REGULAR MEETING OF THE FACULTY SENATE  
The University of Oklahoma (Norman campus)  
October 14, 2019, 3:30 p.m., Jacobson Faculty Hall 102  

AGENDA

1. Approval of the Senate Journal for the regular session of September 9, 2019.
2. Announcements:
   a. The summary record of the disposition by the administration of Faculty Senate actions for September 2018 to August 2019 is attached.
   b. The compilation of the 2018-19 annual reports of University councils was distributed via email on September 30, 2019 to Faculty Senate members and university administrators to be made available to the general faculty. The reports are available at http://facultysenate.ou.edu/cnclrep19.pdf.
   c. On behalf of the Faculty Senate, the Executive Committee approved the nomination of: Alison Palmer (Visual Arts) to replace Ellen Greene (Classics & Letters) for a 2018-21 term on the Faculty Senate’s Committee on Committees.
   d. The Faculty Senate sent out the call for proposals for the Ed Cline Faculty Development Awards on October 8, 2019. To provide funding earlier to better support summer projects, the proposals will be due earlier this year. Proposals are due to the Faculty Senate by Monday, December 16, 2019 and up to $2,500 may be awarded per proposal. Further information at http://facultysenate.ou.edu/facdev.html.
   e. The Oklahoma Women in Higher Education conference will be held Friday, November 22, at the University of Central Oklahoma. Further information is available at http://www.okwhe.org/under the “Conferences” tab.
   f. The following faculty will serve on the 2019-20 Academic Program Review Committee: Andrea Benjamin (African and African-American Studies), Joshua Nelson (Film and Media Studies), Michael Givel (Political Science), Eric Day (Psychology), Tom Burns (Sociology), Rich Hamerla (Honors College), Steve Gullberg (College of Professional and Continuing Studies), and Jeffery Maiden (Education Leadership & Policy Studies). The panel also will include Provost Kyle Harper (Classics & Letters), Vice Provost Mark Morvant (Chemistry & Biochemistry), Faculty Fellow Nancy LaGreca (Modern Languages, Literatures, & Linguistics), Associate Dean Aiyana Henry (Instructional Leadership & Academic Curriculum), Graduate College representative Sherri Irvin (Philosophy), and Director of Assessment Felix Wao. The units to be reviewed are Classics & Letters, Communication, Economics, History, History of Science, Philosophy, Native American Studies, and Criminal Justice (PCS).
   g. Faculty and staff can submit pledges to the OU United Way campaign via the online e-pledge form.
3. Questions Regarding the Senate Chair’s Report (attached).
5. For Action:
   a. Vote on the Faculty Senate Committee on Committees’ nominations to fill vacancies on university and campus councils, committees, and boards (attached). Additional nominations may be made from the floor if the consent of the nominee has been secured.
   b. Election of Faculty Senate Executive Committee at-large member to fill a mid-year vacancy (candidate statements are attached).
   c. Revised Conflict of Interest policy (attached).
6. For Discussion: OU Global.
7. New business (any matter not known about or that could not have been reasonably foreseen prior to the time the agenda was prepared).

Refreshments will be served at 3:15 p.m.
<table>
<thead>
<tr>
<th>Meeting Date</th>
<th>Item*</th>
<th>Origin</th>
<th>Disposition by administration</th>
</tr>
</thead>
<tbody>
<tr>
<td>9-17-2018</td>
<td>Faculty appointment to the Research Council</td>
<td>Faculty Senate Committee on Committees</td>
<td>Acknowledged</td>
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<tr>
<td>9-17-2018</td>
<td>Approval of Faculty Nominees to the Executive Search Committees</td>
<td>Faculty Senate Executive Committee</td>
<td>Acknowledged</td>
</tr>
<tr>
<td>10-08-2018</td>
<td>Faculty appointments to councils/committees/boards</td>
<td>Faculty Senate Committee on Committees</td>
<td>Approved</td>
</tr>
<tr>
<td>10-08-2018</td>
<td>Approval of Faculty Nominees to the Executive Search Committees</td>
<td>Faculty Senate Executive Committee</td>
<td>Acknowledged</td>
</tr>
<tr>
<td>10-08-2018</td>
<td>Creation of ad hoc President’s Academic Program and Budget Advisory Committee and faculty appointments</td>
<td>Faculty Senate Executive Committee</td>
<td>Approved</td>
</tr>
<tr>
<td>11-12-2018</td>
<td>Changes to the Faculty Senate Charter &amp; Bylaws</td>
<td>Faculty Senate Executive Committee</td>
<td>Acknowledged</td>
</tr>
<tr>
<td>11-12-2018</td>
<td>Call for the Vice President for Research (VPR) to reconstitute the VPR’s Advisory Council and seek its advice in support of shared governance</td>
<td>Faculty Senate</td>
<td>Informational Only; Acknowledged</td>
</tr>
<tr>
<td>11-12-2018</td>
<td>Referral of evaluation and comparison of the OU-NC and OU-HSC medical insurance plans to the Faculty Compensation Committee</td>
<td>Faculty Senate</td>
<td>Acknowledged</td>
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<tr>
<td>1-07-2019 (FSEC)</td>
<td>Faculty appointments to the Budget Council &amp; Rita Lottinville Prize for Freshmen Committee</td>
<td>Faculty Senate Committee on Committees</td>
<td>Acknowledged</td>
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<tr>
<td>1-07-2019 (FSEC)</td>
<td>Faculty appointments to the Faculty Welfare Committee, the Committee on Committees, the Arts &amp; Humanities Faculty Fellowship Committee, and the Awards Review Committee</td>
<td>Faculty Senate Committee on Committees</td>
<td>Informational Only</td>
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<tr>
<td>2-4-2019 (FSEC)</td>
<td>Faculty appointment to the Publications Board</td>
<td>Faculty Senate Committee on Committees</td>
<td>Acknowledged</td>
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<tr>
<td>2-4-2019 (FSEC)</td>
<td>Faculty appointment to the Faculty Diversity, Equity, and Inclusion Committee</td>
<td>Faculty Senate Committee on Committees</td>
<td>Informational Only</td>
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<tr>
<td>2-11-2019</td>
<td>Reapportionment of the Faculty Senate for 2019-22</td>
<td>Faculty Senate, Ad Hoc Committee on Reapportionment</td>
<td>Informational Only</td>
</tr>
<tr>
<td>3-11-2019</td>
<td>Diversity, Equity, Inclusion, and Belonging Resolution</td>
<td>Faculty Senate Executive Committee</td>
<td>Acknowledged</td>
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<tr>
<td>3-11-2019 (FSEC, 3-4-19)</td>
<td>Faculty appointments to the Faculty Welfare Committee and the Arts and</td>
<td>Faculty Senate Committee on Committees</td>
<td>Informational Only</td>
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<td>Date</td>
<td>Event Description</td>
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<tr>
<td>16</td>
<td>4-08-2019</td>
<td>Election, Faculty Senate Executive Officers</td>
<td>Faculty Senate Executive Committee</td>
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<tr>
<td>17</td>
<td>4-08-2019</td>
<td>Faculty nominations to serve on search committees for the deans of International Studies, and Engineering, the search committee for the Vice Provost for Instruction and Student Success, and the Policies Organization Framework Committee</td>
<td>Faculty Senate Executive Committee</td>
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<tr>
<td>18</td>
<td>4-15-2019</td>
<td>Additional faculty nominees to serve on the Policies Organization Framework Committee</td>
<td>Faculty Senate Executive Committee</td>
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<tr>
<td>19</td>
<td>5-06-2019</td>
<td>Election, Faculty Senate Executive Committee at large-members</td>
<td>Faculty Senate Committee on Committees</td>
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<tr>
<td>20</td>
<td>5-06-2019</td>
<td>Faculty appointments for end-of-the-year vacancies on university and campus councils/committees/boards</td>
<td>Faculty Senate Committee on Committees</td>
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<tr>
<td>21</td>
<td>5-06-2019</td>
<td>Faculty appointments for end-of-the-year vacancies on Faculty Senate standing committees</td>
<td>Faculty Senate Committee on Committees</td>
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*Full text of recommendation can be found in Faculty Senate Journal for date indicated at left*
On September 4, I attended the Deans Council, at which we heard about the new “What will you do?” marketing strategy and its planned integration with forthcoming initiatives. Associate Provost Stewart Berkinshaw discussed the budget outlook, along with an upcoming needs survey that will differentiate between capital and operational expenses and that will profit from departmental input. Provost Kyle Harper offered a snapshot of the incoming freshman class and improved relationships with the state’s governing bodies, and mapped out changing roles in Evans Hall. Increasingly, Senior Vice Provost Jill Irvine will be the point person for many questions related to faculty. Vice Provost Mark Morvant discussed plans to assess the university’s management of space, which will require updated information from the colleges. Provost Harper gave an overview of the planning stages of the strategic framework, which Interim President (IP) Harroz looks forward to bringing to the regents at their January 2020 meeting. Faculty, staff, students, and alumni will all be involved, with the President’s Academic Program and Budget Advisory Committee (PAPBAC) coordinating input. Based on conversations with IP Harroz, Provost Harper anticipates that financial responsibility, expanding opportunities, student success, and faculty impact will feature prominently, as will the university’s values, goals, and actionable plans. With possible costs of $100 million per year to implement several goals already in the offing, the university will look at growing professional master’s degree plans, enrollment targets, and other external sources of income nationally. To a question about the university’s unrestricted cash on hand, AP Berkinshaw replied that we have not seen significant increases due to factors such as savings that strictly applied to the past fiscal year, recent staff raises, and the swift application of savings to the academic mission this year, through, for instance, the addition of faculty lines.

The same day, the Faculty Senate Executive Committee (FSEC) met with IP Joseph Harroz, who discussed the impending hires of VPR Tomás Díaz de la Rubia and Chief of Staff Sean Burrage. He also outlined the general approach to filling a slate of interim dean positions, searches for some of which are ongoing. We discussed a potential review of evaluation procedures for the campus, which would take a comprehensive look at how administrators, office functions, faculty, et al. are evaluated, perhaps in concert with an upcoming accreditation project. The conversation shifted to a discussion of OU Global, which IP Harroz is looking to coordinate and expand. FSEC members expressed concerns with potentially growing teaching loads vis-à-vis our research mission, profit margins in our agreements with management companies, quality and rigor of programs, and intellectual property. Subsequent conversations suggest this area should command careful consideration by the faculty. Our visit closed with a reminder that the university is without an ombudsperson, the filling of which is of concern to many on the faculty, and our inquiry into the freeze form process, which we believe would profit by greater faculty input.

On September 5, FS Chair-Elect Amy Bradshaw, Secretary Amy Cerato, and I met with Interim Dean Carl Grant and members of his leadership team at the library for a tour and discussion of the library’s strategic plan, needs, and concerns in the coming years. Not having comprehensively toured the facilities in some time, we were collectively impressed and inspired by the improvements made. On September 6, FS Secretary Cerato and I met with General Counsel Anil Gollahalli and others working on the Conflict of Interest policy, a draft of which the FSEC had already reviewed. Sec. Cerato in particular raised several points of concern. VP/GC Gollahalli and his team were responsive to our suggestions and incorporated language changes that substantively addressed the issues raised.
September 9, I attended the Provost’s Chairs and Directors meeting, at which Provost Harper presented a preliminary update on PAPBAC’s revised mission around the strategic framework’s development. The substance of this presentation was much the same as that heard later that day by the Faculty Senate at its regular meeting. Later that week, on September 11, I attended the Board of Regents meeting.

On September 17, I had a meeting with SVP Irvine, at which we discussed developing a council of chairs and directors, and implementing training for chairs, directors, and other administrators around matters such as Title IX, HR policies, and related resources. She looks forward to working with departments, too, on matters like strategic plan development and offered to share examples of full-fledged plans that have garnered administrative support.

From the time that campus visits for the VP of Diversity and Inclusion began on September 18, several members of the FSEC and I attended faculty forums; presentations; and joint meetings with the Staff Senate, the OUHSC Faculty Senate, and student government associations. Comments from various faculty came to the FS office and to me, which I shared in turn with the FS delegate of the search committee and with Chair-Elect Bradshaw. On behalf of participating members of the FSEC, I forwarded summary remarks to the search committee, IP Harroz, and the Board of Regents.

At the October 2 Deans Council meeting, CIO David Horton gave an overview of IT projects underway, including multi-factor authentication. Felix Wao from Academic Assessment offered the latest results from the Student Satisfaction Survey, which identified several areas where students expressed concern and approbation. Faculty might find such results, available through the Assessment office, helpful in formulating strategic plans or in developing academic program review reports. AP Susannah Livingood briefed the deans on their evaluation procedures, which will soon loop in faculty for confidential input. Provost Harper provided an update on searches, which include those for the deans of the Honors College (chaired by Jill Irvine), Libraries (chaired by Kelvin White), and Professional and Continuing Studies (chaired by Gregg Garn). SVP Irvine and Provost Harper will be monitoring faculty searches for diversity in applicant pools, not as a roadblock but to help provide resources when needed. Provost Harper reiterated improving relationships with state government, which is increasingly interested in fostering research and economic opportunities. Provost Harper elaborated on PAPBAC’s work on the strategic framework and alerted deans to forthcoming conversations with the committee, which will take place both in smaller meetings with particular groups such as the FSEC and student government associations, and in town hall-style gatherings with larger constituencies.

On October 3, I met with Provost Harper, and we discussed reevaluating the RRT cap, identifying and facilitating pathways to promotion for contingent faculty, and how to best avoid over-adjunctification of instruction. We also visited about the strategic framework and ways to include departments that might not neatly fit with previously identified “investible opportunities,” such as aerospace and energy research. The Provost emphasized that this framework is not meant to accomplish the work of a strategic plan that might articulate a narrower set of focus areas but should rather outline broader goals and values in which most academic units could see themselves reflected. On the topic of OU Global, I suggested that many faculty concerns might well be addressed through the development of a high-level faculty review committee charged with monitoring, for instance, online programs’ quality and rigor, accessibility outcomes, financial aid accessibility, and staffing implications. The Provost indicated his general support for such a committee, the contours of which would naturally require thoughtful mapping. For his upcoming visit to the FSEC, Provost Harper offered to provide an account of the effects of the recent raise package on compression and inversion.
On October 7, several members of the FSEC met with PAPBAC to offer feedback on the online survey instrument designed to solicit input for the strategic framework from a range of university stakeholders. The committee was receptive to our suggestions, which we hope will make an already well-tuned instrument still more responsive and generative. The survey opened via emails sent on October 9, and the FSEC encourages faculty participation on this project that will substantively guide institutional direction.

The FSEC met on October 7 and discussed possible additions to the FS bylaws to address filling Senate seat vacancies, progress on dean’s searches and university councils, Academic Program Review committee nominations, and resources for the Title IX and Gender Equality Center offices. The FSEC invited presentations from Prof. Alisa Fryar on online program considerations (e.g., staffing, costs, market expectations), from AP Livingood on the upcoming Quality Improvement Project connected to Higher Learning Commission accreditation (FS Chair Nelson, Chair-Elect Bradshaw, and Immediate Past Chair Megan Elwood Madden will attend a preliminary meeting to discuss possible directions for this project), and from representative from the HR office on upcoming health insurance changes, about which the Senate will hear at its regular meeting on October 14. Provost Harper, accompanied by Glenn Hansen with the Office of Business Analytics, provided a preliminary review on the raise program relative to COMPA averages and to compression and inversion, an ongoing issue on which the program had small but positive effects. The Provost relayed that he and SVP Irvine reviewed each case of compression and inversion with the college deans. In some cases, adjustments were made; in some cases, deans offered rationale, relative to performance evaluations, for instance, that urged use of discretionary funds for other purposes such as merit or equity.

I met with VP Morvant on October 8, when we discussed APR committee nominations, ongoing needs to assess space utilization; the RRT cap together with promotion pathways and other departmental options such as graduate teaching; and retention strategies for under-represented minority students, which he looks to address with consideration of cultural factors informed by faculty input.
FACULTY SENATE NOMINATIONS FOR VACANCIES ON
UNIVERSITY COUNCILS, COMMITTEES, AND BOARDS
OCTOBER 2019

Academic Programs Council:
complete 2018-21 term of Deborah Trytten: Vassilios Sikavitsas (Chemical, Biological, & Materials Engineering)
complete 2019-22 term of Andrew Elwood Madden: Ralph Beliveau (Journalism)

Continuing Education Council:
complete 2019-22 term of Kathelene Guzman: Bonnie Pitblado (Anthropology)

Faculty Appeals Board:
complete 2016-20 term of Sally Beach as of Jan. 2020: Keri Kornelson (Mathematics)
complete 2017-21 term of Timothy Laubach: Laurie Scrivener (University Libraries)
complete 2018-22 term of Holly Mackey: Ellen Rubenstein (Library & Information Studies)

Goddard Health Center Advisory Board:
complete 2018-21 term of Christina Miller as of Jan. 2020: Eugenia Fuenzalida (Psychology)

Information Technology Council:
complete 2019-22 term of Alexandra Durcikova: Jenel Cavazos (Psychology)
complete 2017-20 term of Patrick Livingood as of Jan. 2020: Samuel Huskey (Classics & Letters)

Research Council:
complete 2019-22 term of Firat Demir: Cynthia Rogers (Economics)
complete 2017-20 term of Dan Schwartz: David Howard (Music)
complete 2019-22 term of Man Fung Yip as of Jan. 2020: Marcia Haag (Modern Language, Literatures, & Linguistics)

Student Conduct Hearing Panel:
complete 2019-21 term of Jeremy Lindberg: Sarah Robbins (University Libraries)

University Libraries Committee:
 appointed to 2019-20 term from Business: Aaron Burt (Finance)
 appointed to 2019-20 term from Architecture: Khosrow Bozorgi (Architecture)
 appointed to 2019-21 term from AGS or Earth & Energy: Barry Weaver (Geosciences)
 appointed to 2019-21 term from Education: Crag Hill (Instr. Lead. & Acad. Curr.)
 appointed to 2019-21 term from Arts & Sciences (Nat. & Life Sciences): Heather Ketchum (Biology)
 appointed to 2019-22 term from PACS or Honors College: Ben Alpers (Honors College)
 appointed to 2019-22 term from Arts & Sciences (Professional): Tim Davidson (Human Relations)
 appointed to 2019-22 term from University Libraries: Lina Ortega (University Libraries)

Faculty Senate Faculty Compensation Committee:
complete 2017-20 term of Ying Wang: Greg Burge (Economics)
September 27, 2019

Members of the Faculty Senate,

   Please accept my self-nomination for the at-large seat on the Faculty Senate Executive Committee (FSEC). I have served in faculty governance for five years as a senator representing the College of Arts and Sciences and the College of Liberal Arts at both public and private universities. As part of my past Senate terms, I have also been a member of the University Academics Committee; the Committee on Committees; the By-Laws Committee; a subcommittee on International Studies organized by the Board of Trustees, and the President’s Senior Advisory Council. I have also represented the faculty during two presidential transitions and several months of policy negotiations covering various topics.

   Outside of my Senate experience, I have administrative experience directing a Graduate Program in English, chairing the university-wide Graduate Curriculum Committee, directing an interdisciplinary academic program, and serving as Director of Global Learning--a position coordinating undergraduate student experiential learning and community engagement activities in domestic and international spaces.

   As new faculty at the University of Oklahoma, I am especially interested in joining the FSEC to learn more about OU from the inside. I am also eager to provide additional representation as someone who teaches and researches within the fields of Ethnic and Gender Studies. I would hope my active presence on the FSEC would enhance the discussions, decisions, and potential change the Senate will undoubtedly effect as the university reshapes its identity and progresses within this contemporary moment.

Thank you for your consideration.

Kalenda Eaton, Ph.D.
Associate Professor of Africana Literature
Department of African and African American Studies
University of Oklahoma
Email: k.eaton1@ou.edu
Robert Lifset - Statement for FSEC at-large election

I am the Donald Keith Jones Associate Professor of History in the Honors College where I have taught modern U.S. environmental and energy history since 2008. Like many of you, I’ve published books, articles, essays; I’ve edited journals and organized conferences. I’ve served the University as: a member of the Budget Council (including one year as chair); on an Academic Program Review and as a member of the Faculty Senate since the Fall of 2017.

The Senate is the principal means by which the faculty influences and potentially shapes the priorities and policies of the administration. We are serving during a time of unusual instability; this University has seen three President’s in the past three years. The Senate needs to seize the opportunity for asserting shared faculty governance; it needs to resist the trend (at OU and within higher ed) whereby decision-making has been increasingly centralized. If elected to the executive committee my priorities will be increasing faculty salaries, the quality of healthcare coverage, and diversity and inclusion.
INDIVIDUAL CONFLICTS OF INTEREST POLICY

1. GENERAL POLICY

A. GENERAL OBLIGATION. Conflicts of interest can result in serious harms such as improper personal benefits, loss of University resources, misuse of confidential information, and exploitation of employees, students, and others. Even without such consequences, conflicts of interest endanger the University’s mission and betray the public’s trust if left unreviewed. Therefore, all persons covered by this policy must promptly disclose any conflicts of interest, including any personal interest, activity, or relationship that may affect or detract from the proper exercise of University responsibilities, and must adhere to the University’s judgment on permissibility and management.

B. SCOPE. This policy applies to all University Employees. It establishes minimum standards and procedures for addressing personal conflicts of interest and outside professional employment. Nothing in this policy prohibits any academic or administrative unit from establishing supplementary Conflicts of Interest policies and/or procedures that are more restrictive than these. This policy overlaps with but does not replace Employee responsibilities under state and federal law or other University policies, e.g., the IRB conflicts of interest policy; and, compliance with those laws/policies does not eliminate the requirement to comply with this policy, and vice versa. Institutional conflicts of interest and certain other specific personal conflicts are addressed by other University policies referenced in Appendix 3.

2. CONFLICTS OF INTEREST. A Conflict of Interest arises when a financial or other personal interest, activity, or relationship may reasonably be expected to compromise an Employee’s judgment in carrying out his/her University responsibilities. When used in this policy, the term Conflict of Interest also includes potential conflicts (i.e., interests, activities and relationships that do not currently constitute a conflict but will foreseeably do so if not subject to limitation) and the appearance of a conflict (i.e., interests, activities, and relationships that in the University’s judgment would impair public trust if not managed appropriately). Conflicts of interest include but are not limited to the following:

A. SELF-DEALING: Transacting any University business with oneself or one’s Family or having a Significant Financial Interest in any Company that could foreseeably benefit from the Employee’s decisions in discharging University responsibilities.

B. USE OF UNIVERSITY RESOURCES: Taking, allocating, or using any University Resources for a non-University purpose except as otherwise allowed by University policy.

1 Definitions of capitalized terms are included in Section 2 and in Appendix 1.
C. USE OF EMPLOYEES OR STUDENTS. Hiring or supervising University Employees or students whom one supervises, instructs, or mentors, in a personal interest, activity, or relationship, or receiving a profit from sales or services to them.

D. CONFLICTS OF COMMITMENT. Engaging in any full or part-time activity that demands a level of time or energy that can reasonably be expected to impair the performance of one’s University responsibilities. Outside activities ordinarily understood as full-time are presumed to be inconsistent with full-time University employment.

E. ENDORSEMENT. Presenting one’s University affiliation, position, or credentials in a way that gives the appearance of University endorsement of any business, charity, or other outside entity or activity, or creating confusion as to University involvement in the activity.

F. GIFTS. Accepting a Gift that may reasonably appear to influence the exercise of one’s University responsibilities, or that may appear to be compensation for such exercise, or that otherwise may be prohibited by law.²

G. IMPARTIALITY. Participating in a University matter involving specific parties that is likely to have a direct and predictable effect on the Employee’s financial interests (or those of a member of his/her Family); or, where the Employee or Family member has a personal or business relationship with a directly affected party; or where the circumstances would cause a reasonable observer with knowledge of the relevant facts to question the Employee’s impartiality. Examples of such parties include members of one’s Family, persons with whom one lives or shares a bank account, and persons with whom one has or has recently had significant financial transactions such as employment, contracting, or indebtedness.³

H. CONFIDENTIALITY. Disclosing confidential information, including proprietary information, acquired through one’s University employment to anyone not entitled to receive it.

I. INTERESTS AND ACTIVITIES PRESUMPTIVELY PERMITTED. The following interests and activities are presumptively permitted and need not be disclosed so long as they do not constitute a Conflict of Commitment and so long as they are not required to be disclosed by a unit’s supplementary policy:

1. interests below the threshold of Significant Financial Interests in a Company that may do business with the University;

² Employees receiving Gifts, gratuities, or other third-party benefits are advised to review Appendix 4 for additional legal restrictions. See Rules 4.8, 4.9, and 4.17.

³ Employees engaged in a matter likely to have a direct effect on their financial interests are advised to review Appendix 4 for additional legal restrictions that may affect participation in the matter. See Rule 4.7.
2. financial interests in a Company that does no business with the University, or does business with the University outside the course and scope of one’s University responsibilities;

3. unpaid service on nonprofit or scholarly boards;

4. service as an editor of a professional publication;

5. services of a scholarly or professional nature for which tokens of appreciation (honoraria) are traditionally conferred and are not undertaken for personal financial gain, for example a scholarly presentation or program evaluation;

6. modest personal Gifts of a customary nature, ordinarily with a value less than $20, where knowledge of the relevant facts would likely not cause a reasonable observer to question the Employee’s impartiality;

7. inclusion of University affiliation in publications or communications where not reasonably likely to be taken as endorsement;

8. modest personal use, excluding personal business use, of University Resources such as telephone and email as permitted by other University policies.

3. OUTSIDE PROFESSIONAL EMPLOYMENT, EXCLUDING ACTIVITIES COVERED BY A UNIVERSITY PROFESSIONAL PRACTICE PLAN

A. GENERAL PROVISIONS. All Employees shall discharge their responsibilities to the University unhindered by outside employment or other commitments. Full-time Employees owe their primary professional duty to the University; any other employment or activity must be secondary. However, in light of their potential to create Conflicts of Interest, outside employment in the area of one’s University duties (“outside professional employment”) must be disclosed and approved and may be limited as provided in this section. All Employees who are permitted to engage in outside professional employment that reasonably appears to create an actual, potential, or apparent Conflict of Interest shall provide their services in strict accordance with an approved management plan.

All Employees having decisional responsibilities, in the application for, design of, or conduct of sponsored research, e.g., investigators, key personnel, or as may otherwise be required by a sponsor, must disclose all outside professional employment.

4 While excluded from this Section 3, Employees who are in HSC or other Professional Practice Plans are expected to comply with the terms of their respective Plans and all other applicable University policies and procedures.
B. STAFF. Staff Employees are expected to conduct University business during the University’s regular business hours, or as otherwise assigned. Staff Employees may not conduct outside professional employment during their assigned University business hours except when leave is authorized. Salaried staff with appointments from 0.8 to 1.0 full-time equivalent (FTE) shall disclose and receive prior approval for all outside professional employment to assess possible conflicts of commitment. All staff employees must disclose and receive prior approval for outside professional employment that reasonably appears to create an actual, potential, or apparent Conflict of Interest.

C. FACULTY. During the terms of their academic appointment, faculty members must attend to all duties and responsibilities including classes, office hours, and service commitments. Faculty participating in a Professional Practice Plan should adhere to these principles in addition to those obligations arising under the Plan.

1. Faculty during academic year. Faculty members are individually and primarily responsible for arranging their University time. Full-time faculty may, with chair or director approval, commit up to 10 hours in any week for outside professional employment during University business hours so long as the activity does not reasonably appear to create a Conflict of Interest, does not interfere with the faculty member’s University duties and responsibilities, and provides important elements of faculty professional development related to University duties and responsibilities. For faculty who accrue leave, the University shall determine the extent to which leave should be taken for outside professional activities.

2. Summer outside professional employment for 9-month faculty. During any portion of the summer in which 9-month faculty are not on contract with the University, they may engage in outside professional employment without regard to the 10-hour-per-week limitation. Such outside professional employment is presumptively permitted; however, such employment must be disclosed for prior review for actual, potential, or apparent Conflicts of Interest and may not involve use of University Resources, including staff, except as otherwise provided by University policy.

3. Part-time faculty. Faculty with less than full-time appointments may engage in outside professional employment during any time not required by their University responsibilities, unless limited by the terms of their respective professional practice plans.

4. Regular and renewable-term faculty. Regular and renewable-term faculty with appointments from 0.8 to 1.0 FTE must disclose all outside professional employment.

4. DISCLOSURE AND REVIEW
A. CONFLICT OF INTEREST OFFICE. The University President shall designate a Conflict of Interest office or offices on the Norman and Health Sciences Center campuses which shall be responsible for the following:

1. EDUCATION. Providing to Employees on all campuses adequate information at least annually regarding this policy and their obligations hereunder and ensuring that Employees responsible for implementation and administration of this policy receive appropriate training to effectuate the aims of this policy.

2. PROCEDURES AND IMPLEMENTATION. Managing the activities of the Conflict of Interest Committees, providing oversight, and promoting uniform standards for conflict of interest disclosure, review, approval, and management across all campuses.

3. RECORDKEEPING. Maintaining an inventory of all conflict of interest disclosures, management plans, and related pertinent materials across all campuses. The office shall also devise standards for internal disclosure and for public disclosure of conflicts under management sufficient to assure ethical transparency while maintaining an appropriate level of privacy for personal financial interests and personnel records.

B. CONFLICT OF INTEREST COMMITTEES. The University President shall appoint two Conflict of Interest Committees: one on the Norman Campus and one on the Health Sciences Center Campus. Conflicts arising on the Tulsa Campus shall be decided by the Committee for the campus where the Employee’s unit is based.

1. Composition. Committees shall be composed of four faculty recommended by Faculty Senate; three staff members recommended by Staff Senate from the salaried professional academic and administrative staff; the Vice President for Research or designee; the Senior Vice President and Provost or designee; and additional voting members with specialized competencies and expertise as may be appropriate for deliberations of each Campus’s respective Committee. The Committees shall have a nonvoting member designated by the Office of Legal Counsel to provide advice and legal support.

2. Powers and Responsibilities. Committees shall determine the appropriate disposition of covered conflicts arising on their respective campuses.

3. Delegation and Support. Consistent with the aims of this policy, the Conflict of Interest Offices shall be responsible for the day-to-day operation of their respective Committees and shall establish procedures to obtain recommendations from appropriate individuals and units, to decide cases, to delegate routine matters to the Conflict of Interest Office,
and to delegate decision-making for conflicts of a specialized nature where the decision-making expertise is localized.

C. OBLIGATION TO DISCLOSE. Employees shall disclose and seek prior approval for an interest, activity or relationship covered under this policy, or within 30 days of hire, if the activity or relationship predates the Employee’s University employment. Disclosures shall be to the appropriate Conflict of Interest Office, in writing, and shall include a clear, detailed explanation of the Conflict. The Conflict of Interest Office may forward the disclosure to other offices for preliminary information, review, or advice as the Office deems necessary.

D. REVIEW. Disclosures shall be reviewed in accordance with procedures established by the Conflict of Interest Office. In light of the unique institutional responsibilities of executive officers, conflicts arising for Executive Officers shall be disclosed according to the Institutional Conflicts of Interest policy.

E. POSSIBLE ACTIONS. The Conflict of Interest Committee or its designee may determine that the activity, interest, or relationship constitutes (a) no conflict, (b) a potential conflict that will be permissible as long as certain limits are not exceeded, (c) a manageable conflict requiring a management plan; or (d) an unmanageable conflict requiring action to terminate either the interest or the University duty involved.

F. MANAGEMENT PLANS. When a Conflict of Interest, whether actual, potential, or apparent, requires management, the Conflict of Interest Committee or its designee shall, with information and input from the Employee and others as it deems appropriate, develop a management plan. Management plans must include a description of the conflict, a summary of the steps required for management, specific individual(s) responsible for the required steps, the records to be maintained under the plan, and a schedule for review, which must occur at least annually.

5. REMEDIATION, RESCISSION, AND ENFORCEMENT. Reports or evidence of policy violations received by the Conflict of Interest Office shall be reviewed, investigated, and referred to the appropriate office for action. Employees who fail to disclose a conflict of interest or to comply with a decision or approved management plan may be subject to discipline up to and including severe sanctions and termination. Employees are reminded that they also are subject to civil and criminal penalties for violations of state or federal laws relating to conflicts of interest. An approving authority may rescind an approved outside professional employment activity upon receipt of information indicating the activity is not consistent with this policy, applicable law, or other University policy. If approval is rescinded, the Employee shall be given written notice and an opportunity to respond to his or her campus Conflict of Interest Committee.
APPENDIX 1: DEFINITIONS

A. COMPANY. Any entity, other than the Board of Regents of the University of Oklahoma, through which business is conducted (profit or non-profit), including such organizations as a sole proprietorship, partnership, company, corporation, civic or social organization.

B. EMPLOYEE. All individuals employed by the University, whether full or part-time. For purposes of this policy, the term “Employee” shall also include postdoctoral fellows, visiting scholars, residents, graduate research and teaching assistants, volunteers, and all key personnel working on grants and contracts whether paid or unpaid.

C. FAMILY. Includes any individual who is a spouse/domestic partner, parent, child, stepchild, or sibling of an Employee or a member of the Employee's household.  

D. GIFT. Anything of value to the extent that consideration of equal or greater value is not received in exchange.

E. INTELLECTUAL PROPERTY. Any ideas, discoveries, inventions, technology, creative expressions and embodiments thereof in which a proprietary interest may be claimed such as patents, copyrights, trademarks, know-how, biological materials, and other forms of intellectual property legally recognized as set forth in the University’s Intellectual Property Policy.

F. SIGNIFICANT FINANCIAL INTEREST.  

1. For a non-publicly traded company.

   A. Any ownership interest, by the Employee or his or her Family, in a private business, including but not limited to, a closely held corporation; limited liability company; Subchapter S corporation or partnership for which the Employee or his or her Family member is a director, officer, owner, manager, employee, or agent; or any private business, closely held corporation or limited liability company in which the Employee or his or her Family member owns or has owned stock, another form of equity interest, stock options, or debt instruments.

   B. Any Intellectual Property right or interest for which the Employee or his or her Family has received income.

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5 For the definition of “family” in the State Ethics Rules see Rule 4.2. Due to a university’s unique ethical responsibilities in teaching and research, OU’s definition is somewhat broader in scope.

6 For the definition of “material financial interest” in the State Ethics Rules see Rule 4.7. Under federal law, the University’s disclosure requirements are more restrictive, e.g., NSF sponsored research contracts, and rather than confuse the issue by applying different standards, the university elected to abide by the more restrictive rules.
C. Receipt of income of Five Thousand Dollars ($5,000) or more by the Employee or his or her Family during the twelve months prior to the date of disclosure; or

2. For a publicly-traded company. Any interest for which remuneration during the twelve months prior to disclosure, plus the value of equity interest in the entity at date of disclosure, exceeds $5,000, when aggregated for the Employee and his or her Family.

3. Significant Financial Interests do not include:

   A. salary, royalties, or other remuneration paid by the University to employees (including Intellectual Property rights assigned to the University and agreements to share in royalties related to such rights); or
   B. investment vehicles, such as mutual funds and retirement accounts, where the Member does not directly control the investment decisions made by such vehicles.

G. UNIVERSITY RESOURCES. All University services, real and personal property including facilities, equipment, Intellectual Property, and workforce.
APPENDIX 2: CONFLICTS OF INTEREST IN BUSINESS AND RESEARCH RELATIONSHIPS

A. **Company Board Membership/Officership.** Service as a director or officer (President, VP, CEO, COO, CFO, Scientific Officer) of a Company is normally acceptable; however, when the Company proposes to do or is doing business with the University, has licensed University technology, or there is, an actual, potential or apparent Conflict of Interest with one’s University responsibilities (such as financial conflicts, conflicts of commitment, use of University Resources, potential or actual overlap between University research and Company research, and use or ownership of Intellectual Property), one shall disclose the relationship and seek written approval from the Conflict of Interest Committee pursuant to a management plan.

B. **Support of Students and Trainees by Companies.** The progress and academic standing of students and trainees must never be compromised. Accordingly, a Company may not be permitted to (i) support a student’s academic program if the supervising Employee has Equity or serves as a director or officer (President, VP, CEO, COO, CFO, Scientific Officer) or (ii) employ a student or trainee to conduct research that overlaps with his or her University training or academic program, absent written approval by the Conflict of Interest Committee pursuant to a management plan. The Conflict of Interest Committee shall establish University policies and rules to regulate the circumstances under which the referenced employment relationships may be permitted.

C. **Funding for Sponsored Research and Service Activities.** There is a presumption against accepting funding from a Company in which the University or the Employee has a financial interest, or the Employee serves as a director or officer (President, VP, CEO, COO, CFO, Scientific Officer). Presumptively, Employees may not act as a principal investigator on extramural sponsored projects in the area of the Employee’s professional expertise. The Conflict of Interest Committee shall establish University policies and rules to regulate the circumstances under which these relationships may be permitted.

D. **SBIR / STTR Programs.** Under Small Business Innovation Research (SBIR) and Small Business Technology Transfer (STTR) programs, small businesses are encouraged to partner with a research university to perform innovative research and/or to assist in technology transfer from the university. A University Employee may participate in the SBIR/STTR project only through a written contract between the University and the Company approved in accordance with University policy that outlines the Employee’s responsibilities and/or University benefits. The Conflict of Interest Committee shall establish University policies and rules to regulate the circumstances under which the referenced employment relationships may be permitted.
APPENDIX 3: OTHER UNIVERSITY POLICIES RELATED TO CONFLICTS OF INTEREST

Conflicts of Interest may take various forms but exist when there is contradiction between the private interests and professional obligations of a University employee. In addition to being addressed directly in this policy, such Conflicts are addressed in other University policies which govern conduct of employees' professional activities. A non-exhaustive listing of such policies follows. A University employee should consult specific University policies presented in the faculty and staff handbooks of their respective campuses for guidance and information regarding specific situations which may relate to Conflicts of Interest.

Academic Freedom and Responsibility
Acceptable Use of Information Resources
Candidacy for Public Office
Compliance Policies
Conducting Private Business from University Facilities
Consensual Sexual Relationship Policy
Ethics in Research Policy
Fraud Prevention, Reporting, and Whistleblower Protection Policy
Fundraising or Solicitation
General Purchasing Policies
Intellectual Property Policy
IRB Conflict of Interest Policy (researchers)
Nepotism Policy
Off-campus Use of University Property
Participating in Political Campaigns
Professional Practice Plans – HSC
Sabbatical Leave
Sale of Required Instructional Material
Service as Promotional Speaker for Private Industry – HSC
Use of State Vehicles for Private Purposes
APPENDIX 4: OKLAHOMA STATE ETHICS RULES, RULE 4: CONFLICTS OF INTEREST (EXCERPTS)

Rules regarding conflicts of interests have been promulgated by the Oklahoma Ethics Commission, not the legislature, but they have the force and effect of law and there are civil penalties available for violating them. In that the Commission may modify the rules, a non-exhaustive COI list, as of 8/14/2019, is set forth below by subject. As applicable to an employee’s circumstances, go to the Commission’s web site <https://www.ok.gov/ethics/> click on “Ethics Laws, Guides & Forms” and review the latest version (annotated) of the applicable rule.

Rule 4.1. Purpose of Rule 4.

Rule 4.2. Definitions.


Rule 4.5. Misuse of Authority.

Rule 4.7. State Officer Impartiality.


Rule 4.11. Gratuities Offered at Seminars, Conferences or Similar Events.

Rule 4.12. Modest Items of Food and Refreshments


Rule 4.15. Acceptance of Meals and Other Benefits for Conference Presentations.

Rule 4.16. Acceptance of Meals for Professional, Civic or Community Events; Acceptance of Meals at Political Events.

Rule 4.17. Gifts to Superiors by State Officers or Employees.

Rule 4.18. State Officer or Employee Representation of Others in Transactions Involving the State.

Rule 4.19. State Officer or Employee Representation of Others Before Employing Agency.

Rule 4.23. State Officer or Employee Violation of Rules through Indirect Action.