local address (as appropriate) on file in the Office of the Registrar. When the above steps have been taken, the return receipt, whether signed or not, shall be deemed sufficient evidence that the student has been properly served and it shall be presumed that the student has received and read the notice.

4.2.3.2 Scheduling of Conference with the Vice President for Academic Affairs

Within two regular class days of the date of service, the student shall contact the VPAA and schedule a conference to discuss the matter as provided in Section 4.2.4.1.

4.2.3.3 Default

If the student fails to respond within the prescribed time or fails to meet as directed, the student shall be in default and thereby waives the right to all University hearings, appeals, and challenges. In the event of a default at this point, the VPAA shall notify the Student's Dean, who shall confirm imposition of grade penalty and make recommendations for disciplinary sanctions.

4.2.3.4 Continued Enrollment Pending Resolution

A student may continue his or her regular enrollment in the University pending administrative resolution of misconduct allegations. However, while a question of academic misconduct exists, a student may not graduate or receive a transcript without approval of the VPAA or his/ her designee and any transcript released during such period shall bear a notation that academic misconduct proceedings are ongoing.

4.2.4 Response by Student

4.2.4.1 Conference Between Student and Vice President for Academic Affairs

A student charged with academic misconduct shall meet with the VPAA or his or her designee. The VPAA shall describe the academic misconduct process, possible sanctions, and the student's rights and responsibilities under this Code. At the conclusion of the conference, the student may:

- a) deny the charges--If the student denies the charges and wishes a hearing to contest them, the student must submit a written request for such a hearing to the VPAA within fifteen regular class days of the conference with the VPAA. The VPAA shall forward the request to the Academic Misconduct Board (AMB) within fifteen regular class days. Failure to request a hearing within the prescribed time shall waive the student's right to any University hearings, appeals, or challenges of the charges or of any sanctions imposed as a result of the academic misconduct.
- b) admit the charges--If the student admits the charges, the VPAA will inform the Student's Dean, the Course Dean, and the Instructor; also, the Department Head of the Instructor's academic unit, where applicable. The Instructor shall thereafter impose a grade penalty, and the Student's Dean shall make his or her recommendation to the VPAA for further sanctions, if any. Provided, however, that if the student admits the charges but wants to confer with the Student's Dean or to submit written statement concerning extenuating circumstances

affecting disciplinary sanctions, the student may do so only if done within five regular class days of the date of admission of the charge. Failure to do so within the five regular class days will result in the Dean making his or her recommendation without such information.

4.2.4.2 Optional Meeting Between Student and Person Initiating the Charge

Nothing herein is intended to preclude the student from discussing the incident with the person initiating the charge, if that person agrees; in fact, such a discussion is encouraged. However, once a charge is filed, such a meeting should be scheduled only after the student and the complainant confer with the Vice President for Academic Affairs, who will arrange the meeting if agreeable to the parties involved. It should be understood that any such meeting shall not extend the period of time for requesting a hearing. If, after the student meets with the charging party, the student wishes:

- a) To contest the charges and has not already done so, the student must comply with the requirements for submitting the written request to the VPAA, as set forth in Section 4.2.4.1(a) above.
- b) To admit to the charges and has not already done so, the student may do so by so informing the VPAA, who will then initiate the action as outlined in Section 4.2.4.1(b) above.

4.2.4.3 Withdrawal of Charge

It should be understood that the person initiating the charge of academic misconduct may withdraw the charge at any time prior to commencement of a hearing by the Academic Misconduct Board or, if no hearing is held, imposition of a final sanction. This is affected by sending written notice to the personnel who notified the VPAA of the charge in the first place. The personnel shall then inform, in writing, the VPAA and any others who need to know that the charge has been withdrawn.

4.2.5 Academic Misconduct Hearings

4.2.5.1 Academic Misconduct Board

An Academic Misconduct Board (AMB) consisting of one student and two faculty members will hear each case. Membership of the Board shall be drawn from the Academic Integrity Committee.

4.2.5.2 Scope of Hearing

The focus of inquiry shall be the guilt or innocence of those accused of academic misconduct. The AMB will consider the information and arguments presented, make findings of facts of matters in dispute, and determine whether the student did engage in academic misconduct. The AMB will also hear all evidence and argument concerning extenuating circumstances that may affect decisions about what disciplinary sanctions, if any, should be imposed.

4.2.5.3 Hearing Procedures

- a) Once a request for a hearing has been received by the VPAA, the AMB shall convene within twenty regular class days, excluding Intersession, except that the VPAA or his or her designee may grant extensions of this time upon receipt of a request from the student, the complainant, or the Course Dean.
- b) If the VPAA grants the request, release of transcripts during the extension shall be permitted as follows:
 - 1) If the request was made by the student, the provisions of Section 4.2.3.4 regarding graduation and the release of transcripts shall remain in effect.
 - 2) If the request was made by the complainant or the college, notwithstanding the provisions of Section 4.2.3.4, during the extension period the student may receive transcripts without notation of the pending case.
- c) Written notification of a hearing must be distributed by the VPAA to the AMB, Dean, and parties involved in the hearing at least five regular class days in advance of the hearing date, and should include:
 - 1) The authority for the hearing and the hearing body;
 - 2) Reference to the specific rule or rules involved;
 - 3) Date, time, nature, and place of the hearing;
 - 4) A brief factual statement of the charges and issues involved.
- d) Students who fail to appear after proper notice will be deemed to have admitted guilt to the charges against them.
- e) Parties must provide, upon request by the VPAA, the AMB, or the opposing party, the name of any counsel who will be present at the

hearing and a list of witnesses to be called in the hearing, along with the nature of their expected testimony, and must allow examination of any documents to be submitted in the hearing. Failure to disclose such information in a reasonable and timely manner may be grounds for delaying the hearing, suspending the provisions of this section concerning transcripts and graduation, and, in the case of repeated or egregious noncompliance, dismissing the case or declaring guilt by default. The AMB holding the hearing may adopt such other procedural rules as it deems necessary and proper to expedite hearings and promote fairness.

- f) Hearings will be closed to the public and shall be confidential, although an open hearing may be held at the discretion of the AMB, if agreed by all parties.
- g) The presiding officer of each AMB shall exercise control over the hearing to avoid needless consumption of time and to prevent harassment or intimidation.
- h) Hearings shall be recorded.
- i) At the beginning of the hearing, any party may challenge any AMB member, one at a time, on the grounds that he or she is unable to give the student a fair and impartial hearing. The remaining members of the hearing body shall decide the challenge by secret ballot. However, if the entire AMB is challenged, the entire AMB shall rule on the challenge. The hearing will continue if at least two faculty members and one student remain.
- j) Witnesses shall be asked to affirm that their testimony is truthful.
- k) Prospective witnesses other than the complainant and the student may be excluded from the hearing during the testimony of other witnesses. All parties, the witnesses, and the public shall be excluded during AMB deliberations.
- l) The burden of proof shall be upon the complainant, who must establish the guilt of the respondent by a preponderance of the evidence.
- m) Formal rules of evidence shall not be applicable in these proceedings. The presiding officer of each AMB shall give effect to the rules of confidentiality and privilege.
- n) The AMB shall not receive or consider arguments about the legality of any provision under which a charge has been brought or the legality of the procedures under which the hearing is proceeding. Such questions should be presented in writing to the VPAA.

- o) All parties shall have reasonable opportunity to question witnesses and present information and argument deemed relevant by the AMB.
- p) Final decisions of the AMB shall be by majority vote of the members present and voting. The final decision of the AMB shall contain a written statement setting forth with reasonable particularity, findings of fact, the decision on each of the charges, its recommendations for disciplinary sanctions, and the reasoning behind these decisions. These materials shall be transmitted as described in Section 4.2.5.4, together with the AMB's record of the proceedings and a summary.
- q) Depending upon the gravity of the case, the AMB, at its discretion, may require the parties to submit written briefs and responses, including supporting documents, setting forth the respective positions dealing with all issues.

4.2.5.4 Results of the Hearing

4.2.5.4.1 Dismissal of Charges by the AMB

If the AMB finds that the facts do not support the allegation, the charges will be dismissed. The chair of the AMB shall transmit the decision in writing to the appropriate deans and the VPAA within fifteen regular class days of the conclusion of the hearing. All other AMB records of the case shall be destroyed after twenty regular class days of such transmittal. The VPAA shall then notify the student in writing of the decision of the AMB. The matter is then ENDED.

4.2.5.4.2 Finding of Guilt by the AMB

If the AMB finds that the facts support the allegations against the student, the student shall be found guilty. After a finding of guilt, it is the duty of the AMB to recommend appropriate disciplinary sanctions. Some relevant factors the AMB may consider in determining a sanction recommendation include, but are not limited to:

- a) The facts that have been presented to the AMB at the hearing;
- b) Any mitigating or extenuating circumstances that have been presented by any party during the hearing;
- c) Prior academic misconduct on the part of the student.

After weighing all factors it considers relevant, the AMB shall recommend disciplinary sanctions to the Student's Dean. The AMB's findings and recommendations shall be made in writing within fifteen regular class days of the conclusion of the hearing.

4.2.5.4.3 Dean's Action

Based upon the facts of the case and any relevant factors, the Student's Dean shall determine if any disciplinary sanction is to be recommended to the VPAA. If the recommendation of the Student's Dean differs from that of the AMB, the Student's Dean shall provide in writing the reasoning for his or her recommendation.

The Student's Dean shall, within fifteen regular class days of receipt of the AMB's report, send to the VPAA in writing:

- 1) the AMB's record of proceedings, including a summary;
- 2) the written decision and recommendation of the AMB holding any hearing; and
- 3) the recommended sanction of the Student's Dean.

Within fifteen regular class days of receipt of the AMB's report, the Student's Dean shall also notify the appropriate parties of the AMB's findings and recommendations. These parties may include the student, the counsel for the student (if any), the Course Dean, (if different from the Student's Dean), the faculty or staff member who notified the Course Dean of the incident, the counsel for the University, and the VPAA.

4.2.6 Grade Penalties

4.2.6.1 Imposition of Grade Penalties

An Instructor has an obligation to impose grade penalties once the charge is upheld. These penalties may include, but are not limited to:

- a. Requiring the student to complete a substitute assignment or examination.
- b. Awarding the student a failing grade on the examination or paper or on those portions of it on which the student was engaged in academic misconduct.
- c. Lowering the student's final grade in the course or award a failing grade of "F" in the course.

The weight of the grade penalty as calculated in the final grade may exceed the weight of the work in which the misconduct occurred.

4.2.7 Disciplinary Sanctions

The disciplinary sanctions noted below may be recommended by the AMB and/or the Student's Dean to the VPAA. The examples are illustrative of each category of disciplinary sanctions, are not intended to be totally inclusive, and omission of a particular act shall not be construed as indicating that such an act is acceptable or appropriate. Furthermore, the acts described do not need to result in the disciplinary sanctions noted if judgment suggest otherwise.

4.2.7.1 Censure

A written reprimand for violation of acceptable standards of academic conduct. This action takes formal notice of the student's act of academic misconduct and provides a formal warning that a further act of academic misconduct may result in severe action. Censure shall not be noted on a student's transcript, but will be noted in the Student Affairs Office. Copies of the letter of censure shall be provided to the student, the Student Affairs Office, the Student's Dean, the Course Dean (if different than the Student's Dean), and, if applicable, the head of the department in which the course is taught, and the Instructor. The sort of academic misconduct which might result in censure might be a case in which a student has copied on an examination and in which it seems that the cheating was the result of momentary panic. There would be no reason to suppose that the student had planned to cheat and there would be no prior record of academic misconduct.

4.2.7.2 Community Service Alternative

In appropriate cases, a student may be allowed to perform voluntary community service in lieu of suspension and may, upon satisfactory completion, receive a lesser sanction. No student may be compelled to perform community service as part of any sanction imposed under this Code. In the event that a student refuses community service the student will receive the harsher sanction of limited or permanent notation suspension. In the event that a student accepts a community service alternative, the terms and duration of such service shall be approved by the VPAA. The sort of academic misconduct which would result in the offer of the community service option would be a case in which mitigating factors counsel against the imposition of a limited notation suspension.

4.2.7.3 Limited Notation Suspension

Suspension from classes and other privileges for a period of not less than one full semester. A notation of suspension for academic misconduct shall be made on the student's transcript. However, in the case of limited notation, such transcript notation shall be removed upon the student's graduation from the University or four years from the date of the suspension, whichever comes first.

The sort of academic misconduct that might result in limited notation suspension might be a case of classroom cheating involving some prior planning, or some cases of plagiarism in which it seems that the plagiarism may have occurred partially because of mitigating circumstances.

4.2.7.4 Permanent Notation Suspension

Suspension from classes and other privileges for a period of not less than one full semester. A notation of suspension for academic misconduct shall be made on the student's transcript. In the case of permanent notation, there will be no time limit to such transcript notation. The sort of academic misconduct which might result in permanent notation suspension might be a case in which knowing and substantial plagiarism has occurred, or a case of classroom cheating in which it is determined that extensive collaboration or planning was involved, or other cases substantially involving one or more aggravating factors such as planning, collaboration, or concealment.

4.2.7.5 Expulsion

Termination of student status for an indefinite period, usually intended to be permanent. A notation of expulsion for academic misconduct shall be made on the student's transcript. Such notation shall be a permanent notation. If a student is reinstated after an expulsion, it is only after a complete reconsideration of his or her case. The sort of academic misconduct which might result in expulsion might be a case in which the student has been involved in a prior incident of academic misconduct; the student has submitted to the University forged documents such as transcripts; a student has taken someone else's examinations or arranged for someone else to take his/hers; commercial term papers have been submitted; examinations, grade books, grade sheets, or other instructor possessions have been stolen, copied, or otherwise utilized; or destruction of the academic work of others or intimidation has been used in an attempt to influence the academic process.

4.2.7.6 Records of Sanctions and Admonitions

Records shall be maintained as follows:

- a) Records of admonitions and the sanction of Censure shall be maintained for four years, subject to review as provided in part (c) of this section. Records of grade penalties shall be maintained permanently.
- b) Records of disciplinary sanctions other than Censure shall be maintained permanently, subject to review as provided in part (c) of this section.
- c) Students and former students who have received a disciplinary sanction for academic misconduct may at any time request that the record be removed from their student file. This is an extraordinary step requiring a showing of good cause by the student. The request, along with the reasons therefore, must be submitted in writing to the VPAA.

4.2.7.7 Determination of Disciplinary Sanction and Its Implementation

It shall be the responsibility of the VPAA to review the materials sent by the Student's Dean and to determine and implement the appropriate action and disciplinary sanctions. Implementation of the appropriate action or disciplinary sanctions by the VPAA shall end the process. The VPAA shall attempt to inform the student in writing of the action being taken. A letter to the student at the address last provided the University by the student shall be sufficient to meet this requirement. Copies of the letter may also be provided other parties who have a legitimate need to know of the action.

4.2.8 Post-Sanction Procedures

4.2.8.1 Grounds for Appeal

The recommendation of the AMB as to the facts shall be appealable within the University to the VPAA if;

- a) it can be established that specified procedural irregularities were so substantial as to effectively deny the student a fair hearing; or
- b) new and significant evidence becomes available which could not have been discovered by a reasonably diligent student before or during the original hearing.

4.2.8.2 Rehearing and Petition for Review

Findings of fact shall be accompanied by a concise and explicit statement of underlying facts supporting the findings. A copy of the written final decision of the AMB - as described in 4.2.5.3(p) -shall be delivered or mailed to each party and his/her attorney of record. For questions of procedures and/or hearings, see the Oklahoma Administrative Procedures Act. In all cases, the President and the Board of Regents of the University reserve the right to review, at their discretion, any decision of a hearing body for manifest error or inequity.

4.3 FINAL GRADE APPEAL PROCESS

The responsibility for academic evaluations of students' rests with the faculty. If a student feels they have received a prejudiced or capricious final grade by an instructor, and they are unable to resolve the matter in an informal conference with the instructor or Department Head, a more formal process is provided except for those cases that arise where specialized policies and procedures shall apply at the department/program level.

To expedite this process the final grade appeal meetings can be conducted in person or via virtual meeting rooms. Students can elect in person meetings; however, this may delay proceedings and could result in delayed decision impacting admission, graduation or other unforeseen circumstances with timeframes.

Valid and current email addresses for any correspondence to be sent to in a timely manner is required.

Documents can be hard copy or electronic. Please note electronic documentation may facilitate adhering to timelines.

If this timeline is not adhered to, either by faculty or students, this may result in delayed decision impacting admission, graduation or other unforeseen circumstances with timeframes. All efforts from all parties involved should be made to limit unforeseen circumstances from occurring.

Extenuating circumstances may arise and will be considered on a case-by-case basis by the VPAA.

INFORMAL PROCESS

- 1) During the informal process, prior to filing a formal grade appeal the student must:
 - a) Discuss the grade with the instructor. If the issue is still unresolved, the instructor and/or student may find it necessary to consult with the Department Head.
 - b) If dissatisfied at this point, the student must next make an appointment with the Dean of the School in which the course is offered. The student must provide a statement of the problem(s) to this meeting.
 - c) The student will be required to provide a valid and current email to the instructor,

Dean, and/or Vice President of Academic Affairs (VPAA) and is responsible for checking and communicating via email. Email communication is the most effective and timely way to communicate.

- d) The informal process should be completed **within five (5) business days** of the grade being officially posted.
- e) Special Circumstances (Instructor of course):
 - i) If the Instructor is the department head, the appointment must be made with the Dean of the School in which the course is offered
 - ii) If the Instructor is the Dean, the appointment must be made with the VPAA

FORMAL PROCESS

- 1) Students may appeal a final grade through a formal procedure after the grade has been posted and the steps above have been taken. Students wishing to formally appeal a final course grade must adhere to the following steps:
 - a) If no satisfactory resolution results from the informal grade appeal the student may file a formal grade appeal to be considered by a Grade Appeal Board (GAB) appointed from the Academic Integrity Committee.
 - i) The GAB will consist of two faculty members, at least one of whom must be from the School in which the appeal is filed, and a student.
 - b) The student will file the appeal form with the Dean of the School in which the course is offered **within seven (7) business days** of the grade being officially posted.
 - i) Appeal forms are available in the Registrar's Office, the Office of Academic Affairs, and the School Dean's office.
 - c) The student will provide all necessary documentation when filing the Formal Grade Appeal to the Dean, including the following:
 - i) Valid and current email address for any correspondence to be sent to in a timely manner.
 - ii) Statement of the problem(s) discussed with the Dean, Department Head and/or instructor.
 - iii) Any records, documentation (such as medical records) or evidence supporting the grade appeal claim.
- 2) The formal process will require administration, faculty, grade appeal board to complete the following:
 1. The VPAA will be notified by the Dean (unless special circumstances apply i.e. Dean is the instructor) that the formal grade appeal form has been submitted.
 2. The VPAA will contact the student to review process.
 3. The department head and/or Dean will forward any documentation from their meeting(s) with the student directly to the VPAA.
 4. The VPAA can request any additional documentation if needed regarding the Formal Grade Appeal.
 5. The GAB will then review the grade appeal documentation within the scope of whether the request has met at least one of the following

criteria:

- i. The instructor failed to communicate to the class the method by which the grade would be determined.
 - ii. The method of calculating the grade was not followed by the instructor and communicated to the class.
 - iii. The calculation of the grade was incorrect.
 - iv. The student was not graded in the same manner as other members of the class.
 - v. The method of determining the grade was altered after the semester began, the new method was not communicated and/or applied uniformly.
 - vi. Documentation was received of an extraordinary or extenuating circumstance beyond the control of the student filing the appeal.
6. The GAB will review written documentation submitted by the student and any documentation received from the Instructor.
 7. The GAB does not take into consideration approving or disapproving an Instructor's teaching methods or choice of assignments.
 8. At the conclusion of this review, the GAB will propose one of the following courses of action:
 - i. Render a judgment of upholding the posted grade; or
 - ii. Recommend an appeal hearing to review and render a decision.
 9. The GAB will have **three (3) business days** to render a decision or recommend an appeal hearing.
- b. If the GAB decides to hold a formal hearing; this must be held **within ten (10) business days of the formal grade appeal form being filed**.
1. the VPAA is responsible for notifying all concerned parties of the time, date, and place of the hearing.
 2. The GAB will hold a closed hearing with the student, the instructor, and any witnesses.
 3. Names of witnesses must be submitted to the VPAA at least **48 hours prior to the hearing**.
 4. Neither the student nor the instructor should discuss the appeal with the GAB members, opposing witnesses, or each other before the hearing.
- c. The GAB will submit its recommendation in writing **within three (3) business days** of the conclusion of the hearing to the Chair of the Academic Integrity Committee and to the VPAA. The Registrar's Office, the student, the appropriate Dean's office, and the instructor will be notified of the decision within **three (3) business days**.
- d. If the appeal results in a decision to change a grade, the VPAA is responsible for notifying the instructor to modify the grade. Once the grade change is submitted, the Registrar's Office, the student, and the appropriate Dean's office will be formally notified.

- e. All decisions of the VPAA in consideration of the GAB recommendations will be final. In all cases, the President and the Board of Regents of the University reserve the right to review, at their discretion, any decision of a hearing body for manifest error or inequity.

4.4 STUDENT ABSENCES FOR UNIVERSITY SPONSORED EVENTS

In general, regular student attendance in classes is required. A student is responsible for the content of each course in which s/he is officially enrolled. At the beginning of each course the instructor will define and quantify attendance standards, procedures for verifying unavoidable absences, and methods of dealing with missed assignments and examinations. Class attendance policies that impact grades will be included in the course syllabus. Instructors will keep a record of daily attendance for each student. This procedure will be important in verifying student attendance for financial and/or legal reasons.

Specifically, when students are absent from classes due to participation in a University sponsored activity (academic events, field trips, athletics, etc.) in connection with some co-curricular or extra-curricular activity, arrangements to complete course requirements must be initiated by the student, in advance, so that the effect on the total instructional program may be considered. Absence from classes as a result of a University-sponsored activity, official military service, or jury duty does not in any way relieve a student from responsibility for the work missed; Faculty are expected to make reasonable accommodations for students to complete the work and may not arbitrarily penalize a student's grade resulting from such activity.

APPENDIX A: Faculty Development and Evaluation Criteria

The criteria used to assist in evaluation of faculty for advancement in rank (promotion), tenure, and special recognitions are adapted from Ernest L. Boyer's Scholarship Reconsidered: Priorities of the Professoriate, and the American Association of State Colleges and Universities' The Core of Academe: Teaching, Scholarly Activity, and Service

Teaching

“Teaching” is assessed using six criteria that revolve around the core areas of teaching: instruction, assessment and evaluation of that instruction. Examples and definitions of the criteria are not all inclusive. Criteria examples are generalized to multiple instructional delivery modes and styles.

Evaluate all criteria in reference to course evaluations and syllabi from each class taught over the previous semester, as well as the previous academic year's department evaluation.

Evidence of criteria will not necessarily include documentation of all examples listed.

Criterion 1: Demonstrates subject matter mastery.

Examples

- Disseminates appropriate scholarly information to students.
- Supplements textbook content with recent and relevant information.
- Makes appropriate and timely changes in the course to reflect current information.
- Chooses appropriate textbook and/or instructional materials for the course.
- Reinforces appropriate cognitive, affective, and/or psychomotor skills in students.

Criterion 2: Designs course within a scheme of the overall curriculum and program objectives.

Examples

- Distributes a course syllabus with clearly stated objectives, content, and requirements.
- Includes relevant and meaningful learning activities.
- Plans for delivery of content relative to specific course and overall program objectives.
- Recognizes diversity and varying learning styles in students.
- Reviews course content as well as instructional and assessment strategies on a regular basis so that courses are current and maintain relevancy.
- Uses and plans for innovative teaching methods when applicable.

Criterion 3: Delivers instruction effectively.

Examples

- Motivates students to achieve their best.
- Demonstrates appropriate and timely use of teaching strategies, i.e., higher order questioning, inquiry method, group discussions, simulation, independent study, analogies, and parables.
- Promotes learning approaches suitable to the course objectives, i.e., memorization, analysis, synthesis, application.
- Shows how the present topic is related to those topics that have been or will be taught.
- Changes instruction based on the results of formative assessment and student feedback.
- Provides closure by summarizing and fitting into context what has been taught.
- Designs courses so that student learning time for instructional and learning activities is appropriate.
- Uses audio-visual and technological teaching aids effectively and appropriately.
- Makes available opportunities for students to learn from primary sources of information associated with a particular discipline or area of study. I.e. labs, guest speakers, documents, and databases
- Minimizes obfuscatory sesquipedalian rhetoric.

Criterion 4: Evaluates student achievement on identified criteria.

Examples

- Explains grading system in course syllabus.
- Inform students of any modification of grading system as the course progresses.
- Uses a variety of assessment techniques (peer reviews, projects, papers, essay examinations, objective examinations, oral reports, etc.).
- Evaluates student learning in practical, laboratory, field-based activities which are based upon communicated observational criteria when appropriate.
- Provides feedback to students on tests, papers, oral reports and observations.
- Keeps students informed of current grade in course.
- Posts and/or returns graded tests and papers promptly either in person or electronically in a safe, secure manner.

Criterion 5: Serves as an academic advisor and/or mentor.

Examples

- Interacts and communicates with students in a positive professional manner.
- Assists students in making informed and relevant academic decisions as an academic advisor.
- Advises, consults, and or directs student research and/or capstone projects.
- Facilitates students' development as an independent thinker and learner in terms of their educational plan.

Criterion 6: Fulfills instructional administrative responsibilities related to the particular mode of instructional delivery employed.

Examples

- Meets all traditional face-to-face classes as scheduled at their designated time, as well as arriving promptly and holding class for the duration of the scheduled time.
- Conducts final examinations as scheduled.
- Files enrollment, attendance, and grade reports in accordance with university practice.
- Submits textbook orders on a timely basis.
- Is responsible for instructional laboratory materials, supplies, and equipment. Maintains adequate posted office hours whether by electronic or face-to-face means.
- Is available by appointment in addition to posted office hours.
- Consistently responds to and frequently interacts with students according to their needs for feedback.

Research and Creative/Scholarly Activity

Research and Creative/Scholarly Activity is essential to the well-rounded faculty member. Faculty display their professional credentials by “[demonstrating their] capacity to do original research, study a serious intellectual problem, and present to colleagues the results” (Boyer, 27). In addition, scholarship enables faculty to remain current with developments in their academic disciplines. Through scholarship and research, a faculty member contributes to specific academic disciplines, the university community, and the professional community.

Evaluation is not solely based upon the quantity of scholarship produced, but, for example, on its quality, originality, contribution to an academic discipline, the institution, education and/or the general public.

Some activities indicative of scholarly activity include:

- Produces, exhibits, or performs creative works that are recognized locally, regionally, nationally, or internationally.
- Delivers invited or competitive lectures, papers, speeches, or presentations at colleges or universities, professional meetings, conventions, and conferences, through face-to-face or virtual attendance.
- Submits products of scholarship for peer review, or reviews/edits products of scholarship.
- Collaborates with colleagues at the local and other campuses in activities oriented toward making a contribution to the advancement of knowledge, methodology, or development of a discipline.
- Applies for and receives grants and awards.

- Obtains local, state, regional, national or international recognition for recent, as well as past contributions, to a particular field of study by a variety of means (requests for reprints, invitations to read papers, citations of research, invitations to exhibit, requests for interviews as expert in the field, etc.).
- Participates in conferences, institutes, short courses, seminars, and workshops that are related to the faculty member's discipline, through face-to-face or virtual attendance.
- Publishes the results of research, scholarship, and creative endeavors through vehicles such as monographs, textbooks, papers, abstracts, book reviews, poems, plays, musical compositions, final reports for grants, web-sites, computer software or hardware systems, accounting systems, etc.
- Holds membership in professional societies relevant to a specific discipline.
- Obtains copyrights or patents on works produced.
- Engages in specific self-study or a professional growth plan to enhance professional competency.
- Edits or evaluates scholarly activity such as journals, papers for journal publication, grant proposals for awards, chapters for books, proposals for conference papers, or other scholarly activity with respect to a field of study.
- Creates and/or reviews teaching materials (textbooks, teacher's manuals that accompany textbooks, pedagogical procedures, etc.)

Professional and University Service and Community Engagement

Professional and University Service and Community Engagement are an integral component to the well-rounded faculty member. It allows for contributions to the university community, the professional community, and the community at large. Individual or personal service improves the functioning of the university, strengthens the effectiveness of professional organizations and provides a presence for the university in the community. It should be noted that simple membership or a position "in name only" does not constitute service. Rather, one must contribute to the committee or position in a substantive way.

Service can be divided into three equally important areas. The areas and a non-inclusive list of representative examples of each area are listed below. Further, a faculty member need not excel in each of the three categories; however, consideration should also be given to those who contribute in several different capacities.

Professional Service: encompasses those areas which serve the *professional community*.

- Functions as an officer of a local, regional, national, or international professional organization or society
- Establishes relationships with any government agencies, business, or industry
- Consults with or serves as requested in government, business, and/or industry to provide service in any capacity from the faculty member's area of expertise

University Service: encompasses those areas which serve the *university community*.

- Serving on departmental, college, and university standing and ad-hoc committees
- Serving in a university organization (e.g. Faculty Senate)
- Completing special projects or studies for the university (e.g. contributing to a hiring process, a Higher Learning Commission visit, or an impact study; planning a university activity, event or function)
- Serving as a Faculty advisor to a student club, organization, or society
- Being a facilitator for a non-credit workshop (e.g. grant writing, promotion/tenure portfolio)
- Serving as a mentor or a contact person for new faculty

Community Engagement: encompasses areas which serve the *community at large*.

- Service to or membership in various outside local, city, county, state, regional, federal, or international groups and organizations
- Volunteer work for various outside local, city, county, state, regional, federal, or international groups and organizations
- Any miscellaneous community activities that are not considered to be part of Institutional or Professional Service.

APPENDIX B: Catalog of Faculty Development and Evaluation Criteria

The exemplars are not all-inclusive for each criterion but do provide examples and extend the definitions of the criteria. These should be used as guidelines and they can be adapted for the individual discipline area.

CATEGORY 1: TEACHING

Teaching effectiveness should be the most basic attribute upon which a faculty member is judged for promotion. The areas of teaching effectiveness should include, but not be limited to, the following:

- Command of one's subject
- Ability to organize subject matter and to present it clearly, logically, imaginatively.
- Knowledge of current development in one's subject matter.
- Ability to relate one's subject to other areas of knowledge.
- Ability to provoke and broaden student interest in the subject matter.
- Ability to develop and utilize effective teaching methods and strategies.
- Availability for and effectiveness in academic advising and directing of students.
- Integrity, fairness, and objectivity in grading or otherwise evaluating students.
- Recognition by other faculty and students as superior teacher.
- Have made outstanding contributions to instructional programs, curriculum and/or methodologies.

CATEGORY 2: RESEARCH AND CREATIVE/SCHOLARLY ACTIVITY

Effective teaching requires active involvement in the intellectual and scholarly developments in the faculty member's area of specialization. To be considered for promotion, the faculty member should give evidence of:

- Adequate grasp of one's area of specialization.
- Continuing efforts to remain abreast of developments in the area of specialization.
- Application of recent scholarship to teaching.
- Other efforts to continue academic growth.
- Engage in research or other scholarly activities, these might include, but are not limited to:
 - Publication of books, articles, chapters, essays, reviews or other scholarly efforts.
 - Presentation or publication of original productions or creative works before either scholarly audiences or other appropriate forums.
 - Participation in academic conferences, meetings, institutes, or other activities.
 - Service on statewide committees.

- Consultation with individuals, groups, or organizations utilizing the faculty member's professional expertise.
- Innovative applications of technology in support of teaching or research.

CATEGORY 3: PROFESSIONAL AND UNIVERSITY SERVICE AND COMMUNITY ENGAGEMENT

Departmental

Faculty involvement in departmental activities besides teaching is required. Departmental service may include, but is not limited to, the following:

- Service on departmental committees.
- Performing departmental and/or instructional program administrative duties.
- Developing the departmental or instructional program curriculum and/or courses.
- Have served in leadership capacity in appropriate departmental activities.
- Have, when possible, assumed leadership in the design, development or implementation of new techniques, strategies, courses, academic programs, degrees or other academic endeavors.

University

Faculty service to the university outside instructional duties should be considered in evaluation for promotion. Such service may include, but is not limited to, the following:

- Participation in committees or organizations within the governance structure.
- Service on ad hoc or advisory university bodies outside the governance structure.
- Performance of special administration functions.
- Participation in program and/or curriculum development.
- Service as a representative of the university and other bodies.
- Service as a liaison between Rogers State University and other bodies.
- Have assumed positions of leadership in the performance of such service.

Community

Community service appropriate for consideration in promotion/evaluation decisions should be based upon the academic or professional expertise of the faculty member and should reflect favorably upon Rogers State University. Such service might include, but is not limited to, the following:

- Service in the faculty member's area of expertise as a consultant, a resource person, or a researcher.
- Giving lectures, serving on panels, performing in creative activities, or otherwise participating in community activities directly related to university functions.
- Serving as the university's designated representative at appropriate community

functions.

Student

Faculty service to students outside of instructional duties should be considered in evaluation/promotion. Such service may include, but is not limited to, the following:

- Participation in department or university recruitment activities.
- Sponsorship or directorship of student professional organizations.
- Sponsorship of student clubs and social organizations.
- Supervision of other organized student activities.

CATEGORY 4: PERFORMANCE OF NON-TEACHING OR ADMINISTRATIVE DUTIES (IF APPLICABLE)

- Supervises practica
- Leads an educational study tour
- Manages a research project
- Directs a workshop or conference
- Directs or coordinates an academic program or administrative office
- Heads an academic department

Note: Only activities that result in reduced teaching load qualify for CATEGORY 4.

APPENDIX C: Faculty Development Plan

Name: _____

Rank: _____

Having reviewed the Academic Policies and Procedures Manual, Section 3.8.5 through 3.8.9, and having reviewed Appendices A and B for Development and Evaluation Criteria, I agree that I will focus faculty development for the academic year indicated above according to the following items:

_____ % Proportion to teaching (50-80%)

_____ % Proportion to research and creative/scholarly activity (5-40%)

_____ % Proportion to professional and University service and community engagement (10-45%)

_____ % Proportion to performance of non-teaching or administrative duties (25-50%)

Faculty Evaluation Criteria:

1. Teaching:
2. Research and Creative/Scholarly Activity:
3. Professional and University Service and Community Engagement:
4. Performance of Non-Teaching or Administrative Duties:

Agreed to by Faculty Member

Date

Agreed to by Department Head

Date

Agreed to by Dean

Date

APPENDIX D: Faculty Development Plan Report

Name: _____

Rank: _____

By September 15, faculty members are to revise and update the previous year's Faculty Development Plan. Before the conference with their respective department head, faculty members are to conduct a year-end self-evaluation and succinctly describe progress for each exemplar listed in the preceding year's Faculty Development Plan. A brief statement indicating whether the exemplar was fully accomplished, partially accomplished, or not addressed is appropriate. Faculty members may also list any activities completed the preceding year that were not previously included in the Faculty Development Plan. When completed, faculty members are to schedule a conference with their department head.

_____ % Proportion to teaching (50-80%)

_____ % Proportion to research and creative/scholarly activity (5-40%)

_____ % Proportion to professional and University service and community engagement (10-45%)

_____ % Proportion to performance of non-teaching or administrative duties (25-50%)

Faculty Evaluation Criteria:

1. Teaching:
2. Research and Creative/Scholarly Activity:
3. Professional and University Service and Community Engagement:
4. Performance of Non-Teaching or Administrative Duties:

Agreed to by Faculty Member

Date

Agreed to by Department Head

Date

Agreed to by Dean

Date

APPENDIX E: Faculty Development and Evaluation Summary

Name _____ Department _____ Date _____
Rank _____ Tenure _____ Date of Appointment _____
Evaluation Period _____ Date of Last Promotion _____ Date of Employment _____
Highest Degree Held _____ Yrs. Experience Prior to RSU _____ Other Relevant Exp. _____

PERFORMANCE EVALUATION

1. Teaching

Rating: Critical Needs Improvement Proficient Commendable Outstanding

Comments:

2. Research and Creative/Scholarly Activity

Rating: Critical Needs Improvement Proficient Commendable Outstanding

Comments:

3. Professional and University Service and Community Engagement

Rating: Critical Needs Improvement Proficient Commendable Outstanding

Comments:

4. Performance of Non-Teaching or Administrative Duties

Rating: Critical Needs Improvement Proficient Commendable Outstanding

Comments:

5. Overall Performance

Rating: Critical Needs Improvement Proficient Commendable Outstanding

Justification (if other than proficient):

Specific areas needing attention:

Plans for improvement:

This evaluation was discussed by:

Department Head

Faculty Member

Date

Faculty Member's comments:

Dean's comments:

Dean

Date

APPENDIX F: Faculty Qualifications

INTRODUCTION

The following guidelines apply to all faculty members whose primary responsibility is teaching, including tenured, tenure-track, non-tenure-track, adjunct, and/or temporary faculty. Rogers State University (RSU) is committed to effective teaching and learning and through this policy establishes consistent procedures for the careful consideration of faculty qualifications. Further, through observance of this policy, RSU affirms its commitment to academic integrity and to regional accreditation through the Higher Learning Commission.

CREDENTIALS AND EQUIVALENT EXPERIENCE

Qualified faculty members are identified primarily by credentials, but other factors, including but not limited to tested equivalent experience, may be considered by RSU in determining whether a faculty member is qualified.

Credentials

Instructors possess an academic degree relevant to what they are teaching and at least one level above the level at which they teach, except in programs for terminal degrees or when tested equivalent experience is established. In terminal degree programs, faculty members possess the same level of degree. Instructors teaching in graduate programs hold the terminal degree determined by the discipline and have a record of research, scholarship or achievement appropriate for the graduate program.

Faculty teaching general education courses, or other non-occupational courses, hold a master's degree or higher in the discipline or subfield. If a faculty member holds a master's degree or higher in a discipline or subfield other than that in which he or she is teaching, that faculty member should have completed a minimum of 18 graduate credit hours in the discipline or subfield in which they teach.

Equivalent Experience

Through a review of the faculty member's vitae or resume and given a sufficient breadth and level of tested experience as defined through a combination of the following factors, RSU establishes its considerations for a threshold of tested experience.

- Skill sets relevant to the discipline in which the faculty will be teaching
- Active in professional organizations and learned societies
- Presentations at a combination of regional, national, and international conferences,
- and/or publications on topics relevant to courses being taught.
- Active Certification in field or additional relevant credentials or permit to practice in field
- Continued Experience outside of the classroom in real-world situations

- relevant to the discipline in which the faculty member will be teaching
- Continuing Education Units in field (average of 12 hours/year over last two years) and continuing during the term of employment
- Professional development in field

APPROVAL PROCESS

The review of credentials will utilize the Minimum Faculty Qualification Approval form; peer reviewers will determine that faculty members are appropriately credentialed/qualified. This recommendation will then be sent to the academic department head. Should the department head find there is sufficient evidence to establish tested equivalent experience, the department head will then forward the Minimum Faculty Qualification Approval form, any comments from the peer reviewers, the faculty member's vitae/resume, and the appropriate personnel action form (PR2) to the dean.

The dean will complete a review of the materials and independently establish whether there is sufficient evidence of tested equivalent experience. If so, all materials will be forwarded to the vice president for academic affairs. If not, the materials will be returned to the department head.

The vice president for academic affairs will review the submitted materials and independently determine if there is sufficient evidence to establish equivalent experience. If so, the materials will be forwarded per standard University procedure. If not, the materials will be returned to the dean and to the department head. The decision of the vice president for academic affairs is final.

CONTINUATION OF APPROVAL

Once approved, the evaluation will remain in effect for two years, after which time a new evaluation cycle will be initiated.

METHOD OF APPEAL

Should the department head or the dean find there is insufficient evidence to establish tested equivalent experience, the faculty member shall be given the opportunity to appeal these decisions. These decisions shall be appealable within the University to the Vice President of Academic Affairs if it can be established that a) evidence of tested equivalent experience has been misinterpreted so substantially as to effectively deny the faculty member a fair reading; or b) new and significant evidence of tested experience has become available.

Should the Vice President of Academic Affairs find there is insufficient evidence to establish tested equivalent experience, the faculty member may request a hearing before the Faculty Appellate Committee. The Faculty Appellate Committee will, with due diligence considering the interests of both the University and the faculty member, hold a hearing and report its findings and recommendations to the University President and to the faculty member.

APPENDIX G: RSU Intellectual Property Policy

1) Preamble

- a) The people of the State of Oklahoma may reasonably expect that their investments in the University will create new industry and enhance existing industry within the State and Nation. Such new industry creates greater employment opportunities for citizens of the State and the Nation and an improvement in their standard of living.
- b) The creation and development of intellectual property at the University encourages new business and is fundamental in the creation of strong University and industry partnerships. It is the responsibility of University employees to disclose intellectual property and to foster an entrepreneurial attitude within the workforce by involving students in the creation of intellectual property. Intellectual property development shall be pursued in concert with, but subject to, the University's principle responsibilities of education and knowledge creation.
- c) Therefore, it is in the best interest of the University to adopt a policy that encourages disclosure of discoveries and inventions and rewards such creative activity. To do so, the University policy must ensure that creators of copyrightable works or trademarks and inventors share in any financial success enjoyed by the University through the creation and commercialization of intellectual property. The basic objectives of the University's policy concerning creative works, trademarks, discoveries, and inventions (i.e., intellectual property) include the following:
 - i. To maintain the University's academic policy of encouraging research, publication, and scholarship independent of potential gain from royalties or other income.
 - ii. To make patented materials created pursuant to University objectives available in the public interest under conditions that will promote their effective utilization and commercialization.
 - iii. To provide adequate incentive and recognition to faculty and staff through proceeds derived from their creative works, trademarks, discoveries, and inventions.

2) Patents

a) Ownership

All discoveries and inventions, whether patentable or un-patentable, and including any and all patents (domestic and foreign) based thereon and applications for such patents, which are made or conceived by any member of the faculty, staff, or student body of Rogers State University, either in the course and/or scope of employment for Rogers State University or substantially through the use of facilities or funds provided by or through the University shall be owned by and be the property of the Board of Regents of the University of Oklahoma and the member will assign and does hereby assign all of member's rights in and to the discoveries and inventions to the Board of Regents of the University of Oklahoma except as described below. Faculty having rights to

discoveries/inventions prior to employment at Rogers State University should notify the Office of Academic Affairs of such intellectual property so that ownership to any further development of that same intellectual property at the Rogers State University may be established, by written agreement, with the Vice President for Academic Affairs (VPAA). In the event faculty or staff make discoveries or inventions outside the course of and/or scope of employment and using no University facilities, equipment, or supplies, or if using such reimburses the University for this use in accordance with a prior written agreement with the University and in accordance with University policy, title to such discoveries or inventions shall remain in the inventor, provided the VPAA determines that the discovery or invention was made under these conditions. The inventor shall nonetheless submit a disclosure form to the Office of Academic Affairs. This disclosure shall contain sufficient information to enable the VPAA to make a determination. If confidential information is required, the University will sign a nondisclosure agreement for purposes of this review. Should the VPAA determine that the University does have a proprietary interest; a more complete disclosure may be required before making a decision in regard to title. If it is determined that the University has an interest, the provisions of this policy shall then be applicable. All rights in and to discoveries and inventions described in this policy shall be disclosed to and inventor will assign and hereby does assign all rights in and to said discoveries and inventions to the Board of Regents of the University of Oklahoma as a specific condition of employment with the University and admission to and/or attendance at the University. Faculty, staff and students shall execute any and all documents the University deems reasonably necessary to evidence such ownership, meet its legal obligations and effect patent protection, domestic and foreign, for the University or its nominee. All costs involved in obtaining and maintaining patent protection shall be borne by the University or its nominee. The University agrees to act in good faith with respect to the determination of ownership. If Federal funds were used in the development of the discovery/invention, the rights to the discovery/invention are subject to a reversionary right in the Federal government as described in 37 CFR Part 401.

b) Revenue

The Revenues (e.g. royalties and other revenue fees of cash and equity) received by the University directly attributable to the licensing, sale, or commercialization of a University discovery or invention as described in section 2a will be distributed among the discoverer(s)/inventor(s), his/her/their primary department(s) and the University, in accordance with the following formula:

- i. 65% of Revenues to the discoverer(s)/inventor(s);
- ii. 35% of Revenues to the University for any remaining expenses not previously recouped that it has or shall incur directly in connection with the discovery or invention at issue;
 1. After such expenses have been recouped, the remainder of the 35% will be distributed as follows:
 - a. 25% to originating college(s), half of which to go to the originating

- department
 - b. 5% to research and sponsored programs
 - c. 5% to President's discretionary fund
- iii. Stock certificates issued to the University shall be held by the Comptroller's Office. The right to receive such royalty Revenue shall be extended to the inventor(s) in the event that the inventor is no longer an employee or student of the University. Such right shall also accrue to the estate of the inventor(s). Inventor(s) and/or their successors or assigns shall have the responsibility to provide the Office of Academic Affairs of the respective campuses with all the necessary information to make payments to the appropriate parties, including without limitation, current addresses; provided, failure to keep the University so informed shall permit the University to hold all such Revenue for such parties for a reasonable time or until the lawful beneficiaries make claim thereto.
- iv. When there are two or more discoverers/inventors, each shall share equally in the inventor's share unless all discoverers/inventors agree in writing to a different distribution of such share. Such originally-signed agreement shall be filed with the Office of Academic Affairs of the discoverer(s)/inventor(s). No distribution of cash Revenues will be made until this issue is resolved by the discoverer(s)/inventor(s) or their successors in interest.
- v. The discoverer(s)/inventor(s) and his or her college shall be paid their share of the cash Revenues upon receipt of the University and will be furnished with a statement of Revenue derived from the commercialization of the invention at the time of payment. In the event of any litigation, actual or imminent, regarding patent rights, the University may withhold distribution until resolution of the particular matter. The University does not act as a fiduciary for any person relating to consideration received under the terms of this policy.

c) Administration

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

- i. License the discovery and/or invention to third parties to provide for the further development and/or commercialization of the property;
- ii. Transfer the discovery and/or invention for commercialization by entering into commission agreements with third parties to identify potential licensees to further develop and commercialize the property;

- iii. Transfer rights to the property to a patent service organization to further develop and commercialize the property;
- iv. Allow rights (U. S. and foreign) to the discovery or invention to revert back to the Federal agency that funded the development of the discovery;
- v. Transfer rights (U. S. and foreign) to the discoverer(s)/inventor(s) if requested by the discoverer(s)/inventor(s), and the University President determines that the discovery/invention will not be pursued further by the Office of Academic Affairs.
 - 1. Such transfer also shall be subject to an irrevocable, non-exclusive, royalty-free, and world-wide right and license in the University to make, use, and/or practice the discovery or invention for University education, research and/or service purposes. The University also reserves the right to publish and or present information and data obtained in the research project resulting in the discovery or invention being transferred, assuming such rights do not jeopardize the discoverer's/inventor's patent rights. Faculty, staff and students shall execute any and all documents, as the University deems reasonably necessary to confirm or enforce such reserved right and license.
 - 2. Such transfer shall be limited to the discovery or invention duly disclosed to the University, in writing, as of the time the transfer is requested by the discoverer/inventor;
- vi. Transfer rights to the discovery and/or invention to the person(s) or entity sponsoring the research in the course of which the discovery or invention was made if such action is required under the terms of the research agreement or is required by law; or
- vii. Transfer the discovery and/or invention into the public domain through publication of the invention by the discoverer/inventor. All transfers of University discoveries or inventions shall be subject to and contingent upon any rights in third parties as may be governed and/or required by, among other things, sponsored research agreements, other third-party contracts, or law.

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

When it is in the best interest of the University to get its technology into the marketplace, when the longer-term opportunity for returns to the University and

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

d) Disclosure

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

e) Term

The terms of this Patent Policy are a part of any contractual relationship of Rogers State University with any member of the faculty, staff, or student body. This Policy, as amended from time to time, shall be deemed to be part of the conditions of employment of every University employee or a part of the conditions of enrollment and attendance of every student at the University. Any licensing Revenues received throughout the duration of such license shall be distributed in accordance with the distribution policy in effect at the time of the signing of such license and can only be changed through mutual agreement of the parties receiving portions of such Revenue.

f) Use of Facilities

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

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

g) Background

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

3) Trademarks

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

4) Copyright

a) Preface

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

- i. To maintain the University's academic policy of encouraging research and scholarship as such without regard to potential gain from royalties or other income.
- ii. To make copyrightable materials created pursuant to University objectives available in the public interest under conditions that will promote their effective utilization
- iii. To provide adequate incentive and recognition to faculty and staff through proceeds derived from their works.
- iv. To stimulate creativity across all media.

b) Policy

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

c) Ownership

i. Scholarly/Aesthetic Works

In keeping with traditional academic practice and policy, ownership of copyrights to works of artistry or scholarship in the creator's professional field such as textbooks, course materials, scholarly papers and articles, software and other computer materials when they are works of artistry or scholarship, novels, poems, paintings, musical compositions or other such works of artistic imagination produced by University employees who have a general obligation to produce such works where the specific choice, content, course, and direction of the effort is determined by the employee without direct assignment or supervision by the University shall reside in the creators and the works shall not be deemed "works made for hire" under this policy unless they are also sponsored/contracted works or specifically assigned by the University. Copyrighted courseware and/or software that are not associated with traditional works as described above shall fall under and are subject to the Patent Policy. The general obligation of faculty to produce scholarly works does not constitute specific assignment. Upon request by the University, the creator(s) will grant the University a nonexclusive, free of cost, world wide right and license to exercise all copyright rights in and to the work, except the right to

commercially display, use, perform, or distribute copies of the work, unless to do so would impair the ability of the creator to have the work published or distributed. If a use of the work by University is reasonably determined by the creator to impair the exercise of such rights, the University shall discontinue the impeding use but otherwise shall remain free to use the work as provided in this paragraph. Subject to the approval of the VPAA, the University will assist any University employee wishing to commercially exploit a scholarly/aesthetic work falling under this paragraph, through the Office of Academic Affairs and its respective campus officers. In such cases, the University will normally own the work and the provisions of the Patent Policy shall apply.

ii. Personal Works

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

iii. Sponsored Works

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

iv. Commissioned Works

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

v. University Works.

Except as otherwise provided in this Policy, the University shall own all copyrights to works made by University employees in the course and scope

of their employment and shall own all copyrights to works made with the substantial use of University resources. Provided, the University shall give due regard to the creator's interests in the quality and integrity of the work and where appropriate grant recognition for creation of the work. To the extent consistent with University rights under the U.S. copyright law, nothing herein shall be construed to prevent the creator from using his/her knowledge, expertise, research, and creative achievement in other employment.

vi. Student Works.

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

vii. Jointly Originated Works.

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

d) Revenue Sharing

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

e) Administration

i. Release to the Creator.

An individual creator of a University owned work may seek transfer of the University owned copyright to himself/herself by making a written request

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

ii. Disclosure and Protection.

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

iii. Legal Compliance.

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

1. The VPAA shall be responsible for administering the copyright affairs of the University in a manner consistent with this policy. The VPAA shall establish written directives to be approved by the President of the University and distributed to the employees and students of the University, which shall govern the procedures to be followed in processing copyrighted works created within the University.
2. The University does not act as a fiduciary for any person concerning consideration received under the terms of this policy.
3. The VPAA may negotiate ownership of copyrighted works with research sponsors when it is in the best interest of the University to do so. Otherwise, all rights are as described above.
4. Faculty having rights to copyrighted works prior to employment at Rogers State University should notify the Office of Academic Affairs of such intellectual property so that ownership to any further development of that same intellectual property at Rogers State University may be established, in a written agreement with the University.

f) Contractual Term

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

g) Resolution of Conflict

Should disputes arise relative to the ownership of copyright between the creator and the University, the matter will be referred to the Vice President for Development, who will make recommendations to the President for proper resolution of the disputes. Either the University or creator may contact the Vice President for Development to arrange for the consideration of such disputes.