

### 3. FACULTY PERSONNEL POLICIES AND GENERAL INFORMATION

#### FACULTY PERSONNEL POLICY

It is the policy of the University to recognize and implement the functions assigned to it by the Oklahoma State Regents for Higher Education. These functions are teaching, research and creative/scholarly activity, and professional and University service and public outreach. The responsibility for carrying out this policy is shared by the Board of Regents, administrative officers, and General Faculty. The University recognizes the specific involvement of the faculty in the performance of these functions and, to this end, is committed to fostering a superior faculty.

Since 1942, the Regular Faculty has actively participated in the organization, formulation, and implementation of University policies through a democratically elected Faculty Senate. Today, there are two Faculty Senates, one for the University of Oklahoma Health and one for the Norman Campus. The charters of these two Faculty Senates can be found in the Appendices of the respective campus' Faculty Handbook.

(Regents, 1-26-99, 12-3-02)

#### 3.1 FACULTY APPOINTMENTS AND INFORMATION

The General Faculty of the University of Oklahoma Health Sciences is composed of all full-time (1.0 Full-Time Equivalent [FTE], whether 9-, 10-, or 12-month appointment), part-time, and volunteer faculty members.

Faculty appointment types may be tenured, tenure track, consecutive term, limited term, or volunteer (see Sections 3.1.1 – 3.1.6). The type of appointment will be determined by the primary academic unit in consultation with the appointee and with the approval of the dean, the Senior Vice President and Provost, and if required, -the President, and -Board of Regents. The appointment must indicate the primary academic unit to which the faculty member is appointed.

For purposes of this Section 3, full-time FTE equivalent shall include those faculty whose combined OUHSC and ~~approved external entity OUH/OUHPI~~ OU Health (OUH)/OU Health Partners, Inc. (OUHPI) appointments or contracts for service total 1.0 (Dual employment), as well as those faculty who hold a 1.0 FTE at ~~an approved external entity including~~ OUH/OUHPI with an academic appointment at OUHSC but without an assigned FTE or remuneration (Dual appointment). Dually-appointed faculty hired on or after January 1, 2023, may hold a consecutive term, tenure track, or limited term appointment, at the discretion of the department and college and subject to the proscribed appointment approval processes.

An appointment is not a promise or guarantee to faculty of employment for or through any particular period of time. Continued employment and/or renewal are contingent upon various factors, such as a faculty member's satisfactory performance and/or the academic unit's needs. Termination of employment without cause may become effective at any time, subject to notification requirements in Section 3.2.37.

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

##### 3.1.1 Regular Faculty

A subset of the General Faculty is Regular Faculty. The Regular Faculty is composed of all full-time faculty with unmodified academic titles (assistant professor, associate professor, and professor) and shall be limited to those who hold tenured, tenure track, or consecutive term appointments who devote their full-time professional effort to University activities, including through dual employment/appointment at approved external entities. Regular Faculty may be paid all or in part by ~~an approved external entity including OU Health (OUH)/OU Health Partners, Inc. (OUHPI)~~ (see, Section 3.1.3).

- (a) Tenured appointments are automatically renewed.
- (b) Tenure track appointments are automatically renewed for the next fiscal year unless notification of non-renewal or termination is given in accordance with Section 3.2.3, or 3.16.1.

- (c) Consecutive term appointments are not tenure-track. Consecutive term appointments are automatically renewed for the next fiscal year unless notification of non-renewal or termination is given in accordance with [Section 3.2.3 or 3.16.1](#).

(Regents, 3-12-24)

### 3.1.2 Limited Term Faculty

Another subset of the General Faculty is Limited Term Faculty. Limited Term Faculty may be full-time or part-time and shall have academic titles such as instructor or lecturer, or titles modified by prefixes such as visiting, adjunct, instructional, or clinical.

Limited term Faculty may be paid all or in part by ~~an approved external entity including OU Health (OUH)/OU Health Partners, Inc. (OUHPI)~~ (see, Section 3.1.3).

- a) **Research** – Faculty holding limited term research appointments typically have titles of assistant professor of research, associate professor of research, or professor of research.
- b) **Other** –
  - i) Instructor ~~and associate~~ faculty titles are intended to designate a rank below that of assistant professors.
  - ii) The ~~title of lecturer~~ can be used for individuals of academic achievement and standing comparable to any academic rank, including assistant professor, associate professor, and professor, regardless of rank.

Limited term appointments are not Regular Faculty appointments—Changes in Limited Term appointments can be requested in accordance with Section 3.2.2. Individuals serving in limited term appointments serve at the discretion of the chair with concurrence [for their appointment and termination](#) by the dean. Limited term appointments can be terminated with no less than 60 days' written notice [from the dean of the faculty member's academic home dean](#). An exception to the 60-day written notice requirement may be made by the dean [for terminations for cause under 3.16.1. 1\) for faculty hired primarily to spend their time in clinical practice or practice-related activities, where termination is recommended due to poor clinical performance, unprofessional behavior, or conduct that jeopardizes patient safety, 2\) termination based on a failure to return from leave in accordance with University policy 7.1.2.5, 3\) for dual employees/appointees who no longer hold an appointment/employment with OU Health or the approved external entity, or 4\) for faculty who have admitted to, or have been found by the Deciding Official to be responsible for, violations of the University's Ethics in Research Policy, where the Deciding Official determined that termination is an appropriate sanction](#). In such cases, termination may be effective immediately.

Limited term faculty are not permitted to appeal termination to the Faculty Appeals Board.

(Regents, 3-12-24)

### 3.1.3 Dually-Employed/Appointed Faculty

Dually-employed/appointed faculty are in paid or unpaid regular or limited term faculty appointments as defined below. Unless specified otherwise in the Proposed Terms of Faculty Appointment or Official Offer of Faculty Appointment Letter from the University, as many of the academic duties of dually-employed/appointed faculty occur in the hospital or clinical setting, dually-employed/appointed faculty members are required to maintain an employment relationship with the ~~approved external entity~~, as a condition of their continued University appointment.

- a) **Dual employees/appointees** are members of the General Faculty and may also be considered full-time, Regular Faculty, as more fully described in Section 3.2 below.
- b) **Dual employees, dually-employed, and dual employment** shall mean those faculty who hold a paid academic appointment at OUHSC and a paid clinical position with OUHPI.
- b)c) **Dually-employed OTRS Physicians** are faculty physicians who, at the time of integration, elected to retain employment with the University in order to continue their participation in the Oklahoma Teacher's Retirement System, rather than transfer employment to OU Health Partners, Inc. These OTRS-Pphysicians perform professional, clinical, and administrative services for OUH or OUHPI through an agreement between OUH or OUHPI and with the University for their services ("OTRS Physicians"). The OTRS Physicians completed a Provider Acknowledgment agreeing to comply with all applicable OU Health and OUHPI policies and procedures. As dually-employed faculty, OTRS Physicians are required

to continue to provide services at OU Health or OUHPI as a condition of their continued University appointment/employment.

e)d) **Dual appointees, dually-appointed, or dual appointment** shall mean those faculty who hold an unpaid (0.0 FTE) academic appointment at OUHSC and held a 1.0 FTE are employed at OUH/OUHPI.

References to “dual employee/appointee,” “dually-employed/appointed,” or “dual employment/appointment” shall apply to both paid and unpaid members of the General Faculty.

Dually-employed/appointed faculty may have the following titles:

- a) Regular Faculty Appointments - Assistant Professor, Associate Professor, and Professor
- b) Limited Term Faculty Appointments - Instructor, Clinical Instructor, Clinical Assistant Professor, Clinical Associate Professor, Clinical Professor, Instructional Assistant Professor, Instructional Associate Professor, and Instructional Professor or similar, as approved by the Senior Vice President and Provost. (Regents, 3-12-24)

#### 3.1.4 Volunteer Faculty

Another subset of the General Faculty is ~~Limited-Term~~Volunteer Faculty. Volunteer faculty serve without remuneration and shall be given the same modified academic titles as limited term faculty. The title of preceptor may also be used for volunteer faculty.

Volunteer faculty must receive an Official Offer of Volunteer Faculty Appointment Letter, as approved by the Office of the Senior Vice President and Provost. The letter must outline the terms of the individual’s responsibilities and conditions pertaining to the appointment. All volunteer faculty appointments must be entered into the University’s appointment system. Volunteer faculty must take required University training.

(Regents, 1-26-99, 12-3-02, 6-25-08, 12-7-12, 9-14-17, 3-9-22, 3-12-24)

#### 3.1.5 Emeritus Faculty

The Emeritus title is granted only by the Board of Regents upon recommendation by the President of the University. The President may recommend that the title "Professor Emeritus" be granted upon the retirement of regular faculty members when so proposed by their chair and dean. The title indicates retirement in good standing and ordinarily will be without the designation of any additional faculty rank (such as "assistant" or "associate") except that distinguished professor titles shall be retained when the emeritus status is recommended. For the Health Sciences Center, the President may recommend that the title Emeritus be added to the limited term, dual employee/appointee, or volunteer faculty title upon the retirement of limited term, dual employee/appointee, or volunteer faculty when proposed by their chair, dean, and the Senior Vice President and Provost.

The Board of Regents may grant the title "Emeritus" to former executive officers and deans/academic officers upon retirement or resignation from the position.

Emeritus faculty with continued access to University resources must take required University training.

(President, 9-10-85, Regents 12-7-12, 9-14-17)

(Regents, 1-26-99, 12-3-02, 12-7-12, 3-9-22)

(Regents, 1-26-99, 12-3-02, 6-25-08, 12-7-12, 9-14-17, 3-9-22, 3-12-24)

#### 3.1.6 Health Professions Educators

Health Profession Educators (HPEs) are considered academic employees who serve in a limited and temporary capacity as an instructor. They are not eligible for benefits or any type of paid leave. Their only academic title is Health Professions Educator and they are not considered part of the General Faculty. HPEs serve in appointments at

the discretion of the chair with concurrence of the dean. HPE appointments can be terminated at any time upon written notice to the HPE. HPEs are not permitted to appeal termination to the Faculty Appeals Board.

HPE appointees must be provided an Official Offer of HPE appointment letter, as approved by the Office of the Senior Vice President and Provost. The letter must outline the terms of the individual's responsibilities and conditions pertaining to the appointment. All HPE appointments must be entered into the University's appointment system.

(Regents, 3-12-24)

### 3.1.7 Part-Time Appointments

A part-time appointment is one at less than 1.0 Full-Time Equivalent (FTE) (including dual employment/appointments with a combined FTE of less than 1.0), and has a modified title. It is considered limited term ([see 3.1.2](#)).

In advance of offering any part-time appointment, the academic unit and the faculty member must reach a clear understanding of the terms of the part-time appointment. This understanding shall be in writing and the faculty member shall be given a copy. For new part-time faculty appointments, the terms of the appointment must be included in a Proposed Terms of Faculty Appointment letter. For a modification of a current faculty appointment, the terms must be included in a Faculty Appointment Change Memo (see 3.2.1 and 3.2.2).

(Regents, 7-15-96, 12-3-02, 12-7-12, 9-14-17, 3-9-22, 3-12-24)

### 3.1.8 Primary, Joint, and Secondary Appointments

(a) **Primary Appointment** – A faculty member must have a primary appointment in an academic unit of a college, usually called a department. A primary appointment must be in an academic unit only, not in a Center or Institute or similar entity. For new primary appointment, the terms of the appointment must be included in a Proposed Terms of Faculty Appointment letter. For a modification of a current primary faculty appointment, the terms must be included in a Faculty Appointment Change Memo (see 3.2.1 and 3.2.2).

~~(b)~~ **Joint Appointments** – Appointments in two academic units or colleges (joint appointments) are permissible. Joint appointments must be in academic units only, not in a Center or Institute or similar entity. Joint appointments consist of a primary appointment in two academic units or colleges and cannot total more than 1.0 Full-Time Equivalent (FTE). A joint appointment may be offered to a new or current faculty member who will participate on an ongoing basis in both academic units' activities at a level significant enough to justify compensation and satisfy the Promotion and Tenure requirements of both academic units. The faculty member is appointed with the same title in each academic unit. A faculty member holding a joint appointment is expected to perform the same general responsibilities as the other faculty in each academic unit. Joint appointments must be approved by both academic units and colleges involved, and the Senior Vice President and Provost and where required the President, and the Board of Regents, consistent with the criteria below.

(c) Before a faculty member receives a joint appointment, the appropriate academic units must mutually determine, record in writing, and secure administrative approval for the applicable length of the pre-tenure period, criteria for tenure and promotion, and conditions for reappointment or non-reappointment. For new joint appointment, the terms of the appointment must be included in a Proposed Terms of Faculty Appointment letter. For a modification of a current joint faculty appointment, the terms must be included in a Faculty Appointment Change Memo (see 3.2.1 and 3.2.2).

(Regents, 7-15-96, 12-3-02, 6-25-08, 12-7-12, 9-14-17, 3-12-24)

(d) **Secondary Appointments** – In recognition of teaching, research, or service contributions outside their primary academic unit, faculty members may have one or more secondary appointments in other academic units, subject to approval of the chair of the primary department and the chair(s) of the other academic

unit(s). A secondary appointment is recommended for a faculty member who holds a primary appointment in one ~~A~~academic Unit and who participates in the activities of another academic unit, but at a level that is not equivalent to faculty holding primary appointments of that academic unit. The secondary appointment gives the faculty member recognition for work performed in the secondary academic unit but does not but does not include faculty privileges provided to faculty with a primary appointment in the academic unit. Multiple secondary appointments are permitted, as determine appropriate by each Dean. Secondary appointments are modified by prefixes such as adjunct or clinical.

(Regents, 9-14-17,3-12-24)

- (e) **Center Memberships** – Faculty must have a primary appointment in an academic unit to hold a membership in a center. Memberships to Centers require approval of the primary academic unit but are not an academic appointment. For Center membership criteria, contact the center director.

~~(e)~~ Center Supported Faculty Positions may be made with the input and approval of the chair and dean of the academic home, who must be included in only the complete hiring process and hiring decision. A signed faculty memorandum of understanding (“MOU”) must be in place for the faculty hire. Academic chairs and deans are responsible for the performance and compensation reviews of faculty in these positions; they are expected to seek input from the center director(s) as appropriate. It is expected that the MOU will be updated if the faculty member has a modification that would impact the salary, title, or duties/responsibilities. Centers may not change the compensation appointment, responsibilities, or supervisor assignment for these faculty; only chairs & deans may initiate such changes.

(Regents, 3-12-24)

### 3.2.1 Appointment of New Regular or Limited Term Faculty

In the appointment of new regular or limited term faculty, action is initiated by the primary academic unit through the respective dean to the Senior Vice President and Provost, and where required, the President, in accord with the prevailing policies of the Board of Regents.

- (a) **Proposed Terms of Faculty Appointment (PTFA)** – The PTFA is the initial written statement provided to a newly appointed faculty member by the department chair or dean that describes the proposed terms of the individual’s initial teaching, research, professional/clinical service<sup>1</sup> and administrative responsibilities and other special conditions pertaining to the appointment. The proposal does not represent a contract for employment. Initial responsibilities and/or duties as set forth in the department’s PTFA do not constitute a guarantee or promise that the responsibilities will remain the same throughout the faculty member’s employment. The department chair will provide, or provide access to, copies of the department and/or college tenure and promotion criteria where applicable to the type of appointment. All PTFAs require prior review and approval by the Senior Vice President and Provost.
- (b) **Official Offer of Faculty Appointment (OFA)** – The OFA for regular faculty must come from the Senior Vice President and Provost or the President, and will include, when applicable, the statement that appointment is contingent upon the approval of the Board of Regents. The OFA for limited term appointments must come from the Dean if the compensation is under \$150,000. It must come from the Senior Vice President and Provost and is contingent on approval by the Board of Regents if it is \$150,000 or more. The official offer of faculty appointment will specify academic rank, appointment type (limited term, consecutive term, tenure track), beginning date of employment, base salary/clinical plan, full-time equivalent, length of pre-tenure period if tenure track (see Section 3.8.1(c)), and any special conditions pertaining to employment, including reference to dual employment/appointments and administrative roles and supplements. The OFA is separate from offers made by approved external entities. The official offer will also include information to access an on-line copy of the *Faculty Handbook* and contact information for faculty benefits. If the appointment is contingent upon the approval of the Board of Regents, the faculty member will be notified when such approval is in place.

<sup>1</sup> College of Medicine –dual employees/appointees’ clinical service responsibilities are outlined in the OUH/OUHPI approved external entity employment agreement.

- (c) **Compensation** – The University recognizes that the professional effort of the faculty member may result in compensation in addition to the University base salary or compensation provided by the University. The conditions of such compensation are set out in each college's Professional Practice Plan, Compensation Plan, and/or Faculty Compensation Plan.

(Regents, 7-15-96, 12-3-02, 6-25-08, 12-7-12, 9-14-17, 6-27-19, 9-11-19, 3-9-22, 3-12-24)

### 3.2.2 Changes in Status

- (a) Internal candidates applying for open Regular Faculty positions must meet the promotion and advancement criteria stated in [Section 3.9](#) for the level of position sought.
- (b) **Limited Term to Regular Faculty Positions** - At the request of the faculty member and with the approval of the chair of the academic unit, the dean, and the Senior Vice President and Provost, faculty members initially appointed to limited term appointments may be moved to regular faculty appointments. Limited term appointments may not be changed to Regular Faculty appointments until all ~~Affirmative Action~~ [national search](#) requirements have been completed (i.e., national search, appropriate advertisements) unless a waiver has been approved by the Senior Vice President and Provost and the Institutional Equity Office.
- (c) **Tenure Track to Consecutive Term** – At the request of the faculty member and with the approval of the chair of the academic unit, dean, and Senior Vice President and Provost, faculty members who are on the tenure track may be changed to a consecutive term appointment at any time during the pre-tenure period, but prior to submission of the faculty member's tenure documentation to the Campus Tenure Committee (see [Section 3.8.5 \(j\)](#)). However, a faculty member may not return to a tenure track appointment after such change to a consecutive term appointment.
- (d) **Consecutive Term to Tenure Track** – At the request of the faculty member and with the approval of the chair of the academic unit, the dean, and the Senior Vice President and Provost, faculty members initially appointed to consecutive term appointments may be changed to the tenure track, in which case all University policies relating to tenure shall apply. Upon written request from the faculty member and with the approval of the chair of the academic unit, dean, and Senior Vice President and Provost, up to three (3) years served in a consecutive term appointment may be credited toward the pre-tenure period, and all University policies relating to tenure shall apply (see [Section 3.8.1\(c\)](#)).
- (e) **Tenured Appointments**
- (1) A faculty member granted tenure by the University of Oklahoma who accepts an administrative post within the University retains tenured status as a member of the faculty.
  - (2) A faculty member granted tenure who changes from a full-time appointment to a part-time appointment automatically forfeits tenure status (except as noted in (e)(3)) and (f) below). A faculty member granted tenure who changes from a full-time appointment to a volunteer appointment automatically forfeits tenure status. For clarity, faculty with a dual employment/appointment are considered part-time when their combined FTE is less than 1.0.
  - (3) A tenured faculty member retains tenure during University phased retirement.
- (f) **Temporary Reduction in Employment** - Upon the recommendation of the chair of the academic unit and dean, the Senior Vice President and Provost may approve a tenured, tenure-track, or consecutive term faculty member's written request for temporary reduction in employment from full-time to part-time, if the reduction is for less than six months. In those cases (e.g., Small Business Innovative Research (SBIR) awards) when it is recommended that a tenured or tenure track faculty member be permitted to reduce employment to less than full-time for a period of six months or more and maintain tenured or tenure-track status, specific approval by the Board of Regents is necessary if the faculty member's full-time compensation exceeds \$150,000. A written agreement must be reached among a tenure-track faculty member, the chair of the academic unit, and the dean indicating how the reduction to part-time will affect the length of the faculty member's pre-tenure period. For more information on SBIR/Small Business Technology Transfer (STTR) reductions, see [Section 8.13](#).

- (g) **Primarily Administrative Duties** - Before a tenure track faculty member assumes primarily administrative duties during the pre-tenure period, a written agreement must be reached among the faculty member, the chair of the academic unit, the dean, and the Senior Vice President and Provost as to whether the faculty member will remain on the tenure track, at what time they would be reviewed for tenure, and under what conditions.

(Regents, 12-7-12, 9-14-17, 3-9-22, 3-12-24)

- (f) **Faculty Appointment Change Memo (Change Memo)** – Any changes in faculty status must be documented in a Change Memo. The written statement will be provided to the faculty member by the department chair or dean after the change has been approved by the Senior Vice President and Provost. The Change Memo will describe the appointment change including any modifications to the individual's salary; title; rank; appointment type; the faculty member's teaching, research, professional/clinical service and administrative responsibilities; and other special conditions pertaining to the appointment. Modified responsibilities and/or duties as set forth in the Change Memo do not constitute a guarantee or promise that the responsibilities will remain the same throughout the faculty member's employment. The department chair will provide, or provide access to, copies of the department and/or college tenure and promotion criteria where applicable to the type of appointment. If the appointment change is contingent upon the approval of the Board of Regents, the Faculty member will be notified of approval following the meeting.

(Regents, 3-12-24)

### 3.2.3 Notifications of Non-Renewal or Termination of Tenure Track or Consecutive Term Appointment<sup>2</sup>

Action on the non-renewal or termination during an appointment of individuals having a tenure track or consecutive term appointment is initiated by the chair of the academic unit through the respective dean to the Senior Vice President and Provost, President, and Board of Regents. Dual employment/appointments at OUHSC are contingent on maintaining an employment/appointment with OUH/OUHPI or an approved external entity; no further notice of non-renewal or termination is required when a dual employee/appointee no longer holds an appointment at OUH/OUHPI or the approved external entity.

~~Tenure track or consecutive term appointments can may be terminated for cause pursuant to 3.16.1, with termination effective immediately, and not subject the notice provisions below.~~ Tenure track or consecutive term appointments can be non-renewed or terminated effective at any time and for any other lawful reason, including but not limited to those in Section 3.16.1(i) with the required notice as indicated in (a), (b), (c), and (d) below. Tenure track or consecutive term appointments can also be terminated for cause pursuant to 3.16.1, with termination effective immediately and not subject to the notice provisions below. All notifications of non-renewal or termination shall be given in writing by the Senior Vice President and Provost.

Notification \* (see (e) below) to tenure track or consecutive term faculty of non-renewal or termination without cause:

- (a) Non-renewal or termination within first year of employment\* (to be effective on or before the 365<sup>th</sup> calendar day of employment) requires 90 calendar days' notice
- (b) Non-renewal or termination within second year of employment\* (to be effective from calendar day 366 of employment through day 730) requires 180 calendar days' notice
- (c) Non-renewal or termination within third year of employment\* (to be effective from calendar day 731 of employment through day 1,095) requires 270 calendar days' notice.
- (d) Non-renewal or termination within fourth year of employment\* (to be effective from calendar day 1,096 or beyond) requires 365 calendar days' notice.

<sup>2</sup> For notifications of non-renewal or terminations of Limited Term Appointments, see 3.1.2



- (e) \* The notification period for a faculty member who changes from a limited term faculty appointment to a tenure track or consecutive term appointment will be counted from the date of the change in status and not from the date of initial employment as a limited term faculty member.

\*These provisions do not apply to dual employees/appointees.

~~The tenure track or consecutive term faculty member may appeal non-renewal of employment to the Faculty Appeals Board only if notification practices prescribed in the foregoing paragraphs of this section are not followed.~~ The tenured, tenure track, or consecutive term faculty member may appeal termination of employment to the Faculty Appeals Board if notification practices in the foregoing paragraphs of this section are not followed or if the termination is pursuant to 3.16.1(a)-(c).

(Regents, 7-15-96, 1-26-99, 12-3-02, 6-25-08, 12-7-12, 9-14-17, 3-12-24)

### 3.2.4 Resignation

A faculty member who elects to resign is expected to give at least 30 days' written notice to the department chair and to the dean.

(Regents, 7-15-96, 12-3-02, 6-25-08, 12-7-12, 3-12-24)

### 3.2.5 Administrative Titles

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

- University and Campus Level: President and Senior Vice President and Provost
- Center or Institute Level: Director
- College Level: Dean
- Department: Chair

Academic leaders within departments (e.g., vice chairs) are appointed by the dean on recommendation of the chair and approved by the Senior Vice President and Provost and do not require President or Board of Regents' approval, unless the faculty member's full-time compensation exceeds \$150,000.

The prefixes Executive, Deputy, Vice, Associate, and Assistant are established by the Board of Regents to modify these titles. The name of the college, department, section, or division is designated in the title as a suffix.

- (b) **Non-Academic Administrative Titles** – The titles Vice President, Senior Associate Vice President, Associate Vice President, Assistant Vice President, Vice Provost, Associate Vice Provost, Assistant Vice Provost, Senior Associate Dean, Associate Dean, and Assistant Dean may also be used as administrative titles for staff appointed to these positions at the Health Sciences Center, as established by the Senior Vice President and Provost.

Administrative departments, sections, and divisions are led by Directors, Heads, or Chiefs; are appointed by the dean on recommendation of the chair and approved by the Senior Vice President and Provost; and do not require Board of Regents' approval, unless the staff member's full-time compensation exceeds \$150,000. The usage of the prefixes Vice, Deputy, Senior, Associate, Assistant, Interim, and Acting is the same as with academic administrative titles.

- (c) **Interim and Acting Titles** – The term "interim" may be designated by the Board of Regents when no regularly appointed individual is in office. The term "acting" may be designated by the regularly appointed individual holding the administrative title to the individual who will fulfill that role during the appointed individual's absence from the campus, subject to approval by the appointed individual's supervisor or dean and, the Senior Vice President and Provost. The Senior Vice President and Provost may also designate "acting" titles.

(Regents 12-7-12, 9-14-17, 3-9-22, 3-12-24)



### 3.3 ACADEMIC FREEDOM AND RESPONSIBILITY

#### 3.3.1 Institutional Academic Freedom

The accumulation and exchange of knowledge are among the preeminent purposes of the University, and the acknowledgement of individual academic freedom is one of the cornerstones to ensure such purposes are achieved. Equally important in meeting these goals is the recognition of the right inherent in the responsibility of the Board of Regents to govern the University. "[I]t is the business of a university to provide that atmosphere which is most conducive to speculation, experiment, and creation. It is an atmosphere in which there prevail 'the four essential freedoms' of a university—to determine for itself on academic grounds who may teach, what may be taught, how it shall be taught, and who may be admitted to study." *Sweezy v. New Hampshire*, 354 U.S. 234, 263; 77 S.Ct. 1203; 1 L.Ed.2d 1311 (1957).

#### 3.3.2 Academic Freedom

The 1940 *Statement of Principles on Academic Freedom and Tenure with 1970 Interpretative Comments* of the American Association of University Professors has long been recognized as providing valuable and authoritative guidelines for policy and practice in American colleges and universities. The section on academic freedom below is essentially a restatement of these principles, with some modification and extension consistent with their intent and with later declarations by the Association. In the formulation that follows, these principles have been adopted as University policy by the Regents of the University of Oklahoma.

- (a) Faculty members are entitled to full freedom in research and publication, subject to any restrictions set by law or by applicable codes of professional ethics, and subject to adequate performance of their other academic duties and to stated University policy on outside employment;\* but, except under conditions of national emergency, a faculty member should not undertake to do research on University time or using University facilities or funds under any agreement which would (except for a definitely and reasonably limited time) prohibit open communication of the results. \* NOTE: Dual employment/appointment at OU Health/OU Health Partners, Inc., is not considered to be employment outside of the University.
- (b) Faculty members are entitled to freedom in the classroom in discussing their subject, but it is inappropriate for a teacher persistently to intrude material which has no relation to the subject of instruction.
- (c) As members of the community, university teachers have the rights and obligations of any citizen. They measure the urgency of these obligations in the light of their responsibilities to their subject, to their students, to their profession, and to their institution. In speaking or acting as private persons, faculty members should avoid creating the impression of speaking or acting for their college or university. As a citizen engaged in a profession that depends upon freedom for its health and integrity, the university teacher has a particular obligation to promote conditions of free inquiry and to further public understanding of academic freedom.
- (d) As citizens, university teachers should be free to engage in political activities consistent with their obligations as teachers and scholars. Subject to University policy ([See Section 3.23](#)) some activities, such as seeking election to an office for which extensive campaigning is not required, or service in a part-time political office, may be consistent with effective service as a member of the faculty.
- (e) Since freedom of access to recorded knowledge is essential to learning and research in a democracy, the university's right and obligation to provide a full range of materials on any subject, even though some views might be currently unpopular or controversial, or appear incorrect, shall not be infringed. The principles of academic freedom shall apply to the presence of materials and also to those who provide and those who use them.
- (f) The University endorses the *1967 Joint Statement on Rights and Freedoms of Students with 1990 Revisions* which "...asserts the right of college and university students to listen to anyone whom they wish to hear...affirms its own belief that it is educationally desirable that students be confronted with diverse opinions of all kinds, (and) therefore holds that any person who is presented by a recognized student or faculty organization should be allowed to speak on a college or university campus." Duly constituted

organizations at the University may invite speakers without fear of sanctions. However, in the exercise of these rights, it is clearly recognized that:

(Regents 3-9-22, 3-12-24)

"Membership in the academic community imposes on students, faculty members, administrators, and trustees an obligation to respect the dignity of others, to acknowledge their right to express differing opinions, and to foster and defend intellectual honesty, freedom of inquiry and instruction, and free expression on and off the campus. The expression of dissent and the attempt to produce change, therefore, may not be carried out in ways which injure individuals or damage institutional facilities or disrupt the classes of one's teachers or colleagues. Speakers on campus must not only be protected from violence but must be given an opportunity to be heard. Those who seek to call attention to grievances must not do so in ways that significantly impede the functions of the institution." (1970 Declaration of the AAUP Council with 1990 Revisions).

### 3.3.3 Academic Responsibility

The concept of academic freedom shall be accompanied by an equally demanding concept of academic responsibility. Nothing in the following statement is intended to abridge in any way the principles and procedures advanced in the 1940 *Statement of Principles on Academic Freedom and Tenure with 1970 Interpretive Comments* of the American Association of University Professors. This statement is derived in substantial measure from the June 1987 revisions of AAUP 1966 *Statement on Professional Ethics*.

Faculty members have responsibilities to their students. They shall encourage in students the free pursuit of learning and independence of mind, while holding before them the highest scholarly and professional standards. Faculty members shall show respect for the student as an individual and adhere to their proper role as intellectual guides and counselors. They shall endeavor to define the objectives of their courses and to devote their teaching to the realization of those objectives; this requires judicious use of controversial material and an avoidance of material which has no relationship to the objectives of a course.

Faculty members shall make every reasonable effort to foster honest academic conduct and to assure that their evaluations reflect, as nearly as possible, the true merit of the performance of their students, regardless of their race, color, national origin, sex, sexual orientation, genetic information, gender identity, gender expression, age (40 or older), religion, disability, political beliefs, or status as a veteran. Faculty members shall avoid any exploitation of students for private advantage and shall acknowledge significant assistance in scholarly pursuits from them.

Faculty members have responsibilities to their colleagues, deriving from common membership in a community of scholars. They shall respect and defend the free inquiry of their associates. In the exchange of criticism and ideas, they should show due respect for the opinions of others. They shall acknowledge their academic debts and strive to be objective in the professional judgment of their colleagues. Although service must be voluntary, faculty members should accept a reasonable share of the responsibility for the governance of their institution. If driven by conscience into dissent, the faculty member shall take care that this dissent does not interfere with the rights of colleagues and students to study, research, and teach.

Faculty members have responsibilities to their discipline and to the advancement of knowledge generally. Their primary obligation in this respect is to seek and to state the truth as they see it. To this end, they shall devote their energies to developing and improving their scholarly competence. They shall exercise critical self-discipline and judgment in using, extending, and transmitting knowledge, and they shall practice intellectual honesty.

Faculty members have responsibilities to the educational institution in which they work. While maintaining their right to criticize and to seek revisions, they shall observe the stated regulations of the institution, provided these do not contravene academic freedom. When considering the amount and character of the work they do outside their institution, faculty members must have due regard to their paramount responsibilities within the University and the applicable University policies governing outside employment. All such work at the [University of Oklahoma](#) is governed by the Professional Practice or Compensation Plans of the various colleges.

(Regents, 12-3-02, 6-25-08, 12-7-12, 6-24-15(Regents 12-7-12, 9-14-17,3-9-22, 3-12-24)

## 3.4 FACULTY ACCOUNTABILITY

A faculty member is held accountable for their performance in fulfilling faculty duties (Section 3.5) and in meeting the requirements of academic responsibility (Section 3.3) and University policies.

- (a) Faculty who accept full-time employment at the University owe their first faculty duty to the University. Any other employment or enterprise related to the profession for which they are employed at the University must be secondary to their University duties. During the appointment period, all outside work\* related to the profession for which they are employed at the University must be conducted through a University contract, and all funds generated, if any, must be deposited into University accounts, per the respective colleges' Professional Practice or Compensation Plans. Unless the Plan provides otherwise, agreements to review scholarly publications and grant submissions for which no contract or compensation is provided are not considered to be outside work. Failure to comply with the Plan may result in sanctions and disciplinary actions. See Section 3.16 (e).

\*Work performed by dually-employed/appointed faculty at an approved external entity is not considered to be outside work, so long as the work is within the duties for which the approved external entity regularly compensates the faculty member.

- (b) The obligations of a faculty member to the University are not limited to meeting classes. There are obligations which include, but are not limited to, advising and being available to students; conducting research or scholarly activity; meeting clinical assignments; providing patient care and/or population health services, and supervising students and/or trainees; reading and remaining professionally competent; attending professional meetings; and participating in meetings and essential committee work of the department, the college, and the University as a whole. Faculty positions are not considered remote or hybrid, absent compelling temporary circumstances and appropriate written approvals. Deans and chairs will set expectations for faculty obligations, including office hours and expected and on-campus work day schedules, which may vary depending on semester teaching load, research awards, clinical/service obligations, and the like.
- (c) The most immediate agent of faculty accountability is the faculty member's chair or direct supervisor, who should maintain close and regular communication with the faculty member. Among the various mechanisms for ensuring faculty accountability, the most important include annual evaluations and such periodic evaluations as those for advancement in rank. These processes should serve to identify and acknowledge proficient and responsible performance, reward meritorious performance, and as well as to identify areas that are marginal or need improvement.
- (d) Meritorious, proficient, and responsible faculty performance is first and foremost an individual professional obligation. Responsible performance is also the product of a cooperative effort by faculty members and administrative officers – assisting one another, informing one another, jointly seeking to assure that each faculty member's capabilities are developed fully and creatively. Both the academic unit and the individual faculty member have responsibility to take the necessary steps to overcome performance that is marginal or needs improvement. Just as faculty members are held accountable for their performance, administrators of academic units are held accountable for their leadership in the career development of the faculty in their academic units. Career development remains primarily the responsibility of the faculty member.
- (e) Regular and frequent collegial interactions among students, staff, and faculty are essential to maintaining the integrity of the University as a scholarly community, developing a healthy institutional culture, and ensuring the success of the Health Sciences Center. To meet these goals and effectively perform one's duties and obligations to the University, faculty accountability is expected.
- (f) Concerns regarding a faculty member's performance may originate from the students, faculty colleagues, staff, or administrative personnel. Whenever such a concern is included in the personnel record of the faculty member, or whenever the allegation is the basis for further action or administrative remedies by the department chair, dean, or Senior Vice President and Provost against a faculty member, the faculty member should be notified promptly by the individual initiating the action or administrative remedy, consistent with applicable policy.
- (g) Administrative remedies, including counseling, career development support, reprimands, and other minor sanctions, are available to academic units as a means of attempting to remediate inadequate professional

performance or breaches of academic responsibility. If a faculty member's inadequate professional performance or breach of academic responsibility continues, then the dean or Senior Vice President and Provost may consider applying a minor sanction, such as a formal reprimand. For those cases where they are needed, the University has at its disposal the more drastic measures of abrogation of tenure, severe sanctions, summary suspension, or termination. (Section 3.16)

(Regents, 1-26-99, 12-3-02, 6-25-08, 12-7-12, 9-14-17, 12-7-12, 9-14-17, 3-9-22, 3-12-24)

### 3.5 PROFESSIONAL ACTIVITIES OF THE FACULTY

Above all else, the University exists for learning and scholarship of a breadth and depth that result in excellence in all of the University's major functions: teaching, research and creative/scholarly activity, and professional and University service and public outreach. As such, learning and scholarship may be discipline-centered, multi-disciplinary, or interdisciplinary and inter-professional. Each academic unit has an obligation to contribute to each of the functions of the University. Faculty members play a central role in the realization of these functions and fulfill the obligations of the academic unit by contributing their unique expertise and competence. Decisions regarding tenure, promotions, and University salary increases are based upon an assessment of the faculty member's performance and contribution to the total mission of the University (Section 3.2, 3.6, 3.8, and 3.9).

(Regents, 12-7-12, 3-9-22, 3-12-24)

#### 3.5.1 Teaching

Teaching, which is the transmission of knowledge and cultural values, focuses upon helping students and trainees learn. As a part of its mission, the University is dedicated to undergraduate, graduate, professional, multidisciplinary, interdisciplinary, inter-professional, and continuing and professional education. The term teaching as used here includes, but is not restricted to, giving regularly scheduled instruction, directing graduate work, directing training and career development grants, counseling, and advising students and trainees. This includes the direction or supervision of students and trainees in reading, research, laboratory-based learning, simulation-based learning, clinical rotations, internships, residencies, or fellowships. Faculty supervision, advising, mentoring, or guidance of students and trainees in recognized academic pursuits that confer no University credit also should be considered as teaching. Faculty performing non-administrative professional duties for which they are employed shall be regarded as engaged in teaching when the clear and direct purpose and function of these activities is academic instruction. Professional librarians in the discharge of their professional duties shall be regarded as engaged in teaching.

Faculty members should excel in teaching and exhibit their command over the subject matter in classroom discussions, lectures, online instruction, laboratory or simulation-based instruction, or clinical supervision. They should present material in an objective, organized way that promotes the learning process. They should be recognized by their students, trainees, and University colleagues as persons who guide and inspire learning. They should strive continuously to broaden and deepen their knowledge and understanding of their discipline and stay informed about new developments in their field and in effective modes of instruction. They should seek to improve the methods of teaching their subject, use appropriate instructional methods and technologies, and prepare educational materials that are up-to-date and well-written.

Their influence and reputation as teachers may be evidenced by student, trainee, and peer evaluation as well as by authoring textbooks and by lectures and publications. Additionally, reputation may be evidenced by the publication of such instructional materials as laboratory, simulation, or instructional manuals; teaching cases for classroom; simulation or standardized patients; and development and use of video or audio instruction such as podcasting, online or distance education tools, or multimedia instructional materials and computer-assisted learning. Faculty may also develop and that leverage the use of artificial intelligence tools to augment learning, and/or to refine the scope of assessment tools or techniques. Publication is noted to include peer review and dissemination via traditional or digital means.

(Regents, 7-15-96, 1-26-99, 12-3-02, 12-7-12, 9-14-17, 3-12-24)

#### 3.5.2 Research and Creative/Scholarly Activity

Research, which is the development, validation, and dissemination of new knowledge, focuses upon faculty participation in the extension of knowledge and maintenance of professional development and vitality. The term

*research* as used here is understood to mean systematic, original investigation directed toward the expansion of human knowledge or the solution of contemporary problems. *Creative/Scholarly activity* is understood to mean significantly original or imaginative accomplishment within the framework of the academic unit(s). Examples of scholarly activity might also include synthesis of new ideas as gleaned from published data, team science, individual or team-based technology transfer successes, patent awards, health system research, implementation research, new application of information technology or artificial intelligence to improve education or health care, [population health](#), [health literacy](#), community-engaged scholarship, etc. The criteria for judging the original or imaginative nature of research or creative/scholarly activity must be the generally accepted standards prevailing in the applicable discipline or professional area. To qualify as research or creative/scholarly activity, the results of the endeavor must be disseminated either through publication in peer-reviewed journals or presentation at national or international symposia, conferences, and professional meetings and must be subject to critical peer evaluation by established authorities outside the University in a manner appropriate to the discipline or professional area. It is expected that the significance of the research or creative/scholarly activity will be evaluated at national and international levels. One element of such an evaluation would be the ability of the faculty member to successfully compete for, and acquire, peer-reviewed, extramural grant or contract funding.

(Regents, 7-15-96, 12-3-02, 9-14-17, 3-12-24)

### 3.5.3 Professional and University Service and Public Outreach

- (a) Professional and University service and public outreach, which require the application of knowledge gained through research or creative/scholarly activity or the design and implementation of evidence-based practices in clinical or health care provision or population health interventions, focus upon resolving contemporary problems, identifying new areas for inquiry and development, and sharing knowledge with the larger community. Except as noted in (b) and (c) below, the term professional service always refers to activities directly related to the faculty member's discipline or profession.

Included in professional service are such activities as continuing education; artistic or humanistic presentations; official service in relevant commissions, advisory boards, or agencies (public or private) related to the faculty member's discipline or profession; service to professional communities outside the University; consultation; and participation in a specialized professional capacity in programs sponsored by student, faculty, or community groups, including interdisciplinary and interprofessional programs.

Professional service also includes leading core research support services, editing professional journals or other publications; writing book reviews in professional journals; and reviewing research papers and manuscripts submitted for publication.

Other examples of professional service can include clinical service contributions such as health care delivery; clinical leadership as evidenced by serving as head of a division, department, or specific clinic service; acquisition and introduction or development of new health care techniques, procedures, or clinical approaches; demonstrable improvement (quality, utilization, access) in delivery of health care or [population health services](#); dissemination and implementation in community practice; and contribution to clinical service lines.

Examples of public outreach include such activities as development of community health-related outreach programs; participation in approved, non-compensated, community health related public outreach efforts; improvement in clinical management; and management of facility-based functions such as quality improvement, infection control, utilization review.

- (b) The nature of the academic enterprise is such that the faculty properly shares in responsibilities involving the formulation of the University's policies by participation in University governance. The faculty has a major responsibility in making and carrying out decisions affecting the educational and scholarly life of the University. Faculty members have a responsibility to contribute to the governance of the University through timely participation on committees, councils, or other advisory groups at the department, college, or University level, and through service within the University that reflects an application of specialized knowledge or skill to the University's affairs.
- (c) Other areas of activity in which faculty members may have assignments include:

- 1) **Administration.** Many faculty members are called upon to perform administrative tasks. These include service in such positions as department chair, associate or assistant dean, or director of a program, core facility, center, or institute.
- 2) **Public Relations.** On occasion, the University's interests are served by requesting faculty members to perform public relations tasks that might not necessarily involve the faculty member's discipline. These may include participation in a professional capacity in programs sponsored by student, faculty, or community groups or appearances as a University representative before government bodies or citizen groups.

(Regents, 12-7-12, 9-14-17, 3-12-24)

### 3.5.4 Public Outreach Policy

#### (a) Public Outreach Defined

As part of its overall mission, the OUHSC is committed to improving the health of the citizens of Oklahoma, the nation, and the world. This includes the faculty members' professional service efforts via the colleges' group practice and compensation plans, as well as their approved, non-compensated, community health related public outreach efforts ("Public Outreach"). Faculty participation in civic activities such as serving on an art museum board, or school board, or on church related activities (i.e., activities not associated with intentional efforts to build pathways into the health professions and biomedical sciences) are not included in this definition of Public Outreach, and as such, civic activities are-is not governed by this policy.

Public Outreach creates opportunities for OUHSC faculty and students to provide better, more culturally competent health care in the community and/or to share their scientific research and/or evidence-based knowledge with the community toward this end. Public Outreach also helps OUHSC faculty and students learn to be aware of, engaged in, and responsive to the needs of our diverse population.

#### (b) Criteria Governing Public Outreach Activities

Faculty members may be permitted to dedicate University time and professional service to Public Outreach if they (a) demonstrate that the proposed Public Outreach effort furthers the mission of the OU Health Sciences Center; b) demonstrate that the proposed Public Outreach effort meets each of the following three criteria; and c) obtain approval from the department chair:

- 1) is not compensated
- 2) if applicable, is covered by the faculty member's malpractice insurance.
- 3) does not conflict with a faculty member's primary responsibilities as a University employee or negatively impact the needs or resources of the department

#### (c) PPP/Compensation Plan Exception for Certain Public Outreach Activities

Faculty members who are subject to their college's Professional Practice Plan (PPP) or Compensation Plan may be permitted to dedicate, for the purpose of Public Outreach, time and professional service, as defined under the Plan, with approval by the department chair, if the proposed Public Outreach effort meets each of the following:

- 1) is not compensated
- 2) if application, is covered by the faculty member's malpractice insurance
- 3) does not conflict with a faculty member's primary responsibilities as a University employee or negatively impact the needs or resources of the department

The faculty member must comply with all other requirements of the PPP or Compensation Plan and the faculty member's appointment.

#### (d) Template Agreement

It is a University requirement that a **written** agreement be in place for professional and Public Outreach services of OUHSC employees with outside entities.\* A template for Public Outreach activities has been

prepared and is available through Vice President of Research Office and the Office of Legal Counsel. Faculty desiring to participate in Public Outreach activities that meet the criteria listed above must complete the template and obtain the appropriate signatures indicated on the template prior to beginning the activity. A signed copy of the template must be forwarded to the Dean's Office and to the department for retention.

\* NOTE: Dual employment/appointment at OU Health is not considered to be employment outside of the University.

(Administrative policy of the Senior Vice President and Provost – Revised September 2011; Regents 3-9-22, 3-12-24)

### 3.6 FACULTY EVALUATION

The evaluation of faculty performance is a continuous process. The fundamental purpose of periodic performance reviews is to identify areas of faculty ~~accomplishments~~ achievement, areas for growth and further development, and/or any areas of faculty performance deficiencies and with regard to identified deficiencies, to provide such faculty opportunities and incentives to correct the deficiencies. An annual performance review of each Regular or Limited Term faculty and Emeritus faculty holding an FTE as well as Health Professions Educators<sup>3</sup> is the responsibility of the chair or director of the specific academic unit with review by the dean. The chair or director must provide direct, balanced, and thorough feedback in writing to the faculty member relative to the faculty performance evaluation each year. The evaluation should contain sufficient specificity to identify areas of strength and those areas where growth or improvement are needed. A systematic procedure for accomplishing such evaluations shall be developed in each academic unit, consistent with the direction of the dean and Senior Vice President and Provost.

The criteria for evaluation shall be carefully and clearly stated and must be in accord with Sections 3.4 and 3.5. Specific faculty assignments within an academic unit and the specific mission of a particular academic unit may modify the relative weight given to any specific area of professional activity from time to time depending on University or academic unit needs. Such modifications should be conveyed in writing by the head of the academic unit prior to implementation.

Tenure decisions, non-renewal, and termination of tenure track or consecutive term appointments, salary adjustments, and promotions in rank shall be based on systematic evaluations of faculty performance in the areas specified by the department chair and will include teaching, research and creative/scholarly activity, and professional and University service and public outreach, as well as the needs of the department and college. An assessment of the faculty member's overall contribution to the college and the mission of the University, as well as that person's adherence to the standards of faculty accountability as noted in Section 3.4, must be included in any faculty evaluations.

(Regents, 12-3-02, 6-25-08, 12-7-12, 9-14-17, 3-12-24)

### 3.7 SALARY ADJUSTMENTS

- (a) The most frequent reflection of a continuing faculty evaluation system is in the annual recommendation for merit salary increases. Deserving faculty should be rewarded, within the limits of the financial resources of the University and policies of the University, for excellent performance as set out in the specific criteria for evaluation of faculty performance (Sections 3.4 and 3.5).
- (b) In certain circumstances salary increases may cause the salary of a faculty member to equal or exceed the salary of faculty in higher ranks.
- (c) Faculty assignment of additional administrative or managerial responsibilities may necessitate additional salary adjustment through an administrative supplement commensurate with assigned duties.
- (d) Under no circumstances will increases in salary be based upon race, color, national origin, sex, sexual orientation, genetic information, gender identity, gender expression, age (40 or older), religion, disability, political beliefs, or status as a veteran.

(Regents, 12-7-12, 6-24-15, 9-14-17, 3-12-24)

<sup>3</sup> Annual Evaluation of Volunteer faculty is expected but need not be on the same timeline or use the same evaluation tool as that used for Regular or Limited Term Faculty, Health Professions Educators and Emeritus faculty members who hold an FTE.



### 3.7.1 Procedures for Salary Adjustments

- (a) The chair of the academic unit will annually collect (1) achievement data from all academic unit faculty and (2) evaluations of each faculty member's performance from those who are in supervisory positions and from other sources.
- (b) For each recommended salary adjustment, the chair will prepare a justification for the recommendation based on the faculty member's performance of their ~~education~~teaching, research and creative/scholarly activity, professional associations, University service and public outreach, and administrative responsibilities, as well as on the faculty member's clinical service contributions, and as based on the College's Professional Practice or Compensation Plan and forward to the dean.
- (c) The dean will review each recommendation and notify the chair of any changes or adjustments made to the recommendation.
- (d) The salary recommendations from the college will be forwarded from the dean to the Senior Vice President and Provost for additional discussion, further recommendations, and administrative action.
- (e) The chair will be available to discuss with each faculty member the reasons for the salary recommendation that was made-as soon as feasible following final approval.
- (f) Upon occasion, adjustments in salary may be needed to correct inequities caused by annual variations in available funds, changing conditions in the academic profession or in the economy, or other elements beyond the University's control. The responsibility for recommending adjustments, where needed, lies primarily with the dean. After consultation with the appropriate academic unit, the dean recommends to the Senior Vice President and Provost specific salary adjustments to correct evident inequities. In all cases, adjustments should be made only as funds are available and within the current programs and procedures for increases.
- (g) If approved, any salary adjustments must be documented in a Change Memo (see Section 3.2.2 (f)). If the faculty member's full-time compensation exceeds \$150,000, the salary adjustment will be contingent upon Board of Regents' approval.

(Regents, 12-3-02, 6-25-08, 9-14-17, 3-9-22, 3-12-24)

## 3.8 FACULTY TENURE

The granting of tenure implies a mutual responsibility on the part of the University and the tenured faculty member. Tenure is designed as a means to protect the academic freedom of faculty members and to assure freedom of scholarship and teaching by professional scholars and teachers. The right to academic freedom does not diminish the faculty member's responsibilities under [Section 3.4](#), Faculty Accountability. In granting tenure to a faculty member, the University makes a commitment to the faculty member's continued employment subject to certain qualifications [\(Section 3.16\)](#). The University expects that tenured faculty members will maintain the level of performance by which they initially earned tenure. Only the portion of annual base salary or compensation (for example, in the College of Medicine, the University base [X1]) paid by the University is committed in the granting of tenure unless otherwise agreed to in writing by the chair of the academic unit, the dean of the college, the Senior Vice President and Provost, the President, and the Board of Regents.

(Regents, 3-9-22)

### 3.8.1 Definitions

- (a) The term **academic year** refers to the period July 1 through June 30.
- (b) The term **tenure** means continuous reappointment to an achieved academic rank. Tenure must be granted or denied by specific action of the Board of Regents.
- (c) The term **pre-tenure period** refers to the period of employment at the University in a tenure track appointment prior to the time the faculty member is evaluated for the granting of tenure. Full-time tenure track faculty will generally have a pre-tenure period of six (6) years. Thus, the tenure application will be

submitted no later than the fall of the seventh academic year. In certain circumstances, and in consultation with the faculty member, the chair of the academic unit and dean may request an extension of the pre-tenure period not to exceed three (3) years. If a pre-tenure extension is granted, the tenure application must be submitted no later than the fall of the last extension year.

- (d) The term **prior full-time service** means full-time academic employment at an institution of higher education (including the University of Oklahoma).

### 3.8.2 Fiscal Responsibility

In each case where a tenure-track position is proposed, there must be assurance from the chair of the academic unit to the dean that continuing financial support is identified to fund the salary line. The Senior Vice President and Provost, in conjunction with the respective deans, shall determine whether funds are sufficiently secure to support the awarding of tenure.

### 3.8.3 Pre-tenure Period

- (a) Full-time tenure track faculty will generally have a pre-tenure period of six (6) years. Thus, the tenure application will be submitted no later than the fall of the seventh academic year. In certain circumstances, and in consultation with the faculty member, the chair of the academic unit and dean may request an extension of the pre-tenure period not to exceed three (3) years. If a pre-tenure extension is granted, the tenure application must be submitted no later than the fall of the last extension year.
- (b) The first year of the pre-tenure period for a faculty member whose effective date of service is between July 1 and December 31 will be that academic year. If the effective date of service is between January 1 and June 30, the first year of the pre-tenure period will begin with the next academic year.
- (c) For assistant professors, the pre-tenure period may include up to a total of three years in prior full-time service in a consecutive term or tenure track appointment at the University or in comparable professorial ranks at another institution. For associate professors and professors, up to a total of four years of prior service at the University or in professorial rank at another institution may be included. The faculty member must request in writing at the time of the first regular tenure track appointment that prior service be included. Inclusion of prior service requires approval by the chair of the academic unit, the dean, and the Senior Vice President and Provost.
- (d) A new faculty member appointed at the rank of associate professor or professor may be considered for tenure from the date of appointment provided the faculty member prepares and timely submits the appropriate documentation, per [Section 3.8.5](#), no later than the next annual tenure and promotion cycle. The determination of tenure shall be made as specified in [Section 3.8.4](#) and [Section 3.8.5 \(b\) through \(r\)](#). In select circumstances, a highly-qualified new faculty member may be appointed with tenure if all of the following are met:
1. the faculty member has been tenured at an accredited research university, and the record demonstrates continued high-level performance;
  2. the faculty member will fill a leadership, highly specialized, strategic, or specialty position, as determined by the dean and Senior Vice President and Provost;
  3. the chair and dean of the appointing department and college have evaluated the faculty member's record and determined it to meet the tenure expectations of each; and
  4. the Senior Vice President and Provost agrees the faculty member's record supports tenure upon hire
- ~~(d)~~(e) Tenure may be recommended by an academic unit for faculty members of high merit prior to the end of the pre-tenure period. An academic unit's recommendation to grant early tenure should be based on exceptional performance for at least two years at the University. If early tenure is not granted the faculty

member may, subject to contract continuation or renewal, continue to serve in the pre-tenure period and be considered for tenure at the end of the pre-tenure period without prejudice.

- ~~(e)~~(f) When a non-tenured part-time faculty member changes from part-time to full-time tenure track status, specific written understanding among the faculty member, chair, and dean must be approved by the Senior Vice President and Provost at the time of the change as to how, if at all, the period of part-time service may be counted toward satisfying the pre-tenure period.
- ~~(f)~~(g) A maximum of one year of leave of absence without pay may be counted as part of the pre-tenure period, provided the chair of the academic unit records in advance of the leave in writing the agreement with the faculty member as to how the professional activities carried out during the leave will be appropriately evaluated by the chair and secures approval by the dean and Senior Vice President and Provost.
- ~~(g)~~(h) If a tenure track faculty member takes extended leave for six or more consecutive months, the pre-tenure period prior to a tenure decision may be extended for one year at the written request of the faculty member with the approval of the chair of the academic unit, dean, and Senior Vice President and Provost.
- ~~(h)~~(i) A faculty member at any rank who is denied tenure shall be retained until the end of the academic year following that year in which tenure was denied (i.e., the terminal year) unless the faculty member is dismissed according to [Section 3.16](#). An appeal of denial of tenure shall not have the effect of extending the faculty member's terminal year.

Under certain extraordinary circumstances due to the University's clinical care, service, or teaching obligations, a faculty member who has been denied tenure may be granted a consecutive term or temporary appointment upon recommendation by the chair of the academic unit, dean, and Senior Vice President and Provost and approved by the Board of Regents.

- ~~(i)~~(j) Faculty members granted tenure will normally commence their tenured appointments in the academic year immediately following the Board of Regents' action.

### 3.8.4 Criteria for the Tenure Decision

- (a) The decision that the University makes in granting tenure is crucial to its endeavors toward academic excellence. A decision to grant tenure must reflect an assessment of high professional competence and academic performance measured against national standards in the discipline or professional area. Tenure should never be regarded as a routine award based upon length of service.
- (b) The tenure decision shall be based on a thorough evaluation of the candidate's total contribution to the college and the mission of the University and of the candidate's adherence to the fundamentals of faculty accountability as noted in [Section 3.4](#). While specific responsibilities of faculty members may vary because of special assignments or the particular mission of the academic unit, all evaluations for tenure shall address the manner in which each candidate has performed in:
  - (1) Teaching ([Section 3.5.1](#))
  - (2) Research and Creative/Scholarly Activity ([Section 3.5.2](#))
  - (3) Professional and University Service and Public Outreach ([Section 3.5.3](#))
- (c) All candidates for tenure must have demonstrated a record of substantial accomplishment in each of the three areas (teaching, research and creative/scholarly activity, and professional and University service and public outreach) and evidence of excellence in two areas. In order for tenure to be granted, the faculty member must document a record of scholarly attainment in teaching, research and creative/scholarly activity, and professional and University service and public outreach.
- (d) Each college, with the approval of the dean and the Senior Vice President and Provost, shall establish and publish specific criteria for evaluating faculty performance in teaching, research and creative/scholarly activity, and professional and University service and public outreach. The criteria must be made available to the faculty in that college. The criteria which the departments and colleges establish normally reflect more specific

standards for both promotion and tenure than those described in general terms in the *Faculty Handbook*, [Section 3.8.4](#). These department and college criteria must be in accord with and may not supersede the criteria described in this section. The criteria for tenure will be in full force unless an exception is specified in writing. Consequently, all faculty should also become familiar with the departmental, college, and University criteria.

- (e) Any exception to faculty evaluation on performance in each of the three areas of teaching, research and creative/scholarly activity, and professional and University service and public outreach must be documented in writing at the time the exception is made. The exception must be agreed upon by the faculty member and the department chair and approved in writing by the dean and Senior Vice President and Provost.
- (f) As part of the overall tenure process, the department chair should provide the opportunity for faculty to receive advice on a regular basis as they develop their careers. Annual written evaluations of faculty by department chairs are essential to the faculty development process and are an annual requirement that each department chair must fulfill. [\(Section 3.6\)](#).
- (g) If the criteria for tenure are changed by the Board of Regents during a faculty member's pre-tenure period, the faculty member may elect to be evaluated under the approved criteria in effect at the beginning of the faculty member's pre-tenure period.
- (h) The granting of tenure carries with it the expectation that the University will continue to need the services of the faculty member and that the financial resources will be available for continuous employment. It also carries the expectation that the faculty member will maintain or improve upon the level of professional competence and academic performance required for tenure. The performance of all faculty, both prior to and following the granting of tenure, is to be evaluated annually as part of the University's faculty evaluation process [\(Section 3.6\)](#).

### 3.8.5 Procedures for Tenure Decision

- (a) The chair of the academic unit ([see Section 2.8.1 \(c\)](#)) shall notify a faculty member who is eligible for tenure consideration at least six months before the date tenure materials are to be submitted to the department chair.
- (b) The chair of the academic unit will request the candidate for tenure to submit material that will be helpful to provide a thorough representation of the faculty member's performance or professional activities in relation to the tenure criteria. It is the responsibility of the candidate to provide accurate, thorough, and clear evidence of accomplishments for review at the departmental, college, and University levels. The candidate is advised to consult with the chair and any other senior colleagues concerning the materials to include.
- (c) Responsibility for gathering complete documentation of professional activity rests with the individual faculty member except for securing letters of evaluation, which are solicited by the chair. The chair shall assist the faculty member, upon request, in determining what to include in the tenure documentation. The chair also may solicit information to include with the faculty member's tenure documentation. The faculty member is entitled to review the information in his/her tenure file. However, letters of evaluation and/or recommendation that are solicited by the chair in confidence or sent with the expectation of confidentiality shall be deemed confidential and unavailable to the faculty member unless otherwise ordered by a court of law.
- (d) Documentation of the faculty member's academic accomplishments should include, but not be limited to the following:
  - 1) Complete and up-to-date curriculum vitae, including a summary of college and university degrees earned; all professional employment; all professional honors and awards; teaching, research and creative/scholarly activity, including an up-to-date list of professional publications by author in chronological sequence; and professional and University service and public outreach elements. Manuscripts in press or submitted for publication and abstracts in press or under review for national or international presentation should be listed separately [\(See 3.8.5\(d\), 3.4, and 5\)](#).

- 2) Letters of evaluation of academic performance in teaching, research and creative/scholarly activity, and professional and University service and public outreach should be solicited by the chair after consulting with the candidate. Where relevant, letters of evaluation should in particular address the candidate's role in interdisciplinary/team-based research. There should be three letters of evaluation from individuals outside the University of Oklahoma who are considered established authorities in the discipline and who are in a position to evaluate the candidate's academic performance and suitability for tenure. These letters may be solicited from individuals who were not suggested by the candidate. There may also be up to three local letters to document an assessment of an individual's contributions to and accomplishments in activities such as teaching, team-based research, multidisciplinary or interdisciplinary educational or research projects, and University and/or clinical service.
- 3) Documentation of teaching accomplishments should reflect the candidate's contribution, quality, innovation, and impact of teaching. This might include summary documentation of teaching evaluations by students/trainees; notation of teaching awards; and description of teaching responsibilities, materials, and techniques which are unique and demonstrate innovative approaches or outstanding quality in undergraduate, graduate, or professional instruction (e.g., integration of multimedia into courses, development of web-based content and course materials, computer software development, creation of innovative laboratory or simulation exercises, simulation techniques, multidisciplinary and interdisciplinary education).
- 4) Documentation of research and creative/scholarly accomplishments should reflect the level and quality of the candidate's research and creative/scholarly activity. Recognition of research and creative/scholarly accomplishments could be demonstrated by chairing or organizing symposia or editing books or journals in the professional or inter-professional discipline; publishing books, book chapters, policy briefs, and articles in peer-reviewed journals; publishing abstracts; participating as a presenter in regional, national, and international symposia, conferences, and professional meetings; the ability to acquire extramural grant or contract funds, as a principal investigator, or as a multiple-principal investigator on interdisciplinary and team-based research extramural grants or contracts funded through peer review mechanisms; and entrepreneurial activity including patents, copyrights, and trademarks.
- 5) Documentation of professional and University service and public outreach, which may include University or approved external entity clinical service contributions, should reflect the level and quality of the candidate's professional, inter-professional, and/or clinical service contributions. Documentation might consist of leadership positions in local, state, regional, or national associations; service on advisory boards for granting agencies or professional organizations; outstanding college or University committee work; consultantships; clinical and administrative leadership as evidenced by serving as head of a division, department, specific clinic service, research center, or core facility; evidence of acquisition, introduction, or development of new health care techniques, procedures, or clinical or professional practice approaches; development, deployment, improvement, and/or evaluation of community health-related outreach programs; improvement in clinical, administrative unit, center or facility management; documentation of increased referrals or professional service contracts; demonstrable improvement (quality, utilization, access) in delivery of health care or other professional services; and related published manuscripts and abstracts, including those of clinical case studies, monographs, reviews, reports to administrative agencies, and book chapters.

(Regents, 3-9-22, 3-12-24)

- (e) The chair of the academic unit is responsible for providing copies of the candidate's complete tenure file to each of the tenured faculty of the academic unit at least two weeks prior to the vote.
- (f) All tenured faculty in the academic unit who are available shall meet for a discussion of the candidate's qualifications for tenure. The candidate shall not be present during the discussion of their qualifications but shall be available to enter the meeting on invitation to answer questions or clarify qualifications.

Formal consideration for tenure shall originate with the polling by secret ballot of all tenured faculty of the candidate's academic unit, including, when practical, those who are on leave of absence. The chair of the

academic unit or other administrative personnel required to submit a separate tenure recommendation shall not participate in this vote.

At times the small number of tenured members of an academic unit (fewer than five) prevents appropriate academic unit tenure review. In such instances, the dean of the college, in consultation with the chair of the academic unit involved, shall for this purpose either establish the full college as the academic unit or establish an *ad hoc* tenure review committee by selecting a sufficient number of tenured University faculty from both within and outside of the college to constitute a total of five members to serve as the candidate's academic unit tenure review committee. In the latter instance, all eligible tenured faculty from the college must be included before looking outside the college.

When a tenure proceeding is initiated prior to the last pre-tenure year (see Section 3.8.3 (e)) and the result of the faculty vote is negative, that information shall not be forwarded, and tenure will be considered at the end of the pre-tenure period without prejudice.

- (g) The chair shall submit a separate tenure recommendation with supporting reasons.
- (h) All recommendations concerning tenure shall be in writing and, with the exception of the faculty recommendation resulting from the confidential poll within the department, reasons for the recommendation must be stated at the time recommendations are made. At the time recommendations are made at each stage of the review process (chair, dean, Campus Tenure Committee, Senior Vice President and Provost, President), written notification of such recommendation must be provided to the chair and to the candidate by the person or committee making the recommendation.
- (i) Copies of the academic unit's and chair's recommendations and all appropriate documentation upon which recommendations were based will be forwarded to the appropriate dean. Each dean will have an advisory council for tenure review and may also request information and advice from any source.
- (j) Upon receipt of the advisory council recommendation, and after due deliberation, the dean may recommend to grant tenure, to deny tenure, or to defer tenure consideration for a specified period of time. The dean will attach a recommendation with supporting reasons to the tenure materials, including the recommendation of the advisory council; forward all materials to the Office of the Senior Vice President and Provost for distribution to the Campus Tenure Committee. The dean will notify the candidate and the chair of the academic unit of the recommendation.
- (k) The Campus Tenure Committee will be composed of thirteen tenured faculty members recommended by the Faculty Senate (two from each college, excluding the Graduate College, and one from the Tulsa campus) on staggered three-year terms, and approved by the President. To avoid a conflict of interest, Campus Tenure Committee members shall recuse themselves from the discussion and from the vote on candidates from their own academic unit. In addition, Campus Tenure Committee members may vote at only one stage in the process – either at their academic level or at the Campus Tenure Committee level; when the member's academic unit needs the member to vote at the academic level to meet the minimum five tenured faculty requirement, the Campus Tenure Committee member shall vote at the academic level and recuse from voting at the Campus Tenure Committee level.
- (l) In determining its recommendation, the Campus Tenure Committee may request information or advice from any source. The tenure file will be returned to the academic unit for remedy or correction if there are deficiencies found in the academic unit's recommendation.
- (m) The Campus Tenure Committee shall provide the Senior Vice President and Provost with input as to whether the academic unit's recommendation is consistent both as to substance and process with the approved tenure criteria Section 3.8.4.
- (n) The Campus Tenure Committee will attach its recommendation to the tenure materials; forward all materials to the Office of the Senior Vice President and Provost with supporting reasons; and notify the candidate, the chair of the academic unit, and the college dean of its recommendations.

- (o) The Senior Vice President and Provost may request information and advice from any source prior to making a recommendation.
- (p) If the Senior Vice President and Provost plans to submit a recommendation contrary to that of the Campus Tenure Committee, the Senior Vice President and Provost shall notify the chair of the Campus Tenure Committee in time to allow a thorough discussion between them before this recommendation is made.
- (q) After due deliberation, the Senior Vice President and Provost may recommend to grant tenure, to deny tenure, or to defer tenure consideration for a specified period of time. The recommendation of the Senior Vice President and Provost will be submitted to the President.
- (r) If the President plans to submit a recommendation contrary to that of the Senior Vice President and Provost and/or the Campus Tenure Committee, the President shall notify the appropriate party(ies) in time to allow a meeting between the President and the party(ies) prior to submitting a recommendation.
- (s) The President will notify the faculty member, chair, dean, and Senior Vice President and Provost by May 31 of the tenure decision, except when an appeal is pending.
- (t) The faculty member under review may appeal in writing to the Faculty Appeals Board at any time during the tenure review process if the faculty member believes that procedural violations have occurred or academic freedom has been violated. Appeals on these bases must be made within 30 calendar days after the faculty member's discovery of the alleged violation.

If the faculty member believes he/she has been discriminated against during the tenure review process, the faculty member may appeal discrimination on the basis of race, color, national origin, sex, sexual orientation, genetic information, gender identity, gender expression, age (40 or older), religion, disability, political beliefs, or status as a veteran to the University Institutional Equity Officer. Appeals on these bases must be made within 180 calendar days after the faculty member's discovery of the alleged violation.

The tenure review process is suspended while an appeal to either the Faculty Appeals Board or University Institutional Equity Officer is pending. When the tenure appeal prevents the tenure process from being completed before the end of the terminal year (Section 3.8.3(j)), the appeal shall not extend the faculty member's terminal year, even if the appeals process is not completed at the end of the terminal year. If the appeal is ultimately granted, the tenure review process will resume where it was suspended. If the faculty member is ultimately granted tenure at the completion of the tenure review process and that faculty member had been dismissed at the end of the terminal year, the faculty member will be reinstated with back pay of base salary and applicable fringe benefits that would have been earned from the date of termination to the date of reinstatement.

(Regents, 7-15-96, 1-26-99, 12-3-02, 6-25-08, 12-7-12, 6-24-15, 9-14-17, 3-12-24)

### 3.9 FACULTY PROMOTION

A promotion reflects a positive appraisal of high professional competence and accomplishment as judged and evaluated by individuals in the faculty member's profession at the local, regional, national, or international level as appropriate to the rank being sought, and by individuals within the University (see Section 3.9.1). Promotion decisions are made independently from tenure decisions.

#### 3.9.1 Criteria for Promotion

Decisions to promote a faculty member in any appointment type must be made ~~in light of~~ based on a thorough evaluation of the faculty member's performance in all the areas of faculty activity (Sections 3.5.1, 3.5.2, and 3.5.3) as specified in the department and college promotion and tenure criteria and procedures. Promotion criteria for tenure track faculty must be consistent with those criteria for tenure contained in Section 3.8.4 (a) – (e).

Internal candidates applying for an open position of higher rank must meet the promotion and advancement criteria stated in Section 3.9 for the college in which the position is open.



Each college must have a document that sets forth the standards and procedures governing promotion of faculty within each department of the college. The department and college documents may specify standards that are more specific than those of the University, provided they do not conflict with the standards of the University, and the procedures must be consistent with the procedures described herein. The document must be approved by the faculty of the college, the dean, and the Senior Vice President and Provost. The document must be distributed or made available to the faculty of the academic unit.

The candidate's performance will be measured against the following institutional criteria, in addition to the criteria defined in the department and college promotion documents:

- (a) Promotion to assistant professor is usually based on an advanced degree and/or certifications(s) that are standard prerequisites for an academic appointment in the discipline, appropriate experience, and promise for academic accomplishment.
- (b) While early consideration is possible, promotion to associate professor is usually based on five (5) or more years as an assistant professor; a sustained record of academic accomplishment in teaching, research and creative/scholarly activity, and professional and University service and public outreach; and strong academic performance and promise. This record of accomplishment must document an emerging reputation of local, regional, national, or international scope in the candidate's academic field. Professional publications are an important element in assessing regional or national recognition. Other factors may also be considered, such as presentations at conferences and leadership roles in professional societies.
- (c) While early consideration is possible, promotion to professor is a high honor and is usually based on five (5) or more years as an associate professor and demonstration of superior achievements and continued excellence in academic endeavors. Faculty promoted to this rank should have achieved national or international recognition for work in their respective disciplines, as evidenced by major contributions to teaching, research and creative/scholarly activity, and professional and University service and public outreach.
- (d) Length of time in a given rank is not in itself a sufficient reason for promotion.
- (e) Promotion should indicate that the faculty member has comparable accomplishments to others in the same rank and discipline at peer institutions.

### 3.9.2 Procedures for Promotion

- (a) The process regarding advancement in rank shall originate in the academic unit(s) (see Section 2.8.1 (c)), according to timelines determined by the Senior Vice President and Provost.
- (b) The college dean or the Senior Vice President and Provost may require the chair of an academic unit to initiate consideration of promotion for an individual faculty member. In such a case, the academic unit must forward a recommendation to the dean or Senior Vice President and Provost, whether or not it is favorable.
- (c) Primary responsibility for gathering complete information on professional activity rests with the individual faculty member except for securing letters of evaluation, which rests with the department chair. In general, documentation of the individual's academic accomplishments should include, but not be limited to the following:
  - 1) Complete and up-to-date curriculum vitae, including a summary of college and university degrees earned; all professional employment; all professional honors and awards; teaching, research and creative/scholarly activity, including an up-to-date list of professional publications by author in chronological sequence; and professional and University service and public outreach elements. Manuscripts in press or submitted for publication and abstracts in press or under review should be listed separately (See 3.8.5 (d) (3)(4)(5)).~~should be listed separately.~~
  - 2) Letters of evaluation of academic performance in teaching, research and creative/scholarly activity, and professional and University service and public outreach will be solicited by the chair after

consulting with the candidate. Where relevant, letters of evaluation should in particular address the candidate's role in interdisciplinary/team-based teaching and research. There should be three (3) letters of evaluation from individuals outside the University of Oklahoma who are considered established authorities in the discipline and who are in a position to evaluate the candidate's academic performance and suitability for promotion. These letters are invited by the department chair, section chief, or division head and may be solicited from individuals who were not suggested by the candidate. There may also be up to three (3) local letters to document an assessment of an individual's contributions to and accomplishments in activities such as teaching, team-based research, interdisciplinary educational or research projects, and University and/or clinical service. Letters of evaluation and/or recommendation that are solicited in confidence or sent with the expectation of confidentiality shall be deemed confidential and unavailable to the faculty member unless otherwise ordered by a court of law.

Examples of documentation of teaching, research and creative/scholarly activity and professional and University service and public outreach accomplishments are noted in [Section 3.8.5 \(d\) \(3\)\(4\)\(5\)](#).

- (d) All faculty who hold Regular Faculty appointments in the primary department who are of equal or higher rank to that for which the candidate is being considered and who are available shall meet for a discussion and vote on the candidate's qualifications for promotion.

Formal consideration for promotion shall originate with the polling by secret ballot of all faculty of equal or higher rank to which the candidate is being considered in the candidate's academic unit, including when practical, those who are on leave of absence. The chair of the academic unit or other administrative personnel required to submit a separate promotion recommendation shall not participate in this vote.

At times, the small number of members of an academic unit (fewer than five) prevents appropriate academic unit promotion review. In such instances the dean of the college, in consultation with the chair of the academic unit involved, shall for this purpose either establish the entire college as the academic unit or establish an *ad hoc* promotion review committee by selecting a sufficient number of University faculty from both within and outside the college who are of equal or higher rank to that for which the candidate is being considered to constitute a total of five members to serve as the candidate's academic unit promotion review committee. In the latter instance, all eligible faculty in the college who are at the rank to which the candidate aspires, or higher, must be included before looking outside the college.

- (e) The chair shall submit a separate promotion recommendation with supporting reasons. The section head and or Center director may submit a separate promotion recommendation with supporting reasons.
- (f) All recommendations concerning promotion shall be in writing and, with exception of the faculty recommendation resulting from the confidential poll within the department, reasons for the recommendation must be stated at the time recommendations are made. At the time recommendations are made at each stage of the review process (chair, dean, Senior Vice President and Provost, President), written notification of such recommendation must be provided to the chair and to the candidate by the person or committee making the recommendation.
- (g) Copies of the academic unit's and chair's recommendations and all appropriate documentation upon which recommendations were based will be forwarded to the appropriate dean. If the college has a promotion's committee the dean will provide the committee with the promotion materials. If not, the dean will proceed per the procedures noted below.
- (h) Upon receipt of the college promotion committee recommendations, as applicable, the dean will attach a recommendation with supporting reasons to the promotion materials, including the recommendation of the college promotion committee, and forward all materials to the Office of the Senior Vice President and Provost.
- (i) The Senior Vice President and Provost may request information and advice from any source prior to making a recommendation.
- (j) After due deliberation, the Senior Vice President and Provost will make a recommendation to the President.

- (k) The President will notify the faculty member, chair, dean, and Senior Vice President and Provost by May 31 of the promotion decision, except when an appeal is pending.

Whenever possible and consistent with college compensation plans, a promotion for ~~Regular~~ faculty should be accompanied by an appropriate increase in salary (for example, typically at least \$5,000 for 12-month Regular faculty promoted to Associate Professor and at least \$8,000 for 12-month Regular faculty promoted to Full Professor). Promotions ~~should~~ must not be delayed because of budgetary constraints. Promotions should be earned on their own right in accordance with Section 3.9 and not be used as substitutes for salary increases.

- (l) The faculty member under review may appeal in writing to the Faculty Appeals Board at any time during the promotion review process if the faculty member believes that procedural violations have occurred or academic freedom has been violated. Appeals on these bases must be made within 30 calendar days after the faculty member's discovery of the alleged violation.

If the faculty member believes they have been discriminated against during the promotion review process, the faculty member may appeal discrimination on the basis of race, color, national origin, sex, sexual orientation, genetic information, gender identity, gender expression, age (40 or older), religion, disability, political beliefs, or status as a veteran to the University Institutional Equity Officer. Appeals on these bases must be made within 180 calendar days after the faculty member's discovery of the alleged violation.

The promotion review process is suspended while an appeal to either the Faculty Appeals Board or University Institutional Equity Officer is pending. If the appeal is ultimately granted, the promotion review process will resume where it was suspended.

(Regents, 7-15-96, 1-26-99, 12-3-02, 6-25-08, 12-7-12, 9-14-17, 3-12-24)

### 3.10 SABBATICAL LEAVE POLICY

Sabbatical Leave Application Deadlines: A sabbatical application must be submitted to the department chair or director by February 1 for a sabbatical leave beginning in the following academic year or later and no later than July 15 for a sabbatical beginning the following spring semester. The application must be approved by the dean and the Senior Vice President and Provost. Sabbatical Leave as a result of a faculty member's receiving a scholarship, award, or fellowship should follow the procedures for faculty awards and fellowships from the Office of the Senior Vice President and Provost, as noted in Section 3.15.

#### (a) Purpose

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

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

The purposes for which a sabbatical leave may be granted may include, but are not limited to:

- 1) Research on significant problems and issues.
- 2) Important creative or descriptive work in any means of expression; for example, writing or developing innovative programs.

- 3) Postdoctoral study at another institution to update teaching skills or scientific capabilities.
- 4) Other projects that contribute to the University's mission.

The proposal shall document that such work is of such a nature that it cannot occur as effectively during the regular work schedule of the faculty member.

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

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

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

(b) **Conditions of Award**

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

A faculty member applying for a sabbatical leave and receiving a stipend for the same period from another institution or agency may still receive a sabbatical provided that the Senior Vice President and Provost deems that the additional stipend will be needed to prevent financial loss to the faculty member obtaining the sabbatical.

Normally, faculty on sabbatical leave at full base salary may not receive additional compensation from within the University for teaching in Advanced Programs, Liberal Studies, Intercession, Online, or other University programs, or for participating in the faculty professional practice plans, since such activities would diminish the sabbatical time for study and creative activity. However, the Senior Vice President and Provost may approve exceptions provided that it appears to be in the best interest of the University. Faculty on sabbatical shall resign from all councils, standing committees, and administrative advisory committees of the University, except graduate students' committees, in order to devote their full time to their projects. The obligation to supervise and advance the work of graduate students shall continue during the sabbatical leave.

As a condition of receiving approval of a sabbatical leave, the sabbatical recipient shall sign a statement of commitment to return to the University for at least one year following the sabbatical or to remit the salary and cost of benefits received from the University during the sabbatical leave, unless this requirement is waived by the President in writing.

(c) **Benefits Payable**

- 1) Employment benefits for a faculty member on sabbatical with full base salary will continue at full benefits levels. (Dually-employed College of Medicine - OKC faculty should refer to the College's compensation plan for benefits payable information.)
- 2) Employment benefits for a faculty member on sabbatical leave at less than full base salary will be as follows:
  - i) Health, Accidental Death/Dismemberment, and Dental insurance will continue at full benefit level.
  - ii) Social Security contributions will be based on the actual salary paid.
  - iii) The amount contributed to the Defined Contributions Plan will be computed by reducing the salary that is exempt in the same proportion to the sabbatical FTE. For example, for 1.0 FTE employees the first \$9,000 of salary is exempt from contributions. Thus, for a faculty member on sabbatical leave at half pay (.50 FTE) for a year, the salary that is exempt from contributions will be reduced to \$4,500.

- iv) Faculty should consult the Office of Human Resources for information regarding the Defined Benefits Plan.

(Regents, 3-9-22, 3-12-24)

(d) **Eligibility**

The semesters that are counted toward eligibility for sabbatical leave are the fall and spring semesters only and not the summer term or intersessions.

- 1) After six years of service, a faculty member with a 12-month Regular Faculty appointment may be granted a sabbatical leave at half of base salary for a period not to exceed 12 months or at full base salary for a period not to exceed six months. After six years of service, a faculty member with a nine- or ten-month Regular Faculty appointment may be granted a sabbatical leave at half of base salary for a period not to exceed two semesters or at full base salary not to exceed one semester. The term "six years of service" refers to full-time appointments in a Regular Faculty appointment at the University, but not counting leaves of absence without pay. The term "six years of service" also includes other full-time service at the University that has been included in the probationary period for tenure. Such service at other institutions of higher learning shall not be included.
- 2) A faculty member's eligibility to apply for subsequent sabbatical leaves is established by length of service following return from the previous sabbatical leave in accord with the schedule referred to above. Occasional exceptions to the rule may occur when a faculty member who is otherwise formally approved for a sabbatical leave is obliged to postpone it for the convenience of the University.

(e) **Procedures**

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

- 1) The faculty member shall submit the sabbatical leave application to the department chair or director. The department chair or director shall submit the application and his/her recommendation to the college dean by February 1 for sabbaticals beginning in the following academic year or later and no later than July 15 for sabbaticals beginning the following spring semester. The dean will hold all applications for comparative review and recommend, by ranking in order of merit, to the Senior Vice President and Provost. The Senior Vice President and Provost will recommend to the President, who will make recommendations to the Board of Regents for the designated spring and fall meetings, respectively.

(Regents, 5-11-78, amended 9-9-82, 4-12-84, 1-17-85, 7-23-87, 1-24-95, 1-27-04, 6-23-04, 6-25-08, 12-7-12, 9-14-17, 3-12-24)

*(See Section 6 – Benefits, for additional Leave Policies)*

### 3.11 AWARDS

The University recognizes outstanding teaching, research and creative/scholarly activity, and professional and University service and public outreach, by its faculty by presenting several annual awards to deserving nominees. Some awards are privately funded, and criteria and method of selection are set forth in joint University-donor contracts. The Senior Vice President and Provost, of the respective campus, will solicit recommendations for awards and announce appropriate schedules for processing the nominations.

#### 3.11.1 Regents' Awards

The Regents' Award is an annual University-funded award that is given to a faculty member whose accomplishments in at least one of the three areas (teaching, research and creative/scholarly activity, university/professional service and public outreach) are exceptional and clearly exceed normal expectations.

(a) **Criteria for Selection**

A nominee must have contributed significantly to the mission of the department/unit in the award area (teaching, research and creative/scholarly activity, service/outreach) being recognized and must have fulfilled obligations and performed well in the other areas as well.

(b) **Eligibility**

Nominees must be full-time, regular or non-regular faculty members, including those with full-time dual employment at approved external entities. The faculty member must have been a University of Oklahoma employee during the period for which the outstanding contributions are being recognized; previous accomplishments at other institutions, if applicable, may be used in support of a continued outstanding performance in the area of the specific award. A recipient of an award in one area (teaching, research and creative/scholarly activity, service/outreach) is ineligible for the same Regents' Award during the subsequent five-year period but is immediately eligible for a Regents' Award in a different area.

*i. Teaching*

The educational training of students is at the core of the university mission. This training is accomplished through varied educational strategies and environments, including but not limited to in-class activities, hands-on student research training and mentorship, clinical teaching and mentorship, innovative course development (in-class and on-line), pedagogy improvements, and distance learning. Success of these activities must be demonstrated by measurable positive outcomes for students.

The nominator shall provide an informed commentary on the impact of the nominee's exceptional accomplishments, including classroom teaching, engagement with and commitment to students (including undergraduate, graduate, professional, and/or clinical residents and fellows), willingness to keep teaching material up to date with state of the art knowledge, willingness to support broader departmental teaching mission, positive feedback from students via faculty evaluations and other channels and from peers via observation, engagement in faculty development activities related to pedagogy, new course development, service learning or service learning components, student advising and mentorship, formal and informal, supervision of graduate students.

*ii. Research and Creative/Scholarly Activity*

A clear expectation for a research-intensive university is the creation and dissemination of new knowledge and forms of creative activity. The creation of new knowledge derives from scholarly activities that drive innovation, with such activities supported by funding mechanisms appropriate to the discipline. Evidence of the creation of such new knowledge is established through impactful outcomes disseminated in different peer-reviewed formats that include publication of research manuscripts and books, performances and exhibits, and the effective mentorship and graduation of students and/or clinical residents and fellows. The impact of the nominee's research and creative/scholarly activities on the field of study must be substantiated by documentation appropriate to the discipline, and by letters of support from informed leaders in the nominee's field of study. For the Health Sciences Center, attention will be given to the ways in which a nominee may have an impact through team science and interdisciplinary/interprofessional scholarship.

*iii. Professional and University Service and Public Outreach*

The University is, in the broadest sense, an integral part of the community (intellectual and physical) in which it resides. A faculty member's contributions to the general community include professional service that may be specific to a discipline (e.g., clinical practice and excellence in outcomes such as quality and patient experience, service as journal editor, conference organizer, or in leadership positions in professional organizations) as well as impactful activities that benefit university-community interactions (e.g., teacher training and service learning projects). Such activities enhance achievements in teaching and research. Successful nominees shall have demonstrated exceptional performance in activities that enhance the university's role and standing in the community.

(c) **Nomination Procedures**

1) **Initiation**

The respective Senior Vice President and Provost will solicit recommendations for the awards by September 15 of each year and announce appropriate schedules for processing the nominations. Furthermore, the solicitations will be posted on the appropriate campus website, for access by nominators and faculty on all campuses.

## 2) **Recommendations**

Nominations may derive from department chairs or unit directors, elected members of departmental/unit ~~Committee- AA~~, a departments/unit's approved nomination committee, Center leaders, or a group of faculty who are familiar with the nominee's qualifications for the award. Only one nomination by an academic unit or other nominating group of faculty is allowed for each of the Regents' Awards. The nominating entity will be responsible for assembling the nomination packets including supporting documentation.

Nominations shall be forwarded to the respective dean for review and endorsement. An optional letter from the dean, if included, will focus on evaluator comments regarding the quality and significance of the nominee's impact on the broader OU mission. The dean's letter will not count towards the 25-page limit outlined below. The dean will forward the nomination materials to the respective Senior Vice President and Provost by November 1.

## 3) **Supporting Documentation**

Nomination packets must include the following, not to exceed 25 pages combined:

- A letter of nomination, not to exceed three single-spaced pages;
- A customized vita containing the relevant information pertaining to the accomplishments and criteria cited for the award;
- A short biography (about 100 words) highlighting the nominee's most significant accomplishments, and written for a general audience.

Although not required, the nomination packet may include letters of support. Letters must specifically address the area of the award. No more than five letters should be included. These letters of support will not count toward the 25-page limit.

## (d) **Selection Procedure**

The University Council on Faculty Awards and Honors shall consider only the formal nominations. The Council may seek additional data about the nominees from supplemental sources, as appropriate.

The Council shall recommend to the Senior Vice President and Provosts as many as nine faculty members for the awards, with the understanding the majority of the awards will be given for Superior Teaching in the broadest sense as defined by the selection criteria. The Council also shall transmit all substantiating materials pertaining to all nominees. The Senior Vice President and Provosts will review the nomination materials and the Council's recommendations, and will forward their recommendations, along with all substantiating materials, to the President by February 1. The President will make recommendations to the Board of Regents.

The final selection of the recipients will be made by the Board of Regents.

## (e) **Announcement**

The recipients of the Regents' Award for Superior Teaching, Regents' Award for Superior Research and Creative/Scholarly Activity, and Regents' Award for Superior Professional and University Service and Public Outreach will be announced by the Board of Regents at the Spring General Faculty Meeting.



(f) **Perquisites**

Each award will consist of affixing the recipient's name to a permanent plaque in a prominent and suitable location and a one-time award of \$10,000. A certificate suitable for framing will be presented to the recipient.

(Regents, 5-11-78; amended 9-11-86, 6-27-95, 1-26-99, 1-27-04, 01-26-11, 12-7-12, 9-14-17, 9-11-19, 3-12-24)

**3.11.2 Provost's Research Awards**

The Provost's Research Award recognizes meritorious research. Two awards within both a basic science and a clinical science/translational category (based upon National Institutes of Health designations) may be given each year to full-time, regular faculty members (or a full-time FTE combined appointment with OU Health): one in each category for junior faculty (assistant professors); and one in each category for senior faculty (associate and full professors). The awards are given for significant individual achievement of original research. The awards are \$2,000 each.

(a) **Nominations**

Nominations will be solicited during the fall semester and can be made by any full professor. They should be made by a letter to the Vice President for Research describing the research achievement, enclosing the relevant research publication(s), three to five reference letters of support, as appropriate; and a curriculum vitae. Nominations will be evaluated by the ~~University of Oklahoma Health~~OU Health Sciences Research Council, and the two judged best for each award will be forwarded to the Senior Vice President and Provost, along with an evaluation which gives the reasons for the recommendations. Nominations are due in January of each year.

(b) **Selection**

The selections are made by an ad hoc committee consisting of the chair of the ~~University of Oklahoma Health~~OU Health Sciences Research Council, the Vice President for Research, and the Senior Vice President and Provost.

(c) **Recipients**

The recipients of the Provost's Research Award will be announced by the Senior Vice President and Provost at the Spring General Faculty Meeting.

(Senior Vice President and Provost, 8-27-98, 9-14-17, 7-7-21, 12-2-21)

**3.11.3 Provost's Teaching Awards**

The Provost's Teaching Awards recognize meritorious excellence in teaching. The awards are given for significant personal contributions to the quality, scope, and outcomes of teaching, learner assessment, and learner mentoring in the health professions, public health, or biomedical sciences. The awards are \$2,000 each.

Two awards are given each year to full-time (or a full-time FTE dual appointment with OU Health), faculty members.

- One award will be given to an **early career faculty member** who is within the first nine (9) years of the academic appointment and, at the time of nomination, holds the academic rank of instructor in an OUHSC undergraduate program, or assistant professor, or associate professor. If the nominee is an associate professor, he/she must have achieved that rank no more than 3 years prior to the date of the nomination.
- One award will be given to a **seasoned career faculty member** who holds the rank of associate professor or professor, has served as a faculty member in an OUHSC academic program for nine (9) or more years, and has established a record of teaching contributions commensurate with the length of the academic appointment, and bearing evidence of excellence including long-term outcomes of mentoring learners.

~~The awards are \$2,000 each.~~

**(a) Nominations**

Nominations will be solicited during the fall semester and can be made by any full-time faculty member. They should be made by a letter to the Vice Provost for Academic Affairs and Faculty Development describing the nominee's teaching achievements, enclosing three to five reference letters, including at least one from a faculty colleague and one from a former student, as well as a detailed curriculum vitae.

Nominations will be evaluated by the Educators for Excellence Advisory Panel, which includes at least two former recipients of University teaching awards. The Panel may also consist of individuals who have received research or professional service awards and/or participated in Educators for Excellence. The two nominations judged best for each award will be forwarded to the Senior Vice President and Provost, along with an evaluation that gives the reasons for the recommendations. Nominations are due in December of each year.

**(b) Selection**

The selections are made by an ad hoc committee consisting of the chair of the Educators for Excellence Advisory Panel, the Vice Provost for Academic Affairs, and the Senior Vice President and Provost.

**(c) Recipients**

The recipients of the Provost's Teaching Award will be announced by the Senior Vice President and Provost at the Spring General Faculty Meeting.

(Senior Vice President and Provost, 9-24-15, 9-14-17, 12-2-21, 3-12-24)

**3.12 DISTINGUISHED PROFESSORSHIPS**

Recipients of distinguished professorships are deemed to have achieved distinction in teaching; research and creative/scholarly activity; and professional and University service and public outreach. The University awards the following distinguished professorships:

David Ross Boyd Professorships  
George Lynn Cross Research Professorships  
Regents' Professorships  
Presidential Professorships  
David L. Boren Professorships

(Regents, 5-12-66; amended 5-11-78, 9-26-95, 1-27-04, 12-7-12, 9-14-17, 9-11-19)

**3.12.1 David Ross Boyd Professorship**

The David Ross Boyd Professorship is one of the University's highest honors, recognizing faculty who have consistently demonstrated outstanding teaching, guidance, and leadership for students in an academic discipline or in an interdisciplinary program within the University.

**(a) Criteria for Selection**

Criteria which will be considered are the degree to which the candidate:

- has impacted the educational mission of the University;
- engages students and/or clinical residents and fellows in high-quality scholarship and professional service through effective mentoring strategies;
- establishes, communicates, and fulfills appropriate course and program goals;
- stimulates an intellectual inquisitiveness among students while creatively developing appropriate educational delivery formats and techniques appropriate to the program;
- mentors students (graduate, undergraduate, professional, and/or clinical residents and fellows) towards success in their chosen career paths;
- brings about change in students' knowledge, motives, and attitudes;
- establishes and promotes an inclusive culture in the University's educational mission;

- fosters the professional development of colleagues and serves as a model for colleagues and students.

(b) **Eligibility**

Nominees must be full-time faculty members who hold regular faculty appointments, including those with dual employment at approved external entities. Limited-term faculty at the ~~University of Oklahoma Health~~OU Health Sciences may also be considered. Nominees will normally hold the rank of full professor but associate professors may be considered. The faculty member must have been a University of Oklahoma employee during the period for which the outstanding contributions are being recognized; previous accomplishments at other institutions, if applicable, may be used in support of a continued outstanding performance. Recipients are not eligible in subsequent years for a Presidential Professorship. Recipients are eligible for a David L. Boren Professorship, George Lynn Cross Research Professorship, and Regents' Professorship.

(Regents, 3-9-22)

(c) **Nomination Procedures**

- 1) **Initiation.** The respective Senior Vice President and Provost will solicit recommendations for the professorship by September 15 and announce appropriate schedules for processing the nominations. Furthermore, the solicitations will be posted on the appropriate campus website, for access by nominators and faculty on all campuses.
- 2) **Recommendations.** Nominations may derive from department chairs or unit directors, elected members of departmental/unit Committee A, a department's/unit's approved nomination committee, Center leaders, or a group of faculty who are familiar with the nominee's qualifications for the award. Only one nomination per academic unit or other nominating group of faculty is allowed. The nominating entity will be responsible for assembling the nomination packets, including supporting documentation.

Nominations will be forwarded to the respective dean of the college for review and endorsement. An optional letter from the dean, if included, will focus on evaluator comments regarding the quality and significance of the nominee's impact on the broader University of Oklahoma mission. The dean's letter will not count toward the page limit below. The dean will submit all the nominations and supporting documentation to the respective Senior Vice President and Provost by **November 1**. The respective Senior Vice President and Provost will forward these materials to the University Council on Faculty Awards and Honors.

- 3) **Supporting Documentation.** Recommendations are to be accompanied by specific evidence that the nominee meets the criteria for selection. Nomination packets must include the following, not to exceed 25-pages combined:
  - A letter of nomination, not to exceed seven single-spaced pages;
  - A short vitae containing the relevant information pertaining to the accomplishments and criteria cited for the award;
  - A short biography (about 100 words) highlighting the nominee's most significant accomplishments, and written for a general audience.

In addition, the nomination packet must also include letters of support. Letters must specifically address the criteria of the professorship. No more than five letters should be included, with no more than three letters from students or student groups. These letters of support will not count toward the 25-page limit.

(d) **Selection Procedures**

- 1) **Review.** The University Council on Faculty Awards and Honors shall consider only the formal nominations. The Council may seek additional data about nominees from supplemental sources, as appropriate. The Council shall forward to the respective Senior Vice President and Provost its recommendation(s) for the professorship for review. The Council also shall transmit all substantiating materials pertaining to all nominees.

- 2) **Selection.** Each Senior Vice President and Provost will review the nominees and forward their recommendations, along with all nominations and all substantiating materials pertaining to the nominees, by February 1 to the President, who will make the recommendations to the Board of Regents. The final selection of the recipient(s) will be made by the Board of Regents.

(e) **Announcement**

The final selections will be announced for Norman Campus at the annual Faculty Award Ceremony and for the [University of Oklahoma HealthOU Health Sciences](#) at the Spring General Faculty Meeting.

(f) **Perquisites**

In the year of designation as a David Ross Boyd Professor, the person receiving the award will receive a one-time award of \$7,000 and a permanent salary increase of 7% on the University base salary or \$7,000, whichever is greater, starting in the subsequent fiscal year.

(g) **Term of the Award**

The term of a David Ross Boyd Professor is continuous until retirement or separation from the University.

(Regents, 5-11-78, 3-15-89, 9-26-95, 1-27-04, 6-25-08, 03-25-09, 12-7-12, 9-18-14, 9-14-17, 9-11-19, 3-12-24)

### 3.12.2 George Lynn Cross Research Professorship

The George Lynn Cross Research Professorship is the highest research and creative activity honor given by the University to a faculty member who has demonstrated outstanding leadership over a period of years in their field of learning or creative activity.

(a) **Criteria for Selection**

A clear expectation for a research-intensive university is the creation and dissemination of new knowledge and forms of creative activity. The creation of new knowledge derives from scholarly activities that drive innovation, with such activities supported by funding mechanisms appropriate to the discipline. A nominee must have contributed significantly to the mission of the University of Oklahoma in research and creative activity, and must have been recognized nationally and internationally by peers for distinguished contributions to knowledge or distinguished creative work. Evidence of the creation of new knowledge is established through impactful outcomes disseminated in different peer-reviewed formats that may include publication of research manuscripts and books, performances and exhibits, and the effective mentorship and graduation of students. Recognition of scholarly activities may also include work in clinical trials and health services, quality improvement, and population health research. The impact of the nominee's research and creative/scholarly activities on the field of study must be substantiated by documentation appropriate to the discipline and by letters of support from informed leaders in the nominee's field of study. For the Health Sciences Center, attention will be given to the ways in which a nominee may have an impact through team science and interdisciplinary/interprofessional scholarship.

A nominee must have fulfilled obligations and performed well in the other areas of the university's function (i.e., teaching, service/outreach) as well.

(b) **Eligibility**

Nominees from the Norman campus must be tenured full-time faculty members. Nominees from the [University of Oklahoma HealthOU Health Sciences](#) campus may include both consecutive term and tenured/tenure eligible faculty. Nominees will normally hold the rank of full professor but associate professors may be considered. The faculty member must have been a University of Oklahoma employee during the period for which the outstanding contributions are being recognized; previous accomplishments at other institutions, if applicable, may be used in support of a continued outstanding performance in the area of the specific award. Recipients are not eligible in subsequent years for a Presidential Professorship. Recipients are eligible for a David Ross Boyd Professorship, David L. Boren Professorship, and Regents' Professorship.

(c) **Nomination Procedures**

- 1) **Initiation.** The respective Senior Vice President and Provost will solicit recommendations for the professorship by September 15 and announce appropriate schedules for processing the nominations. Furthermore, the solicitations will be posted on the appropriate campus website, for access by nominators and faculty on all campuses.
- 2) **Recommendations.** Nominations may derive from department chairs or unit directors, elected members of departmental/unit Committee A, a department's/unit's approved nomination committee, Center leaders, or a group of faculty who are familiar with the nominee's qualifications for the award. Only one nomination per academic unit or other nominating group of faculty is allowed. The nominating entity will be responsible for assembling the nomination packets, including supporting documentation.

Nominations will be forwarded to the respective dean of the college for review and endorsement. The nomination packages and names of potential external letter writers shall be forwarded to the respective campus Vice President for Research, who, in consultation with the respective dean, will develop a final list of potential evaluators who will be contacted for their support letters addressed to the deans.

- 3) **Supporting Documentation.** Recommendations are to be accompanied by specific indications that the person being recommended meets the criteria for selection.

Nomination packets must include the following, not to exceed 25-pages combined:

- A letter of nomination, not to exceed seven single-spaced pages;
- A short vitae containing the relevant information pertaining to the accomplishments and criteria cited for the award;
- A short biography (about 100 words) highlighting the nominee's most significant accomplishments, and written for a general audience.
- Names and contact information of national/international experts (15 maximum) in the nominee's area of research/creative activity who can be contacted for evaluator letters. These names should be solicited from the candidate and/or persons closely associated with the research area.

An optional letter from the Dean or respective Vice President for Research (Norman campus or OUHSC), if included, will focus on evaluator comments regarding the quality and significance of the nominee's impact on the mission of the respective College(s) and the university. This will be the only internal letter accepted. The letter from the Dean or Vice President for Research will not count towards the 25-page limit. Materials are due to the respective Vice President for Research by November 1.

(d) **Selection Procedures**

- 1) **Evaluations.** The Vice President for Research will present to the appropriate Research Council all nominations with the supporting documentation. In addition, the Vice President for Research will present to the Research Council the external evaluations and their own evaluation.
- 2) **Review.** The Research Council shall consider only the formal nominations. The Council may seek additional data about the nominees from supplemental sources, as appropriate. The Council shall forward to the respective Senior Vice President and Provost its recommendation(s) for the Professorship for review. Research Council also shall transmit all substantiating materials pertaining to all nominees.
- 3) **Selection.** Each Senior Vice President and Provost will review the nominees and forward their recommendations along with all substantiating materials, by February 1 to the President, who will make the recommendations to the Board of Regents. The final selection of the recipient(s) will be made by the Board of Regents.

(e) **Announcement**

The final selections will be announced for Norman Campus at the annual Faculty Award Ceremony and for the ~~University of Oklahoma Health~~OU Health Sciences at the Spring General Faculty Meeting.

(f) **Perquisites**

In the year of designation as a George Lynn Cross Research Professor, the person receiving the professorship will receive a one-time award of \$7,000 and a permanent salary increase of 7% on the University base salary or \$7,000, whichever is greater, starting in the subsequent fiscal year.

(g) **Term of the Award**

The term of a George Lynn Cross Research Professor is continuous until retirement or separation from the University.

(Regents, 5-11-78, 3-15-89, 6-27-95, 9-26-95, 1-27-04, 6-23-04, 6-25-08, 3-25-09, 12-7-12, 9-14-17, 9-11-19, 3-12-24)

### 3.12.3 Regents' Professorship

The Regents' Professorship recognizes a faculty member who has rendered outstanding service to the academic community or to an academic or professional discipline through extraordinary achievement in academic administration or professional service.

(a) **Criteria for Selection**

**Eligibility**

Nominees must be full-time faculty members who hold regular faculty appointments. The faculty member must have been a University of Oklahoma employee during the period for which the outstanding contributions are being recognized; previous accomplishments at other institutions, if applicable, may be used in support of a continued outstanding performance. Persons named Regents' Professors are not eligible in subsequent years for a Presidential Professorship. Recipients are eligible for a David L. Boren Professorship, David Ross Boyd Professorship, and George Lynn Cross Research Professorship.

(b) **Nomination Procedures**

- 1) **Initiation.** Each Senior Vice President and Provost will solicit recommendations for the professorship by September 15 and announce appropriate schedules for processing the nominations. Furthermore, the solicitations will be posted on the appropriate campus website, for access by nominators and faculty on all campuses.
- 2) **Recommendations.** Nominations should derive from administrative leaders at OU, including administrative officers, current and former department chairs, college Deans, and Provosts. Packets must be assembled by the nominee's administrative and/or evaluator unit. Nominations are due to the respective Senior Vice President and Provost by **November 1**.
- 3) **Supporting Documentation.** Nomination packets must include the following, not to exceed 25 pages combined:
  - A letter of nomination, not to exceed seven single-spaced pages;
  - A short vitae containing the relevant information pertaining to the accomplishments and criteria cited for the award;
  - A short biography (about 100 words) highlighting the nominee's most significant accomplishments, and written for a general audience.

In addition, the nomination packet may also include up to five letters of support, either internal or external, but favoring at least two external letters. Letters must specifically address the criteria of the Professorship. These letters of support will not count toward the 25-page limit.

(c) **Selections Procedures**

- 1) **Review.** The University Council on Faculty Awards and Honors shall consider only the formal nominations. The Council shall forward to the Senior Vice President and Provosts its recommendation(s) for their review. The Council also shall transmit all substantiating materials pertaining to all nominees.
- 2) **Selection.** The respective Senior Vice President and Provost will review the nomination materials and the Council's recommendations and will forward their recommendations, along with all substantiating materials, by February 1 to the President, who will make recommendations to the Board of Regents. The final selection of the recipient(s) will be made by the Board of Regents.

(d) **Announcement**

The final selections will be announced for Norman Campus at the annual Faculty Award Ceremony and for the ~~University of Oklahoma Health~~ OU Health Sciences at the Spring General Faculty Meeting.

(e) **Perquisites**

In the year of designation as a Regents' Professor, the person receiving the award will receive a one-time award of up to \$7,000 and a permanent salary increase of 7% on the University base salary or \$7,000, whichever is greater, starting in the subsequent fiscal year.

(f) **Term of the Award**

The term of a Regents' Professorship is continuous until retirement or separation from the University.

(Regents, 5-11-78, 3-15-89, 9-26-95, 1-27-04, 3-25-09, 12-7-12, 9-14-17, 9-11-19, 3-12-24)

### 3.12.4 Presidential Professorship

Presidential Professors are those faculty members who excel in all of their professional activities and who relate those activities to the students they teach and mentor, including undergraduate, graduate, professional students, as well as clinical residents and fellows. These professors inspire their students, mentor them in the process of research and creative/scholarly activity within their discipline, and exemplify to their students (both past and present) and to their colleagues (both at the University and within their disciplines nationwide) the ideals of a scholar through their endeavors in teaching; research and creative/scholarly activity; and professional and University service and public outreach.

(a) **Criteria for Selection**

**Eligibility**

Nominees must be full-time, regular or non-regular faculty members, including those with dual employment at approved external entity. The faculty member must have been an OU employee during the period for which the outstanding contributions are being recognized; previous accomplishments at other institutions, if applicable, may be used in support of a continued outstanding performance in the area of the specific award. The nominee must have excelled in at least two of the three areas below. Recipients of the David L. Boren Professorship, David Ross Boyd Professorship, George Lynn Cross Research Professorship, and the Regents' Professorship are not eligible for a Presidential Professorship. At OUHSC, nominees also must have been in good standing for the previous five-year period to be eligible.

(Regents, 3-9-22)

*i. Teaching*

The nominee shall have demonstrated leadership in modernizing and improving the undergraduate/ graduate/ professional/ clinical instructional enterprise, including (i) the effectiveness of undergraduate (lower and upper division) and/or graduate, and/or professional courses developed and taught by the nominee, and (ii) the extent of the nominee's involvement with undergraduate/ graduate/ professional students and/or clinical residents and fellows in research/ mentoring/ advising within the academic discipline. In addition, the nominee must have actively participated in student-centered activities such as, but not limited to, OU's Undergraduate/Graduate Research Day, Stewart Wolf Day, Research Experiences



for Undergraduates (REU) and/or First-Year Research Experience (FYRE) programs, freshman Gateway courses, professional clerkships, mentorship of honors student theses, and sponsorship of academic clubs. At OUHSC additional examples include faculty participation in GREAT (Graduate Research Education and Technology), SURP (Summer Research Undergraduate Programs), or similar mentored experiences for students and trainees or OUHSC faculty participation in student-focused community learning experiences like Unity Clinic or Bedlam Clinic.

**ii. Research and Creative/Scholarly Activity**

The nominee shall have demonstrated significant involvement of graduate/ undergraduate/ professional students and/or clinical residents and fellows in the nominee's research and creative scholarly activities. This should be supported by measurable peer-reviewed outcomes including the quality and quantity of theses and dissertations supervised, professional degrees/ certifications issued publications co-authored with students, and performances/exhibits that involve significant student participation. For the Health Sciences Center, attention will be given to the ways in which a nominee may have an impact through team science and interdisciplinary/interprofessional scholarship.

**iii. University Professional Service and Public Outreach**

The nominee must have contributed significantly to, and positively impacted, departmental/–college/ center/–university committees and/or public outreach programs. A faculty member's contributions to the general community include professional service that may be specific to a discipline (e.g., clinical practice and excellence in outcomes such as quality and patient experience, service as a journal editor, conference organizer, or in leadership positions in professional organizations), as well as impactful activities that benefit university-community interactions (e.g., teacher training and service learning projects). Such activities enhance achievements in teaching and research. Successful nominees shall have demonstrated exceptional performance in activities that enhance the university's role and standing in the community.

**(b) Nomination Procedures**

1) **Initiation.** The President in conjunction with the Senior Vice President and Provost of the Norman Campus and the Senior Vice President and Provost of the ~~University of Oklahoma Health~~OU Health Sciences - (a) will review the number of vacant Presidential Professorships, (b) will hold three vacancies each year for recruitment and retention of qualified faculty, and (c) will issue a call for nominations by September 15. The solicitations will be posted on the appropriate campus website, for access by nominators and faculty on all campuses.

2) **Recommendations.** Nominations may derive from department chairs or unit directors, elected members of departmental/unit Committee A, a department's/unit's approved nomination committee, Center leaders, or a group of faculty who are familiar with the nominee's qualifications for the award. The nominating entity will be responsible for assembling the nomination packets, including supporting documentation.

Nominations will be forwarded to the respective dean of the college for review and endorsement. An optional letter from the dean, if included, will focus on evaluator comments regarding the quality and significance of the nominee's impact on the broader OU mission. The dean's letter will not count toward the page limit below. The dean will submit all the recommendations and supporting documentation to the respective Senior Vice President and Provost by November 1.

3) **Supporting Documentation.** Nomination materials must include the following, not to exceed 25 pages combined:

- A nomination letter (no more than three single-spaced pages) describing the nominee's impact on the scholarly and overall professional development of the students they teach and mentor;
- A short vitae of the nominee that contains the relevant information pertaining to the accomplishments being cited for the award consideration;
- A short biographical sketch (about 100 words) highlighting the nominee's most significant accomplishments and written for a general audience.

In addition, the following must be included but will not count toward the 25-page limit:

- Up to a total of five support letters from students (former or current) and professional colleagues (internal and/or external to OU) who can speak to the nominee's influence on students. These letters should, collectively, address as many of the relevant award criteria that the writer(s) can speak to.
- The nominee's Summary Reports of Annual Evaluations for the previous three years, or since beginning at the University if the nominee has been at the University less than three years.

(c) **Selection Procedures**

1) **Selection Committee**

Separate selection committees will be constituted on the Norman and ~~University of Oklahoma Health~~OU Health Sciences campuses. The selection committees will be co-chaired by the respective campus' Senior Vice President and Provost and the Vice President for Research, who serve as non-voting members. Twelve members of the selection committee for each campus will be chosen as follows:

The President will select six faculty and three academic administrators from among current members on the respective campus' Research Council, University Council on Faculty Awards and Honors, and Deans' Council to serve three-year staggered terms.

The President will also select two faculty-at-large members from the respective campus: at Norman Campus tenure-track and tenured faculty, and at ~~University of Oklahoma Health~~OU Health Sciences campus tenure-track, tenured, or consecutive-term faculty, to serve two-year staggered terms.

The President will also select one distinguished outside individual to serve a two-year term.

2) **Selection Procedure**

The respective campus' Presidential Professorship selection committee shall consider only the formal nominations. The committees may seek additional data about the nominees from supplemental sources, as appropriate. The selection committees' selections for the Presidential Professors must be forwarded by February 1 to the President along with all nominations and all substantiating materials pertaining to all nominees. The President will make recommendations to the Board of Regents. The final selection of the recipients will be made by the Board of Regents.

(d) **Announcement**

The final selections will be announced for Norman Campus at the annual Faculty Award Ceremony and for the ~~University of Oklahoma Health~~OU Health Sciences at the Spring General Faculty Meeting.

(e) **Perquisites**

The Professorship is awarded for a four-year term. Assistant and Associate Professors receive \$5,000 per year and Professors receive \$10,000 per year. To be eligible for funding in any given year, a faculty member must be considered as a full-time continuing member of the University.

Decisions regarding merit increases in base faculty salary in the academic year will be made independently of faculty status as a Presidential Professor.

Presidential Professors will receive the professorship funding as a taxable bonus paid annually,

(f) **Term of Award**

The Professorship is granted for a four-year term with the faculty member receiving the funding each year based on faculty rank. Recipients retain the Presidential Professor title permanently.

(Regents, 9-26-95, 1-27-04, 6-23-04, 6-25-08, 12-7-12, 9-14-17, 9-11-19, 10-24-19, 1-28-21, 3-12-24)

### 3.12.5 David L. Boren Professorship

The David L. Boren Professorship is one of the University of Oklahoma's highest honors, recognizing faculty who have made exceptional and truly impactful contributions to the mission of the University of Oklahoma as a public research university.

#### (a) Criteria for Selection

To qualify for the Professorship, a faculty member must have consistently demonstrated outstanding teaching, research and creative activity, and leadership in professional and public service. The holders of this distinctive honor should demonstrate effective mentoring and engagement of students in advancing knowledge creation and making a positive difference in the world.

Criteria which will be considered are the degree to which the candidate:

- 1) demonstrates leadership in the development of impactful scholarship and creative activity that is viewed as seminal within one or more fields;
- 2) exhibits scholarship and creative activity in high quality venues (including peer-reviewed publications/performances) supported by national funding appropriate to the field, and has their work cited frequently;
- 3) inspires inquisitiveness and intellectual curiosity among students as judged by measurable outcomes;
- 4) fosters the professional development of colleagues and serves as a model for colleagues and students;
- 5) demonstrates strong sense of community and is instrumental in the creation, organization, and mobilization of other individuals, groups and resources that are involved in projects benefiting the community, whether specific to a discipline or by enhancing the university's role and standing in the larger community.

#### (b) Eligibility

Nominees must be full-time faculty members who hold regular faculty appointments, including those with dual employment at approved external entity. Nominees will normally hold the rank of full professor but associate professors may be considered. The faculty member must have been a University of Oklahoma employee during the period for which the outstanding contributions are being recognized; previous accomplishments at other institutions, if applicable, may be used in support of a continued outstanding performance. Recipients are not eligible in subsequent years for a Presidential Professorship. Recipients are eligible for a David Ross Boyd Professorship, George Lynn Cross Research Professorship, and Regents' Professorship.

(Regents, 3-9-22)

#### (c) Nomination Procedures

- 1) **Initiation.** Each Senior Vice President and Provost will solicit recommendations for the professorship by September 15 and announce appropriate schedules for processing the nominations. Furthermore, the solicitations will be posted on the appropriate campus website, for access by nominators and faculty on all campuses.
- 2) **Recommendations.** Nominations may derive from department chairs or unit directors, elected members of departmental/unit Committee A, a department's/unit's approved nomination committee, Center leaders, or a group of faculty who are familiar with the nominee's qualifications for the award. Only one nomination per academic unit or other nominating group of faculty is allowed. The nominating entity will be responsible for assembling the nomination packets, including supporting documentation.

Nominations will be forwarded to the respective dean of the college for review and endorsement. An

optional letter from the dean, if included, will focus on evaluator comments regarding the quality and significance of the nominee's impact on the broader OU mission. The dean's letter will not count toward the page limit below. The dean will submit all the nominations and supporting documentation to the respective Senior Vice President and Provost by November 1. The Senior Vice President and Provosts will forward these materials to the University Council on Faculty Awards and Honors.

- 3) **Supporting Documentation.** Recommendations are to be accompanied by specific evidence that the nominee meets the criteria for selection. Nomination packets must include the following, not to exceed 25-pages combined:

- A letter of nomination, not to exceed seven single-spaced pages;
- A short vitae containing the relevant information pertaining to the accomplishments and criteria cited for the award;
- A short biography (about 100 words) highlighting the nominee's most significant accomplishments and written for a general audience.

In addition, the nomination packet must also include letters of support from nationally or internationally recognized experts in the nominee's area of expertise (minimum: two for research/creative activity, one for teaching, one for service/outreach). Letters must specifically address the criteria of the professorship. No more than five letters will be accepted. These letters of support will not count toward the 25-page limit.

(d) **Selection Procedures**

- 1) **Review.** The University Council on Faculty Awards and Honors shall consider only the formal nominations. The Council may seek additional data about the nominees from supplemental sources, as appropriate. The Council shall forward to the Senior Vice President and Provosts its recommendation(s) for the professorship for their review. The Council also shall transmit all substantiating materials pertaining to all nominees.
- 2) **Selection.** Each Senior Vice President and Provost will review the nomination materials and the Council's recommendations, and will forward their recommendations by February 1, along with all nominations and all substantiating material pertaining to all nominees, to the President, who will make recommendations to the Board of Regents. The final selection of the recipient(s) will be made by the Board of Regents.

(e) **Announcement**

The final selections will be announced for Norman Campus at the annual Faculty Award Ceremony and for the ~~University of Oklahoma Health~~ OU Health Sciences at the Spring General Faculty Meeting.

(f) **Perquisites**

In the year of designation as a David L. Boren Professor, the person receiving the award will receive a one-time award of \$10,000 and a permanent salary increase of 10% on the University base salary or \$10,000, whichever is greater, starting in the subsequent fiscal year.

(g) **Term of Award**

The term of a David L. Boren Professor is continuous until retirement or separation from the University.

(Regents, 12-4-14, 9-14-17, 9-11-19, 3-12-24)

### 3.12.6 Presentation to Board of Regents

All nominations shall be sent to the Board of Regents at least twenty (20) University business days prior to the time that nominees' names appear on an agenda for action.

(Regents, 5-12-66, amended 5-11-78, 9-26-95, 1-27-04, 9-14-17, 3-12-24)

### 3.13 ENDOWED CHAIRS AND ENDOWED PROFESSORSHIPS

An endowed chair or endowed professorship is a faculty position supported by an endowment. An endowed chair requires a minimum \$1 million endowment and an endowed professorship requires an endowment of a minimum of \$500,000. Endowed faculty positions allow the ~~University of Oklahoma Health~~[OU Health Sciences](#) to recruit or retain educators, clinicians, scholars, and researchers who are leaders in their fields of study.

Faculty may be appointed to endowed chairs and professorships established at the Health Sciences Center.

#### (a) Criteria for Selection

Specific criteria for the selection of occupants may be established for particular chairs as appropriate. To qualify for an endowed chair or endowed professorship, a faculty member must be distinguished within a particular academic field or an interdisciplinary program unless an exception is approved by the Senior Vice President and Provost. The term of an endowed chair is governed by the terms of the donor agreement or, in the absence of such specifications, is determined by the dean and approved in advance of an offer by the Senior Vice President and Provost.

#### (b) Appointment Process

Once a candidate has been identified, the dean will consult with the Senior Vice President and Provost. The Senior Vice President and Provost, after consultation, may make a recommendation to the President. The President may approve and forward the appointment to the Board of Regents or reject it and request further searching.

#### (c) Vacancy

If the endowed position is vacant, the accumulated interest earnings cannot be expended unless the Senior Vice President and Provost requests and receives written approval by the donor(s).

#### (d) Term of Appointment – ~~University of Oklahoma Health~~[OU Health Sciences](#) Faculty

An endowed position holder will be reviewed by the dean and Senior Vice President and Provost after 3 to 5 years, as indicated in the endowed position appointment letter. The endowed position may be renewed for a stated term or terminated ~~after the initial term~~. The endowed position holder may retain the title with a term notation included. Additional information about endowed positions is in the Guidelines for Endowed Appointments document, available from the Senior Vice President and Provost's Office.

(Regents, 6-15-78; Presidential Clarification, 9-15-92; Regents, 6-27-95, 1-26-99, 1-27-04, 6-23-04, 12-7-12, 9-14-17, 3-12-24, 6-21-24)

### 3.14 COLLEGE AWARDS FOR FACULTY AND STAFF

Colleges that wish to use private funds to give faculty or staff merit awards for outstanding performance must secure the Senior Vice President and Provost's approval of the selection procedure and the number of awards prior to any advertising or announcement.

(Regents, 12-19-90, 3-7-91, 1-27-04, 9-14-17)

### 3.15 FACULTY AWARDS AND FELLOWSHIPS

The University is often called upon to recommend faculty members for scholarships or fellowships, such as Fulbright Scholarships, American Council of Learned Societies Fellowships, Social Science Research Fellowships, and Guggenheim Fellowships. Such faculty awards and fellowships enhance the research reputation of the entire campus. The Senior Vice President and Provost will consider, on a case-by-case basis, requests for institutional support for

faculty members receiving these awards or fellowships. Procedures are available from the office of the Senior Vice President and Provost.

(Regents, 5-11-78, 12-7-12, 9-14-17, 6-21-24)

### 3.16 ABROGATION OF TENURE, TERMINATION OF EMPLOYMENT, SEVERE SANCTIONS, SUMMARY SUSPENSION, AND OTHER DISCIPLINARY ACTIONS

- (a) **Abrogation of Tenure** - Only the Board of Regents has the power to abrogate tenure, which results in the simultaneous termination of employment of a tenured faculty member. Tenured faculty may be terminated only through the abrogation process.

The University strives to exercise great care in selecting its faculty appointees and in conferring tenure only upon those faculty members who have demonstrated their merit for continuous appointment. For that reason, abrogation of tenure should be an exceptional event. When the President decides to recommend abrogation of tenure to the Board of Regents, the President must so notify the faculty member in writing. (See Section 3.16.1)

While abrogation of tenure generally will be required infrequently, the University must be prepared for such an eventuality so that both the integrity of the University and the rights of faculty members are preserved. The Faculty Appeals Board is the appropriate body to hear appeals regarding abrogation of tenure under 3.16.1. The Board of Regents shall give all reasonable consideration to the recommendations of the Faculty Appeals Board Hearing Committee.

Once the pre-hearing panel has determined after the pre-hearing conference that the matter will proceed to a formal hearing, the President may place the faculty member on unpaid leave. Should a formal Hearing Committee ultimately find in favor of the faculty member, the faculty member will be entitled to any base compensation and applicable fringe benefits that would have been earned from the date of the leave of absence to the date of reinstatement after final disposition of the charges under Section 3.19.4. Any leave of absence, reassignment, or redistribution of effort imposed under this section is not in itself an appealable sanction.

- (b) **Termination of Employment for Tenure Track, Consecutive Term, and Limited Term Employees**

The dean has the power to terminate limited term employees without cause by providing sixty (60) days written notice or may immediately terminate limited term employees with cause pursuant to Section 3.16.1. Pursuant to Section 3.1.2, limited term employees are not permitted to appeal termination to the Faculty Appeals Board.

The Chair will hold a pre-termination meeting with a tenure track or consecutive term employee and provide written notice of the basis for the termination recommendation made to the dean. The Senior Vice President and Provost, or the dean with approval from the Senior Vice President and Provost, has the power to terminate employment of tenure track or consecutive term faculty. Termination without cause is subject to the notice requirements contained in 3.2.3(a)-(d). The Faculty Appeals Board is the appropriate body to hear permissible appeals related to termination of employment under enumerated circumstances for

improper conduct described in Section 3.16.1 sub-sections (c), (d), (e), (f), (g), (h), or (i). Termination under 3.16.1 may result in immediate termination of employment and is not subject to the notice requirements contained in 3.2.3(a) through (d). The faculty member may request a Faculty Appeals Board hearing following termination under Section 3.16.1 (c), (d), (e), (f), (g), (h), or (i).

Should a formal Hearing Committee find in favor of the faculty member, the faculty member will be entitled to any base compensation and applicable fringe benefits that would have been earned from the date of the termination to the date of reinstatement.

For consecutive term or tenure track faculty the notice requirements contained in Section 3.2.37 (a) through (d) are not applicable to terminations under Section 3.16.1 (gd) through (h).

- (c) **Severe Sanctions**

The Senior Vice President and Provost, or the dean with approval from the Senior Vice President and Provost, has the power to impose severe sanctions. See [Section 3.16.1](#) for grounds for severe sanctions.

Faculty members who engage in improper conduct may be subject to severe sanctions short of termination or tenure abrogation. The imposition of such severe sanctions should be viewed as a serious step usually undertaken only after administrative remedies and/or minor sanctions have failed.

Severe sanctions may include, but are not limited to, loss of prospective University privileges for a stated period (for instance, loss of eligibility for a sabbatical leave of absence, loss of remunerated consultative privileges, loss of remunerated clinical practice privileges); a fine; or a reduction in salary (excluding reduction resulting from removal of administrative title or duty). The Faculty Appeals Board is the appropriate body to hear appeals regarding severe sanctions.

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The Senior Vice President and Provost, or the dean, with approval from the Senior Vice President and Provost, has the power to place a faculty member on an administrative leave of absence pending a severe sanction proceeding. The duration of leave may vary based on the circumstances giving rise to the hearing or appeal. Alternatively, the Senior Vice President and Provost may assign the faculty member to other duties or a redistribution of effort in lieu of leave.

(d) **Summary Suspension**

Upon consultation with or recommendation by the department chair, the Senior Vice President and Provost, or the dean, with approval from the Senior Vice President and Provost, has the power to impose summary suspension. The period of suspension should be determined based on the circumstances giving rise to the suspension, including but not limited to summarily suspending a faculty member from some or all duties. Assigning the faculty member to other duties in lieu of suspension, is justified if immediate harm to the faculty member, others, or the University is threatened by that faculty member's continued performance of regular duties.

Summary suspension may be with or without pay. A faculty member who has been summarily suspended is not entitled to receive University compensation from consultative privileges or Professional Practice Plan/Compensation Plan privileges, nor to accrue Paid Time Off (PTO) hours if the suspension is without pay. If suspension is with pay, compensation will consist only of University base salary during the period of summary suspension.

Summary suspension does not remove from the University the obligation to provide due process within a reasonable period of time following the suspension, upon the faculty member's request for a Faculty Appeals Board hearing. The Faculty Appeals Board is the appropriate body to hear appeals regarding summary suspension.

(e) **Disciplinary Actions for Failure to Adhere to University Compliance Program, Professional Practice Plan Policies, OU Health Policies\*, Billing Compliance Policies, or Other University, Federal or State Mandates:**

The Senior Vice President and Provost, or the dean with approval from the Senior Vice President and Provost, has the power to impose disciplinary actions under this sub-section.

An employee's failure to adhere to the University Compliance Program, Professional Practice or Compensation Plan policies, OU Health Policies, Billing Compliance Policies, or other University, federal or state mandates requires that the University take quick and decisive action such as imposing fines upon, suspending the billing privileges of, or otherwise sanctioning or terminating, University faculty who have been determined to be out of compliance.

Disciplinary actions imposed under this sub-section (e) are not considered severe sanctions for purposes of this policy and are not appealable to the Faculty Appeals Board.

\* OU Health Policies apply to dual-employed/appointed OU employees.

(Regents, 3-9-22)

(f) **Minor Sanctions**



The chair of the academic unit with approval from the dean, has the power to impose minor sanctions.

A faculty member against whom the imposition of minor sanctions is sought must be informed in writing of the basis for the action. While it is not possible to specify all grounds for which minor sanctions may be sought, they include, but are not limited to, the following:

- (1) Neglect of duty or failure to carry out normal and expected satisfactory teaching, research, or service responsibilities, including patient care
- (2) Unprofessional conduct adversely affecting the functioning of the area, department, college, or University
- (3) Failure to adhere to University policy or the policies of any third party with which OU has contracted and agreed to require its employees to follow.

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

(Regents 7-15-96, 1-26-99, 12-3-02, 6-25-08, 12-7-12, 9-14-17, 3-12-24)

### 3.16.1 Grounds for Abrogation of Tenure, Termination of Employment, and Severe Sanctions

A faculty member against whom the imposition of abrogation of tenure, termination of employment, or a severe sanction is sought must be informed in writing of the basis for the action. The Faculty Appeals Board is the appropriate body to hear permissible appeals related to abrogation of tenure, termination of employment, and severe sanctions enumerated in section 3.16 above. (For appeals related to prohibited discrimination, including sexual and racial harassment, refer to section 3.20.) While it is not possible to specify all grounds for which abrogation of tenure, termination of employment, or severe sanctions may be sought, they include, but are not limited to the following:

- (a) Professional incompetence, egregious or repeated unprofessionalism, or dishonesty;
- (b) Substantial, manifest, or repeated failure to, and/or refusal to adhere to University policies provided, however, that a faculty member may not appeal a prior finding of a violation of University policy by a University administrative officer or body when such finding has already been appealed under that policy;
- (c) Personal behavior preventing the faculty member from satisfactory fulfillment of professional duties or responsibilities\* or inability to perform essential job functions with or without reasonable accommodations;
- (d) Being placed on the United States Department of Health and Human Services' list of excluded individuals and entities, in which case the University will take quick and decisive action by terminating the faculty member's employment.\*
- (e) Violations of law to which the faculty member has pleaded guilty or *nolo contendere* or that have been adjudicated before a court of competent jurisdiction that prevent the faculty member from satisfactorily fulfilling professional duties or responsibilities, or violations of a court order. ~~In such case the University will take quick and decisive action by terminating the faculty member's employment\*.~~
- (f) Loss or suspension of a professional license, loss or suspension of prescribing authority, and voluntary or involuntary loss of clinical privileges – all with failure to reacquire within 45 days of loss or suspension; inability to obtain or maintain enrollment as a provider with an insurer; or inability to obtain or maintain

professional liability insurance coverage ~~in which case the University will take quick and decisive action by terminating the faculty member's employment.\*~~

- (g) For faculty hired who spend their time in clinical practice or practice-related activities or those employed that are employed primarily by an approved external entity, poor clinical performance, unprofessional behavior, or conduct that jeopardizes patient safety ~~may result in the University's taking quick and decisive action by terminating the faculty member's employment.\*~~
- (h) Loss or resignation of a dual employment, appointment, or arrangement to provide services at an approved external entity, including where an approved external entity informs the University that a faculty member's services are no longer needed; provided, however, that the University may elect, at its option, to offer to extend the faculty member's University employment or appointment and tenure.
- (i) Admission of responsibility for violations of the University's Ethics in Research Policy or determination by the Deciding Official of responsibility for violations of the University's Ethics in Research Policy, where the Deciding Official determines that termination is an appropriate sanction.

~~\*—Improper conduct, improper personal behavior, violations of law, or conduct noted in sub-sections (c), (d), (e), (f), (g) (h) or (i) above may result in immediate termination. The faculty member may request a Faculty Appeals Board hearing following termination under (a), (b), (c), (d), (e), (f), (g) (h) or (i).~~

~~For appeals under 3.16.1(d), (e), (f), (h), and (i), fFaculty may request a hearing to challenge the termination; however, for appeals under 3.16.1(d), (e), (f), (h), and (i), challenges to these terminations are limited to only the following grounds as appropriate: (1) whether or not the faculty member has been placed on the United States Department of Health and Human Services' list of excluded individuals and entities, (2) whether the criminal conviction or violation of court order prevents the faculty member from satisfactorily fulfilling professions duties or responsibilities, (3) whether the revoked or suspended credentials, inability to obtain or maintain enrollment as a provider with an insurer, or inability to obtain or maintain professional liability insurance are required for the faculty member's position, (4) whether the faculty member has lost their dual employment, appointment, or arrangement to provide services at an approved external entity, and (5) whether an admission or determination of violation of the University's Ethics in Research Policy has been made or whether the Deciding Official determined that termination was an appropriate sanction.~~

For consecutive term or tenure track faculty, the notice requirements contained in **Section 3.2.37 (a) through (d)** are not applicable to terminations under **Section 3.16.1 (d) through (h)**.

(Regents, 1-26-99, 12-3-02, 6-25-08, 12-7-12, 9-14-17, 3-9-22, 3-12-24)

### 3.17 FACULTY APPEALS BOARD APPEALS

All faculty, whether tenured or not, are entitled to academic freedom as set forth in **Section 3.3** and to academic due process.

The Faculty Appeals Board shall consider eligible appeals based upon alleged violations of academic freedom or academic due process; the alleged failure to follow University policy; or alleged unfairness in the application of University policy unresolved through the administrative process. The procedures also cover permissible appeals related to abrogation of tenure, termination of employment actions, severe sanctions, and summary suspension. The faculty member may seek redress through the Faculty Appeals Board if such alleged violations occur in the course of performing professional duties or in the process of being considered or evaluated for recommendations regarding reappointment, salary increase, promotion, or tenure. Grounds for appeal may also include other personnel decisions in which a faculty member has reason to believe there has been violation of due process or academic freedom or if there are other appealable grievances that have not been resolved administratively. It is also the appropriate appeal process for abrogation of tenure, termination of employment actions, severe sanctions, and summary suspension (**Section 3.19**).

The University's Non-Discrimination Policy and the ~~Grievance Procedures for Formal Complaints of Sexual Harassment and Misconduct~~Sexual Misconduct, Discrimination, and Harassment Policy and their associated procedures sets forth the policies and procedures for all grievances and appeals related to any form of discrimination

or harassment prohibited by University policy. Appendix H and Appendix J, VII B-E. Therefore, those matters are expressly outside of the authority and jurisdiction of the Faculty Appeals Board.

Faculty members serving as section chiefs, chairs, directors, deans, or in other administrative positions who are relieved of their administrative responsibilities may not appeal their removal from their administrative positions. ~~nor may dual employees/appointees who are removed from their University appointments due to no longer being employed and/or holding an appointment at an approved external entity appeal the removal of their University employment/appointment.~~

(Regents, 1-26-99, 12-3-02, 12-7-12, 6-24-15, 9-14-17, 3-12-24)

### 3.18 THE FACULTY APPEALS BOARD

- (a) The Faculty Appeals Board is a standing body appointed by the Faculty Senate that responds to requests for a hearing with regard to alleged violations of academic freedom or academic due process, other appealable grievances concerning the alleged failure to follow University policy, or alleged unfairness in the application of University policy unresolved through administrative procedures, tenure abrogation, termination of employment actions (under enumerated circumstances), severe sanctions, and summary suspension. The Faculty Appeals Board considers all such matters brought before it in a timely manner by individual faculty members. It is the responsibility of the Faculty Appeals Board Chair to ensure that all matters are handled in a timely manner.
  - 1) In cases related to alleged violation of academic freedom or academic due process or in cases related to other grievances concerning the alleged failure to follow University policy or alleged unfairness in the application of University policy, the faculty member is considered the complainant and the administration the respondent.
  - 2) In cases related to abrogation of tenure, termination, severe sanctions, or summary suspension, the administration is considered the complainant, and the faculty member is the respondent. The written notice provided to the faculty member outlining the charges will serve as the complaint.
- (b) The Faculty Appeals Board of the ~~University of Oklahoma Health~~OU Health Sciences shall consist of forty tenured faculty members representing fairly the existing colleges on the ~~University of Oklahoma Health~~OU Health Sciences campus. The members shall be appointed from among all full-time faculty whose duties are primarily non-administrative (i.e., not at the level of Assistant/Associate Dean, Dean, Assistant/Associate/Vice Provost, or Senior Vice President and Provost). All terms shall be four years.
- (c) Each Faculty Appeals Board shall have a chair and vice chair designated by the Faculty Senate. The chair and vice chair must be from separate colleges.
- (d) All responsibilities of the chair will be relinquished and passed to the vice chair if the appeal at issue is from a faculty member in the same college as the chair.
- (e) All members of the Board are eligible for re-election. Terms of service shall begin July 1 and end June 30 except that if a hearing is in progress at this time, any retiring member of the Board who is on the Hearing Committee shall be continued on the Committee until the case in progress is closed.
- (f) If a member of the Board, not serving on a Hearing Committee, ceases to be a full-time member of the faculty or if their duties become primarily administrative, the Senate shall elect a replacement to complete the term.
- (g) Members on the Board who have an appeal pending before the Board shall be suspended from all Board activities until the appeal is resolved.

(Regents, 1-26-99, 12-3-02, 6-25-08, 12-7-12, 9-14-17, 3-12-24)

### 3.19 FACULTY APPEALS BOARD PROCESS

#### 3.19.1 Initiation of Appeal and Request for a Faculty Appeals Board Hearing

- (a) Request for a Faculty Appeals Board Hearing - Academic Freedom, Academic Due Process or Other Appealable Grievances Concerning the Alleged Failure to Follow University Policy or Alleged Unfairness in the Application of University Policy:

**Deadline to Request a Hearing:** Within 230 University business days after they became or should have become aware of the alleged violation.

Any faculty member who believes that either academic freedom or academic due process has been violated or alleges other grievances concerning the failure to follow University policy or unfairness in the application of University policy, as described in Section 3.17 above, should first seek prompt redress through regular administrative channels, which include the chair, dean, and Senior Vice President and Provost. Seeking redress through regular administrative channels or the University Ombudsperson does not extend the 230-day time period allowed for filing an appeal.

If the administrative review does not provide a satisfactory result, and if the faculty member wishes to continue the appeal, he/she may submit, as the complainant, a written statement outlining the specific points of appeal and requesting a formal hearing to the Chair of the Faculty Appeals Board no later than 230 University business days after he/she became or should have become aware of the alleged violation.

(Regents, 3-9-22)

- (b) **Request for Hearing - Abrogation of Tenure, Appealable Termination of Employment, Severe Sanctions, or Summary Suspension:**

**Deadline to Request a Hearing:** Within 230 University business days of the date of the written notice provided to the faculty member.

Any faculty member who chooses to exercise due process rights for an appealable termination of employment, severe sanctions, summary suspension, or the decision by the President to recommend abrogation of tenure to the Board of Regents, as described in Section 3.17 above, must submit, as the respondent, a written request for hearing to the Chair of the Faculty Appeals Board within 230 University business days of the date of the written notice of the action provided to the faculty member.

- (c) The time intervals specified in the preceding and following sections should be maintained unless waived by the Chair of the Faculty Appeals Board for unusual circumstances or in order to allow continuing progress towards informal resolution of the complaint.
- (d) The Faculty Appeals Board process is a lay process that relies on peer review and the common sense, sound judgment, good character, and sense of fairness of each Hearing Committee member. The Faculty Appeals Board procedures should strive to diminish formality and rigidity. The process is not to be considered a trial but is a system of internal review to effect a just and fair disposition of a grievance.
- (e) From time to time, compliance with applicable State and/or Federal law(s) may require modification of the Faculty Appeals Board process, which includes modification of the related hearing procedures.
- (f) **Responsibilities of the Faculty Appeals Board Chair**
- 1) The Faculty Appeals Board Chair, within 10 University business days of receipt of written request for a hearing, has the responsibility to determine if the complaint is appealable under University policy and whether the deadlines under sections 3.19.1.(a) and (b) have been met. If the complaint is timely and appealable, the process will continue. If the complaint is not timely and/or appealable, the Chair shall so notify both the complainant and the respondent and the process will end.
  - 2) Within 10 University business days of determining a complaint is timely and appealable, the Faculty Appeals Board Chair shall, prior to initiating the formal hearing process, appoint a prehearing panel of three (3) members including the Chair and hold a pre-hearing conference by meeting with the complainant and respondent, either together or separately, to discuss the points of the complaint. The

Faculty Appeals Board Chair will chair the pre-hearing conference. The purpose of the pre-hearing conference is to determine whether the Complainant's appeal sets forth sufficient basis to proceed to a formal hearing. The intent will be to resolve differences where possible and to seek a resolution and/or dismissal of the appeal.

2) At the pre-hearing conference, 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 appeal and/or participate in the pre-hearing conference is deemed to have waived future rights to formal proceedings. As soon as reasonably practicable, but not more than five (5) calendar days after the pre-hearing conference, the panel shall determine by majority vote whether the matter should proceed to a formal Hearing and notify the Parties, including the President, in writing. If the Respondent fails to appeal and/or participate, formal proceedings will cease and the President will recommend termination or abrogation of tenure to the Board of Regents.

3) 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 and supersede these rules. Those matters are not within the jurisdiction of the Faculty Appeals Board unless jurisdiction is specifically granted pursuant to those policies.

3)4) Ordinarily the University General Counsel or a member of his/her staff not otherwise involved will serve as the legal advisor to the Faculty Appeals Board. If the Chair of the Faculty Appeals Board reasonably believes that the University General Counsel's office has a conflict of interest that would prevent the office from objectively advising the Faculty Appeals Board, he/she may request a meeting with the President or his designee to discuss the concern and to request other counsel. If the President agrees, he may appoint other counsel to advise the Hearing Committee.

### 3.19.2 Formal Faculty Appeals Board Hearing Procedure

All appealable matters brought to the Faculty Appeals Board shall be handled according to the following procedures, which are designed to ensure fairness and due process.

- (a) To initiate the Faculty Appeals Board hearing procedure, the Chair of the Faculty Appeals Board will request statements be submitted within 10 University business days from the complainant and concurrently begin the process for selection of Hearing Committee members per (c) (1) through (8) below. The statement shall include:
  - 1) Relevant policies of the administrative or academic unit, the College, the Senior Vice President and Provost's Office, the President's Office, and the Board of Regents.
  - 2) The written complaint (**Section 3.19.1(a) and (b)**).
  - 3) A summary of the evidence upon which the complaint is based.
  - 4) A list of witnesses proposed to be called, a brief summary of the testimony of each proposed witness, and a copy of exhibits proposed to be presented.
- (b) The Chair of the Faculty Appeals Board will, upon receipt of the complainant's statement, request the respondent to submit to both the Chair and the complainant, within 10 University business days, a written statement including:
  - 1) Relevant policies of the administrative or academic unit, the College, the Senior Vice President and Provost's Office, the President's Office, and the Board of Regents.
  - 2) The written response outlining the specific points of defense.

- 3) A summary of the evidence to be used in refuting the charges.
- 4) A list of proposed witnesses to be called, a brief summary of the testimony of each proposed witness, and a copy of exhibits proposed to be presented.

(c) Selection of Hearing Committee:

~~When providing written notice to the Parties that a matter is proceeding to a formal hearing, the Chair of the Faculty Appeals Board will include the list of names of the Faculty Appeals Board members who are eligible to serve on the Hearing Committee. The list shall not include a member or alternate of the same academic unit as or one who is related to the Respondent or Complainant. Members and alternates currently serving on another Hearing Committee shall also be ineligible. The Chair of the Faculty Appeals Board may, in the Chair's discretion, also exclude a member in the event of a known conflict of interest related to the person(s) or issue(s) at hand. Within five University business days after receipt of the faculty member's request for a hearing, the Chair of the Faculty Appeals Board will proceed with the selection of the Hearing Committee by submitting the list of names of the eligible Board members to both parties. The list shall not include a member or alternate of the same academic unit or one who is related by consanguinity or affinity to the respondent or complainant. Members and alternates currently serving on another hearing shall also be ineligible. A member or alternate of the Hearing Committee may disqualify himself or herself on personal initiative or in response to such challenge for cause as is provided for in this section. The Chair of the Faculty Appeals Board shall also determine, in consultation with the legal counsel to the Faculty Appeals Board, that no one on the list has a bias related to the person(s) or issue at hand.~~

- 1) Within five University business days after submitting the list of eligible Board members to both parties, the Chair of the Faculty Appeals Board will select ~~five~~<sup>seven</sup> members of the Board to constitute the Hearing Committee, three additional members to serve as alternates ~~should replacements become necessary through personal disqualification, challenge of individuals initially selected, or other cause.~~

The selection of members and alternate members of the Hearing Committee shall be made by lot and shall be made in the presence of the Chair of the Faculty Senate or a designated representative. The complainant and the respondent shall be invited to be present or to send a representative. The Chair of the Faculty Appeals Board shall notify members in writing of their selection to the Hearing Committee and of the parties involved and provide a brief description of the general nature of the issue. Members who cannot serve objectively must so notify the Chair within five University business days. The notice shall include a reminder that the matter is confidential and may not be shared with others, even if the member cannot serve.

- 2) Within five University business days of notice of the initial selection of the Hearing Committee, the complainant or the respondent may submit a written request to the Chair of the Faculty Appeals Board and to the other party asking that members or alternates of the Hearing Committee be disqualified on grounds of bias or personal interest in the case. If, however, a challenge for cause is disputed by either of the parties, the Faculty Appeals Board Chair shall decide whether cause has been shown and, if so, replace the member or alternate, ~~drawing again by lot in accordance with (1) and (2) above.~~

- ~~3) After challenges for cause have been acted on, the complainant and the respondent, each may make a maximum of two peremptory challenges of members or alternates selected for the Hearing Committee within five University business days of the date the parties are notified that such challenges for cause are resolved. Replacements shall be made in accordance with (1) and (2) above.~~

A finalized list of Hearing Committee members and alternates will be given to all parties within five University business days of resolving any challenges of the membership of the Hearing Committee or alternates ~~by the complainant or the respondent.~~ The finalized list must identify which member of the Hearing Committee will serve as the Hearing Committee Chair. If no challenges are offered, the finalized list must be completed within 10 University business days of the initial selection of the Hearing Committee and alternates by the Chair of the Faculty Appeals Board.

~~All decisions regarding initial disqualifications shall be made prior to the first meeting of the Committee. Within 10 University business days after the Hearing Committee and the alternates have been finalized, the Chair of the Faculty Appeals Board shall select from the Hearing Committee the individual to serve as the Chair, who shall then set the date of the hearing.~~ Every reasonable effort should be made by the Hearing Committee and both parties to hold the hearing as soon as possible.

~~4)3)~~ Members of the Hearing Committee who are subsequently ineligible, ill, or otherwise unable to serve, shall be replaced from among alternate members by the Chair of the Faculty Appeals Board.

~~5)4)~~ If the duties of a Hearing Committee member become primarily administrative, the member shall inform the Chair of the Faculty Appeals Board. The Chair of the Faculty Appeals Board will inform all parties. The member will continue to serve unless either party objects in writing to the Chair of the Faculty Appeals Board within five University business days of receipt of notice.

~~6)5)~~ Three alternate members shall be maintained according to selection procedures in **Section 3.19.2(c)(2)**. Alternate members shall attend all meetings of the Hearing Committee and the hearing; however, alternate members shall not participate in the hearing or in the Hearing Committee's deliberations unless a member of the Hearing Committee is unable to serve.

### 3.19.3 Faculty Appeals Board Hearing Regulations

The following regulations shall apply:

- (a) The Chair of the Hearing Committee, after consulting with the attorney from Legal Counsel assigned to the Committee, shall have the final decision on any procedural issues raised that are not addressed by the *Faculty Handbook*.
- (b) The parties shall have the right to attend the pre-hearing conference and hearing and to be accompanied by a colleague or counsel to advise them. The names of such colleague or counsel shall be provided to the Chair of the Hearing Committee at least 15 University business days prior to the hearing. The party appealing is responsible for obtaining and paying for costs for his/her representation. These representatives may not question witnesses or address the pre-hearing panel or Hearing Committee. All hearings will be closed to the public.
- (c) The Chair of the Hearing Committee shall serve as liaison for communication between the complainant or respondent and the Hearing Committee. Communications related to evidence and hearing procedures should be directed to the Chair of the Hearing Committee. Neither party shall communicate orally or in writing with individual Hearing Committee members during the hearing procedure. To ensure that information provided to the Hearing Committee by either party is part of the official documentation of the proceeding, the Chair of the Hearing Committee shall provide each party with a copy.
- (d) The written statements of both parties, as provided in **Section 3.19.2 (a)(2) and (b)(2)** ~~and evidence taken or considered beyond the written statements shall be heard by the provided by the Chair in paper copy to the entire Hearing Committee at the hearing and not beforehand one day prior to the hearing. The written statements shall be returned to the Chair at the conclusion of the hearing.~~
- (e) The principles of confrontation shall apply throughout the hearing. Both parties, but not their colleague or counsel, shall have the right to present, examine, and cross-examine witnesses and each other.
- (f) The Faculty Appeals Board does not have the authority to require witnesses to appear or to require either party to produce evidence. The Senior Vice President and Provost's Office shall make available to the parties such authority as it possesses to require the presence of witnesses. The Senior Vice President and Provost's Office shall work with the University Open Records Office to expedite any record requests related to a hearing before the Faculty Appeals Board.
- (g) 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. In all other cases, the Complainant shall bear the burden of proof, which shall be by a preponderance of the evidence; i.e. whether the claims of wrongdoing or impropriety are more likely true than not true.

~~(g)~~(h) The report of the Hearing Committee, which shall include findings and recommendations, will be submitted to the Senior Vice President and Provost within 10 University business days of the conclusion of the hearing, regardless of whether the written transcript of the hearing is available. The Senior Vice President and Provost shall forward the Hearing Committee's findings and recommendations, as well as his/her recommendation, to the President.

~~(h)~~(i) The Chair of the Hearing Committee is responsible for maintaining a full and accurate record of the proceedings. This shall consist of a recording or, at the option of either party, a written transcript taken by a court reporter and shall include copies of all exhibits and other materials distributed at the hearing.

- (j) Either party may request a copy of the recording of the proceedings. The recording will be maintained in the Office of the Legal Counsel for a period of five years. The full cost of recording the proceedings shall be borne by the University.
- (k) The University shall not be liable for any costs whatsoever incurred by the appealing faculty member except as set forth in this section.

#### 3.19.4 Disposition of Charges

The President shall transmit to the Board of Regents the full record of the hearing and the findings and recommendations of the Hearing Committee, his/her recommendations, and the Senior Vice President and Provost's recommendations. The Board of Regents shall come to a decision in the case based upon the materials submitted plus any additional information which it wishes to consider, or it may return the matter to the Hearing Committee with written directions as to how to proceed.

- (a) When the Board of Regents reviews the matter, the principals shall have the opportunity to present written argument. Oral arguments will be presented only upon request by the Board of Regents.
- (b) If the Board of Regents chooses to return the matter to the Hearing Committee, the Committee shall review the matter in light of the Board of Regents' directions, receive new evidence or information, if necessary, and submit a final report of its findings and recommendations to the President for transmittal to the Board of Regents, as before. The work of the Hearing Committee is finished when the President communicates in writing the final decision of the Board of Regents to the Chair of the Hearing Committee and the principals in the case.
- (c) The full record shall be deposited in the office of the Executive Secretary to the Board of Regents. Parties to the case may request copies or excerpts from the full record after the completion of the Committee's work. The costs shall be borne by the requesting party.

(Regents, 1-26-99, 12-3-02, 6-25-08, 12-7-12, 9-14-17, 3-12-24)

#### 3.20 NON-DISCRIMINATION POLICY AND SEXUAL MISCONDUCT, DISCRIMINATION, AND HARASSMENT POLICY AND GRIEVANCE PROCEDURES

Information on the policies, and the associated complaint and grievance procedures, can be found in [Appendices H and J](#).

(Regents, 3-12-24)

#### 3.21 POST-DOCTORAL FELLOW GRIEVANCE PROCEDURE

Because of the post-doctoral fellows' positions as employees who are also receiving education, any grievance brought by a fellow, other than those clinical trainees in the College of Medicine, ([See College of Medicine Residents' Handbook](#)), regarding their rights as a fellow or any allegation of wrongful administrative action resulting in probation, suspension, or dismissal of post-doctoral education shall be brought under this policy. The Post-Doctoral Fellow Grievance Procedure can be found in its entirety in [Appendix N](#).

(Regents, 3-12-24)

### 3.22 FACULTY PARTICIPATION IN COMMENCEMENT

It is the responsibility of all full-time faculty members to participate in the commencement involving their programs.

### 3.23 CANDIDACY FOR POLITICAL OFFICE

#### Policy and Protocol of Staff and Faculty Running for Office

The University encourages all employees to vote and otherwise actively participate in the political process. Further, the Board of Regents does not want to discourage faculty members or employees from becoming candidates for public office. As a U.S. citizen, an employee may regard it his or her duty to become a candidate. ~~A~~However, all faculty members and employees of the University, however have a duty not to use and/or allow for use his/her position with the University or its resources for private gain and have a duty to avoid the appearance of impropriety.

Any employee of the University who makes the determination to run for any county, state or federal elected office, shall resign or, upon approval from the Candidacy Review Committee<sup>4</sup> selected to review the request, and upon final review by the University President and/or the Board of Regents, take an unpaid leave of absence from the University during their candidacy for office. The employee/faculty seeking the leave of absence during their candidacy must comply with the follow protocol:

- A) No later than (i) thirty days before officially filing as a candidate for elected office; or (ii) publicly announcing an intent to seek an elected office; or, (iii) thirty days prior to the start of the semester during which a leave will be requested (for faculty), whichever occurs first, the employee/faculty must advise his/her supervisor, or in the case of faculty his/her Dean, of the intent to seek an unpaid leave of absence.
- B) Within 14 University business days of an employee/faculty advising his/her supervisor or the applicable Dean of the request for leave of absence during his/her campaign, the Committee must meet and determine whether the request will be granted, and if so, the items of the conflict mitigation that must be followed.

This determination will be based on a totality of circumstances including but not limited to: i) how the candidacy will impact the faculty member or staff's ability to interact with students, donors, alumni and/or other employees; ii) the impact the employee/faculty's requested unpaid leave of absence will have on University operations; and iii) other ethical and/or legitimate business concerns.

- C) Once the determination by the Committee has been made relating to the requested leave of absence, the decision and its rationale should be communicated in writing to the requestor within five University business days of the Committee making the decision.
- D) In the event the leave of absence is approved, if the employee/faculty is elected to such office, the employee/faculty shall resign from the University before taking office.

(Regents, 9-14-43, 1-27-04, 6-19-18, 3-12-24)

### 3.24 PROFESSIONAL PRACTICE AND COMPENSATION PLANS

<sup>4</sup> The "Candidacy Review Committee" shall be comprised of a representative from the Office of Legal Counsel and a representative from each of the following from the employee's respective campus: Human Resources, Faculty Senate, Staff Senate, and either the candidate's supervisor or if the candidate is a faculty member, the Dean of the faculty member's college and the Provost's Office.

All colleges on the ~~University of Oklahoma Health~~OU Health Sciences campus have Professional Practice or Compensation Plans in effect. Faculty are obligated to comply with the Plan of their college/primary appointment. Failure to comply with the appropriate plan may result in disciplinary action up to and including abrogation of tenure (See Section 3.16.1).

Copies of Professional Practice are available from each college in Appendix M.

In addition to the Professional Practice Plan, Colleges may have a Faculty Compensation Plan. The purpose of the Compensation Plan is to provide a basis for establishing compensation and, where permitted, incentives for the designated faculty of the College. All faculty are subject to and must comply with the College's Faculty Compensation Plan, which must be consistent with University and OUHSC compensation policy and must be approved by the Senior Vice President and Provost.

(Regents, 9-14-17, 3-9-22,3-12-24)

