

# *Arts & Sciences Faculty Handbook*

## **2009 - 2010**

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## **Mission Statement**

The University of Tulsa Mission Statement reads as follows:

“The University of Tulsa is a private, independent, doctoral-degree granting institution whose mission reflects these core values; excellence in scholarship, dedication to free inquiry, integrity of character, and commitment to humanity. The university achieves its mission by educating men and women of diverse backgrounds and cultures to become literate in the sciences, humanities, and arts; think critically, and write and speak clearly; succeed in their professions and careers; behave ethically in all aspects of their lives; welcome the responsibility of citizenship and service in a changing world; and acquire the skills and appetite for lifelong learning.”

The College of Arts and Sciences plays a critical role in fulfilling the educational mission of the University. The success of the College in offering its students a broadly based liberal arts education depends upon the degree of seriousness and rigor with which the Faculty approaches its primary task of teaching. The Faculty of the Henry Kendall College affirms that the professional life of the College as an intellectual entity and the mission of the College to educate its students are founded on a dynamic relationship between teaching and scholarly or creative achievement. The Faculty likewise affirms that service to the institution, the profession, and the community is a significant dimension of the professional life of faculty members and further charges each academic unit to set forth for its members the expectations for such service.

# THE HENRY KENDALL COLLEGE OF ARTS AND SCIENCES POLICIES & PROCEDURES

## ORGANIZATION AND PROCEDURES OF THE FACULTY (CONSTITUTION)

### **Purpose**

The faculty of the Henry Kendall College of Arts and Sciences is organized to promote common interests in academic excellence, professional collegiality, and administrative efficiency.

### **Faculty Meetings**

Faculty meetings shall be of two kinds: regular and special. Regular Faculty meetings shall be held four times a year: once each in September, November, January/February, and March/April. Special Faculty meetings shall be held at the call of the Dean of the College or of the Executive Committee. Notice of Faculty meetings shall be circulated to the Faculty at least ten days in advance of their scheduled occurrence. All full-time faculty members shall be eligible to attend with privilege of the floor and vote. Student members of Standing and Ad Hoc committees shall be eligible to attend these meetings. They shall have privilege of the floor and vote only at the discretion of the Dean or by a simple majority vote of those full-time Faculty present. Others may attend at the discretion of the Dean or the Faculty. The Dean or his/her designate shall preside at meetings. The first item of business at each March/April meeting shall be the election of a Recording Secretary and a Parliamentarian. The Recording Secretary shall record and distribute minutes to all full-time Faculty members with the notice of the next Faculty meeting and shall serve until his or her successor is qualified. Other distribution of the minutes shall be at the discretion of the Dean. The Parliamentarian shall advise the meeting Chair on all questions of procedures following the guidelines of *Robert's Rules of Order* and shall serve until his or her successor is qualified.

### **Committees**

I. **Standing Committees:** The following rules shall apply to the Standing Committees. Terms of membership shall be two years and staggered to provide continuity of membership. No person shall be eligible for immediate re-election. Members shall be elected by mail ballot within two weeks following the March/April meeting of the Faculty from the full-time Faculty members of the College. Vacancies shall be filled by election at the next Faculty meeting. Each committee shall file a written report in the Office of the Dean at the end of each academic year. These records shall, within the limits of the law, be available to all Faculty members and to those students who are members of committees of the College. Each committee shall present an oral report to the Faculty at each regularly scheduled meeting. The Dean or his/her designate shall be an ex-officio member of each committee. Each committee shall elect a Chairperson and a Recording Secretary from its own membership before May of each year at a meeting called by the current committee Chair. Student members of these committees shall be selected annually within the first three weeks of the fall semester from the full-time members of the College student body. A calendar of all forthcoming committee meetings shall be available to the Faculty in the Office of the Dean.

All committee meetings shall be open to the College Faculty except during the consideration of personnel or other sensitive matters. The Standing Committees shall be:

- A. Executive Committee: This committee shall consist of five faculty and two student members. Between Faculty meetings, it shall act on behalf of the Faculty on College matters and shall adjudicate student petitions regarding the fulfillment of degree requirements, probation, dismissal, readmission, and similar matters. This committee shall be advisory to the Dean on matters of College governance, Faculty meeting agendas, standards of Faculty responsibilities and conduct, travel grant requests, and in the preparation and revision of the *Faculty Handbook*.
- B. Curriculum Committee: This committee shall consist of five faculty and two student members. It shall have responsibility for review of the Collegiate baccalaureate requirements and curricula and for action on proposals to alter them. Each proposal shall be circulated to the Faculty at least one week prior to the time scheduled for its consideration by the Curriculum Committee with an indication of the date and place of the meeting at which it will be considered and with an invitation for submittal of written responses from the Faculty to it. Description and explanation of the action taken on each proposal shall be distributed to the Faculty. The Committee shall seek to maintain liaison with the other curriculum committees of the University and shall be advisory to the Dean on curriculum matters.
- C. Committee on Tenure and Promotion: This committee shall be established and function according to the University regulations. It shall be advisory to the Dean on revisions of the College statement on tenure and promotion and for purposes of reviewing the tenure and promotion statements of the academic units in the College.
- D. Committee on Academic Assessment: This committee shall consist of five faculty and two student members. It shall develop an assessment plan for the College of Arts and Sciences that is consistent with the educational mission of the College; it shall designate the academic departments and programs responsible for implementing departmental and programmatic assessment plans; it shall review departmental and programmatic assessment plans and their implementation and make recommendations for revision or elaboration as found to be appropriate; and it shall ensure that information from departmental and programmatic assessment is disseminated in a manner that encourages the improvement of academic programs.

II. Nominations Committee: The Chairs of each of the three Standing Committees shall constitute the Nominations Committee with the Executive Committee member serving as Chair. The Nominations Committee shall provide, in an attachment to the published agenda for the March/April Faculty meeting, a slate with at least two nominees for each position on the Standing Committees of the College and for Collegiate representation on University-wide bodies. Notice of the Nominations Committee meeting at which this slate is determined shall be circulated to the Faculty ten days prior to that meeting. Additionally, at the March/April Faculty meeting, candidates may be placed on the mail ballot by floor nomination with the support of at least twenty faculty members present at that meeting. When three candidates stand for a position, a plurality of the votes counted is required for election. When more than three candidates stand for a position and no candidate receives more than one-third of the votes counted, a run-off election by mail ballot shall be conducted from among the top three candidates. In the event of vacancies, the

Nominations Committee shall provide a slate of nominees for vote at the next Faculty meeting. In elections for vacancies, individual nominations from the floor shall be placed on the ballot. The Nominations Committee shall also resolve any questions arising over length of term, composition of committees, and/or vacancy in elective office.

III. Ad Hoc Committees: At his or her own discretion, the Dean may, or upon the instruction of the Executive Committee, shall appoint, charge, and terminate ad hoc committees. Each such committee shall report to and be responsible to the Dean.

### **Grievance Procedures**

When a member of the Faculty of the College believes that he or she has cause for complaint which cannot be handled in the existing Collegiate structure, that member is directed to the appeals process provided in the prevailing University of Tulsa *Statement on Academic Freedom, Responsibility, and Tenure*.

### **Amendment**

This document may be amended by a majority of the Faculty of the College after a preliminary notification of at least ten (10) days. Proposed amendments to this document may be recommended by any of the three Standing Committees or by the signatures of any thirty (30) faculty members.

**SABBATICAL LEAVE POLICY**  
*(Approved by vote of the Faculty, March 25, 1994)*

**College Timetable for Sabbatical Requests and Decisions\***

**October 2, 2009**

Faculty member applies for a sabbatical leave to the Department Chair and to the Dean with a statement containing plans for the use of the leave period and pertinent supporting documents;

**November 2, 2009**

Tenured members of the department through their Chair recommend to the Dean and inform applicant in writing;

**November 13, 2009**

Dean informs applicant of his recommendation to the Provost;

**December 2, 2009**

Any applicant rejected by the Dean may file an appeal with the College Executive Committee, delegated to act for the College faculty;

**December 16, 2009**

College Executive Committee informs applicant of recommendation; if yes, the Committee submits its recommendation along with Dean's recommendation to the Provost by February 2.

*\*This calendar takes precedence over the University policy adopted February 25, 1998.*

**College Policy in Recommending Sabbatical Leaves**

1. In justifying a sabbatical request to the Dean, departments should take into account all of the purposes for which sabbatical leaves are instituted. Seniority, past service, length between past leaves, and the possibilities for future contributions are equally legitimate criteria along with past publication and scholarly promises in weighing sabbatical leave requests.
2. In acting on sabbatical leave requests, individual departments are justified in considering the constraints of their size, composition and activities. Departments may discourage leaves of such frequency that the applicant is not in residence for long enough periods to resume regular and normal responsibilities in the Department and College.
3. The departmental guidelines listed above are also appropriate guidelines for the Dean in making his recommendations to the Provost. The Dean may also take into account the overall needs of the College and issues of equity among the departments in weighing sabbatical requests. Except under extraordinary circumstances, the Dean will recommend a sabbatical only if the faculty member will have been in residence at TU for three consecutive years prior to their sabbatical request.

## **FACULTY EXPECTATIONS AND RESPONSIBILITIES: TEACHING** ***(Adopted at the College Faculty Meeting, February 12, 1993)***

The University of Tulsa Mission Statement (*approved May 15, 1992*) reads in part as follows:

“Recognizing that a general education is fundamental to all areas of study, the University provides a distinctive undergraduate curriculum designed to ensure that its graduates are not only proficient in their chosen fields but also are liberally educated and prepared for involvement with the global community. The curriculum enables students to develop their intellectual and critical skills; to understand the methods of inquiry of the major bodies of knowledge; and to search for the humane, ethical, and social values, which distinguish the educated person.”

The College of Arts and Sciences plays a critical role in fulfilling the educational mission of the University. The success of the College in offering its students a broadly based liberal arts education depends upon the degree of seriousness and rigor with which the Faculty approaches its primary task of teaching.

Faculty members are responsible for upholding professional standards and norms in their roles as teachers. In particular, the College and the Faculty as a whole expect that its members will adhere to the following guidelines and principles in teaching.

### **Meeting Classes**

Faculty is expected to meet all classes at the time scheduled. Necessary absences should be reported to the Chairperson in advance if possible. Persistent failure to meet scheduled classes and chronic tardiness are serious lapses of professional behavior and contractual obligations.

### **Office Hours**

Faculty is expected to make himself/herself available for student consultation by holding office hours at regularly scheduled times each week during the semester. Office hours should be listed on the Faculty member's syllabi, and posted at the Faculty member's office, and should be on file with the Department Secretary and Chair.

### **Syllabi and Other Course Materials**

An important professional norm in our role as teachers is that our course syllabi and other course materials be explicit, comprehensive, and publicly accessible. Faculty members should distribute written syllabi to all students within the first week of a course.

The most important way to make course content, purposes, and expectations explicit is through course syllabi. Each syllabus should be considered a quasi-contract between instructor and student, containing the information and direction necessary for meeting the required responsibilities of both parties. At the same time, the College recognizes that the schedule of readings and requirements in the syllabus (with the exception of the final exam) constitutes a plan, not a straight jacket to which the instructor is inflexibly bound.

Following is a syllabus outline listing the kinds of materials appropriate for inclusion for a variety of courses and course formats. Items appearing in **bold** lettering are deemed essential for all course syllabi.

**I. Full title and number of course, semester given, meeting time and place.**

Place of course in the major, Tulsa Curriculum, or other degree programs (e.g., law and society; women's studies).

Statement of the purpose of the course and its main objectives and relationship of course to other courses in the department.

Bulletin course description and course overview.

**II. Name of instructor, office and telephone numbers, and scheduled office hours.**

**III. Formal course requirements with due/completion dates and weight or percentage given to each requirement in determining the final grade.**

Policy on class attendance, participation, late work, and incomplete work at the end of the semester as well as grade penalties annexed to these policies.

Statement on criteria used in grading course requirements.

In accordance with Section 504 of the Rehabilitation Act of 1973, the College has drafted a sample statement: "If you have a special educational or physical need that requires class accommodation, please discuss your academic need with me and contact the Director of the Center for Student Academic Support."

**IV. Required and optional books and other course materials to be purchased.**

List of course readings on library reserve by full title and author; list of reference works, source books, and other recommended readings; list of course handouts.

**V. Statement noting The University of Tulsa's academic misconduct policy as it appears in the *Student Handbook*.**

**VI. Schematic listing by week, day, or dates of each set of readings and other course requirements.**

**A. Grading:**

The fair and accurate assignment of grades constitutes an essential part of the professional responsibility of instructors. Grades are the primary measure of academic achievement in any course. A uniform grading system presupposes that achievement in distinct disciplines can be measured and compared in accordance with academic standards that are shared by the Faculty of the College as a whole.

In the College of Arts and Sciences, 'A' represents excellent work, 'B' represents good work, 'C' represents satisfactory work, 'D' represents poor work that is passing but below the level of accomplishment required for graduation, and 'F' represents failing work. While each instructor is the judge of relative achievement in his or her course, instructors should be able to articulate clearly the criteria by which work is determined to be excellent, good, satisfactory, poor, or failing.

It is the position of the Faculty that grade inflation undermines academic standards and creates false expectations on the part of our students. Grading criteria should, therefore, be genuinely rigorous: Work that is less than excellent should not be graded 'A,' and work that is less than good should not be graded 'B.'

Grade must be assigned accurately and fairly. Instructors are encouraged to distribute to students a written statement of their grading criteria at the beginning of each course. In addition, instructors should keep on file careful written records of each student's progress.

**B. Testing:**

Students deserve a clear understanding of their status and progress. This requires a systematic evaluation program on the part of the instructor. Evaluation should begin early in the semester and continue at reasonable intervals.

It is expected that there will be a reasonable measure of academic achievement at the end of each course. In some courses, this will take the form of a final examination. In courses where a final examination is deemed inappropriate, instructors should schedule a final paper, project, performance, etc., that will count significantly in determining the course grade.

Reading Days are a two-to four-day period immediately preceding exam week in the fall and spring. Classes will not meet during this period. No examinations will be scheduled except for once-a-week laboratory and quiz sections not scheduled to meet during finals week.

Final examination dates and times are determined by the College before the beginning of each course. This schedule may be altered only when special circumstances preclude completing the final examination in the time allotted (e.g., when in a theatre course the final examination involves dramatic performance and critique).

**Incompletes**

University policy on incomplete grades is as follows:

Students who are doing passing work but who, because of serious illness or other legitimate extenuating circumstances, cannot complete their course work may, at the discretion of the instructor, receive a grade of I (incomplete). Incompletes will not be granted to students who have been absent excessively during the term nor to students who have merely failed to complete course work without an exceptionally good reason. When the instructor grants an incomplete, a "Record of Incomplete" form must be completed and filed in the office of the Undergraduate Dean. This form, which is to be signed by the instructor and, as soon as possible, by the student, should specify what must be done to remove the incomplete and give a deadline for the completion of the unfinished work. The contract will be attached to the course grade report for inclusion in the student's official file in the Office of Registration and Records. The incomplete grade will remain on the student record for one year. After that time, unless the course work is completed and the instructor changes it to an alternate grade, the Office of the Dean will notify the Office of Registration and Records that the grade is to be changed to an 'F.' Students with more than 9 credits of 'I' will not be

permitted to enroll in courses at the University without the permission of the Office of the Dean. (*The University of Tulsa Undergraduate Bulletin*)

### **Independent Study**

When directing independent studies, Faculty are responsible for preparing a written statement specifying the requirements, deadlines, and basis for grading. Both the instructor and the student should sign and keep a copy of this statement. A copy should also be kept in the student's official file.

### **RESEARCH SEMESTER POLICY**

(Working draft adopted by the College 11/14/04)

Because pre-tenure, tenure-track faculty members are required to be productive in the area of research and scholarship appropriate to their field of endeavor, the College of Arts and Sciences expects these faculty members to take a Research Semester in their third, fourth, or fifth year, a semester in which they are fully relieved of their teaching load in order to focus more intensively on their research. The intent of this policy is to provide time and mentoring support for working towards meeting the research expectations for tenure. This is not a sabbatical; the professor is expected to continue in residence, with all other normal responsibilities (besides teaching) continuing. The faculty member will be given no new or additional responsibilities or duties over and above her or his normal load (such as independent studies, committee work, supervision of internships or student teaching, or thesis advising) by the department, College, or University during the Research Semester. All time normally spent on teaching should be spent on research.

In order to take a Research Semester, the faculty member will apply to the department. The following procedure will be carried out:

- The faculty member is informed when hired about the availability of the Research Semester.
- After the faculty member's second-year review, the department chair meets with him or her to discuss the timing of the Research Semester and agree on two particular semesters that both would find workable.
- The department chair, in consultation with other department members, identifies which of the two semesters identified will be the Research Semester.
- The faculty member develops a two- to three-page proposal for how she or he intends to use the release time. This proposal is due to the department chair and another faculty member (of the first faculty member's choosing) at least six months before the Research Semester (February 15 for fall semester, July 15 for spring). The chair and second faculty member give their approval for the proposal or request revisions.
- If necessary, the faculty member makes appropriate revisions.
- When finalized, the proposal is forwarded to the department faculty with the chair and second faculty member's recommendation to approve.
- The department faculty considers the proposal, and approves the Research Semester.
- A copy of the proposal is forwarded to the dean.

The faculty member must have passed his or her second-year review in order to be eligible for the Research.

By accepting the Research Semester, the faculty member agrees to return to teaching full time at the University for the next full academic year.

Completion of the work proposed for the Research Semester does not imply that the faculty member will be granted tenure.

**STATEMENT ON CRITERIA FOR PROMOTION AND TENURE**  
**(Adopted, February 12, 1993)**

“Faculty shall be evaluated in the categories of teaching, scholarships or creative achievement, and service. Although some quantitative measures of evaluation may be employed, excellence in performance is of primary importance; that is, the quality, significance, and impact of accomplishments are of greater importance than their number. In addition to meritorious accomplishments, a high potential for continued excellence is required for promotion and tenure.” (III.A. 1991 *University Statement on Academic Freedom, Responsibility, and Tenure*)

**PREAMBLE**

**The Faculty of the Henry Kendall College affirms that the professional life of the College as an intellectual entity and the mission of the College to educate its students are founded on a dynamic relationship between teaching and scholarly or creative achievement. Recognizing the diversities of disciplines comprising the College, the Faculty charges each academic unit to define for its members the expectations for teaching and for scholarly or creative activities that most contribute to that relationship at each academic rank. The Faculty likewise affirms that service to the institution, the profession, and the community is a significant dimension of the professional life of faculty members and further charges each academic unit to set forth for its members the expectations for such service.**

The statement that follows adapts the 1991 *University Statement on Academic Freedom, Responsibility, and Tenure* for use by the College in guiding its tenure and promotions process. Within the frameworks established by the University and the College Statements, the academic units have the following responsibilities:

- \* to draft criteria statements specifying the standards and practices in their respective academic disciplines to serve as guidelines and measures when reviewing candidates and when recommending them to the College for promotion and tenure;
- \* to be advisers and mentors to their faculty in specifying the standards and practices expected of them in order to be recommended for advancement, promotion, and tenure; and,
- \* to serve as advocates capable of justifying and documenting their recommendations regarding advancement, promotion, and tenure to the College and University, based on their own criteria statements and the standards established by the College and University.

**Part I. Statement**

The College Faculty subscribes to the definitions of academic rank set forth in section I.B. of the 1991 *Statement on Academic Freedom, Responsibility, and Tenure*. The College Statement elaborates on standards for measuring professional accomplishment and the potential for professional development at each rank in accordance with those definitions. In the College, advancement in rank is understood to be based on clear evidence of the fulfillment of these standards and of the promise of further professional development.

Instructors on tenure-track contracts are appointed for terms of two academic years. The minimum requirements for appointment to instructor are (a) possession of appropriate training for courses assigned as indicated by a non-terminal master's degree from an accredited college or university, or equivalent credentials and evidence of progress toward a terminal degree; (b) evidence of promise as a teacher as indicated by successful previous experience or by recommendations from those in a position to assess such potential; and, (c) evidence of promise as a scholar as indicated by previous research, writings, publications or performances, as well as the recommendations of those in a position to assess such potential. The College further expects promise of participation in the activities and life of the College.

Assistant Professors are appointed for terms of three academic years. The minimum requirements for appointment to assistant professor are (a) an appropriate terminal degree or its equivalent from an accredited college or university or other appropriate credentials as evidenced by specialized study, certification, or experience; (b) evidence of teaching effectiveness as indicated by successful previous experience or by recommendations of those in a position to assess such potential; (c) a demonstrated ability to do scholarly or creative work as indicated by the dissertation or creative project for the terminal degree or, on the basis of previous publications or performances, as well as on the basis of recommendations of those in a position to assess such potential; and, (d) promise of institutional, professional, and community service beyond teaching and research. The College recognizes that opportunities for contributions to the curriculum, institutional and educational goals, or intellectual life of the College as a whole are typically limited at this academic rank. Nevertheless, the College expects readiness to participate in one or more of the programs or activities that contribute to these ends.

Associate Professors are appointed either for terms of three academic years or with tenure. The minimum requirements for appointment to associate professor are (a) an appropriate terminal degree or its equivalent from an accredited college or university or distinguished credentials as evidenced by specialized study, certification, or experience; (b) an established reputation as an effective teacher as assessed through student evaluation and faculty review; (c) a growing reputation for significant scholarly or creative achievement and the promise of continuing to extend that reputation in ways specified and defined by the academic unit in its criteria statement; and, (d) a record of institutional, professional, and community service beyond teaching and research, including evidence of significant contribution to the curriculum, institutional and educational goals, or intellectual life of the College as a whole, especially as these activities demonstrate professional leadership.

Professors are appointed either for terms of three academic years or with tenure. The minimum requirements for appointment to professor are (a) an appropriate terminal degree or its equivalent from an accredited college or university or distinguished credentials as evidenced by specialized study, certification, or experience; (b) an established reputation as an effective teacher as demonstrated by a distinguished teaching performance assessed by student evaluation and faculty review; (c) a distinguished reputation for scholarship or creative achievement and the clear promise of continuing to extend that reputation in ways specified and defined by the academic unit in its criteria statement; and, (d) a record of institutional, professional, and community service beyond teaching and research, including evidence of significant contribution to the curriculum, institutional and educational goals, or intellectual life of the College as a whole, especially as these activities demonstrate professional leadership.

## **Part II. Criteria for Promotion, Tenure, and Reviews for Tenure-Track Faculty.**

Faculty shall be evaluated in the categories of teaching, scholarship or creative achievement, and service. Although some quantitative measures of evaluation may be employed, excellence in performance is of primary importance; that is, the quality, significance, and impact of accomplishments are of greater importance than their number. In addition to meritorious accomplishments, a high potential for continued excellence is required for promotion and tenure. The College expects candidates recommended by the academic units for promotion and tenure to have met the stipulated College and University standards and to evidence potential of meeting the standards stipulated by the next higher academic rank. The strongest evidence of this potential is founded on the assumption of a dynamic of effective teaching and the capacity for scholarly or creative endeavors and is additionally supported by the service to the institution, the profession, and the public.

Promotion and Tenure: The College requires that those reviewed as Assistant Professors and those promoted from Assistant Professor to Associate Professor, with or without tenure, provide evidence of teaching effectiveness through student evaluations and faculty review. Teaching includes, among other things, classroom, laboratory, studio, and clinical instruction; development of new courses and teaching methods; publication of instructional materials; academic advising; and, where relevant, supervision and direction of graduate and undergraduate student projects, exhibits, and performances.

The College also requires evidence demonstrating the ability to do scholarly or creative work. Achievement in scholarship or creative endeavors includes all non-instructional activity that furthers the knowledge and development of the academic field. Scholarly publication, research grants, compositions, and exhibitions, as well as consultancies, editorships, and other exercises of critical judgments in the academic disciplines are some of the primary components of this category. Those reviewed at this rank for advancement must show evidence of scholarly or creative achievement and the potential of making a significant contribution to knowledge in or advancement of their field as specified and defined by the academic unit.

The College also requires for advancement evidence of professional service. Professional service includes administrative, advisory, and other services to the College and University, governmental and community bodies, and academic-professional organizations. Because expectations and opportunities for service in professional bodies differ, each academic unit must specify and define appropriate activities at this rank. The College recognizes also that the demands of teaching and scholarship/creative achievement and the lack of service opportunities afforded suggest modest expectations for institutional service beyond the academic unit at these ranks. Nevertheless, the College requires evidence of participation in the programs and activities that contribute to the curriculum, institutional and educational goals, or intellectual life of the College or University.

Promotion with Tenure: The College requires that those promoted from Associate Professor to Professor provide evidence of a significant contribution to the instructional goals of the College and promise of future significant contribution. Measure of this criterion includes effective classroom, laboratory, studio, or clinical instruction as indicated by student evaluations and faculty reviews. Other measures are activities related to curriculum development and instructional methods, accomplishments of students, and the direction of student theses or supervision of independent research, performance, or exhibition projects.

The College also requires that those promoted at this level show evidence of significant contribution in scholarly or creative endeavors and the promise of future contributions of similarly high quality. While each academic unit must define and specify the measures of significant contributions as recognized by their discipline, the College expects that the qualitative component of these measures be of first consideration. Therefore, achievements marked by rigorous peer review or competition, those, which receive wide recognition, and those that require the highest levels of professional expertise and judgment will constitute the strongest evidence.

Service to the public, the profession, and the institution is required by the College for promotion at this level. Public service is typically evidenced by the use of one's professional skills and expertise in the service of governmental, community, or other public bodies. Expectations and opportunities for professional service differ widely and must be defined and specified by each academic unit. The College nevertheless required evidence of significant contributions and the promise of future contributions to professional organizations and activities. The College also requires evidence of significant contribution and the promise of future contribution to the curriculum, institutional and educational goals, or intellectual life of the College or University.

Reviews of Tenured Faculty: College criteria for professional review of tenured faculty members will be according to rank as specified in this document.

### **Part III. Criteria for Review and Promotion of Resident Contract Faculty (Adopted January 15, 1998 and amended January 23, 2004)**

The Henry Kendall College of Arts and Sciences acknowledges its responsibility to develop stable relationships with its resident contract faculty, typically titled "clinical" or "applied," whose appointments are made for terms of three years or less.

In order for resident contract faculty to be recognized for their years of service and accomplishments, the College of Arts and Sciences adopts the following criteria and procedures for their review and promotion.

Review Schedule: See Section XI.E of *Statement on Academic Freedom, Responsibility, and Tenure*.

Review Procedures: Resident contract faculty on one-year contracts will present the Chair of their department with materials deemed appropriate by the Chair, who will write a review, discuss the review with the faculty member, and then send the review to the Dean. Before April 1 the Dean will notify the faculty member in writing if the contract is being renewed.

Reviews of resident contract faculty on or recommended for two or three-year contracts are conducted in the fall semester of the second year and follow the procedures outlined in Section IV.C.1.2.3. of the *Statement*.

Promotion Procedures: Promotion is only available to resident contract faculty on three-year contracts. The procedures for review and promotion follow those of Sections IV.C.1.2.3.4. in the *Statement* with the following change: When a resident contract faculty member is recommended for promotion by his/her academic unit, the College Committee on Tenure and Promotion shall have added to it elected by the College faculty at its annual spring elections one additional voting member who holds a three-year resident faculty

contract. A positive recommendation for promotion will require three yes votes when the committee has six members and four yes votes when it has seven members (see Section IV.C.4.a para 2).

Criteria: In most cases, the primary responsibilities of contract faculty involve the teaching or supervision of students, often in applied settings. Excellence in the performance of these duties, measured by quantitative and qualitative measures, is the overriding criteria to be used in the evaluation or review of resident contract faculty. Because the specific content of these duties will vary, the College Committee on Tenure and Promotion will consider the responsibilities of each position and especially the standards contained in the criteria statement of the academic unit. Service to the Department, College, University, and community may be considered where appropriate. Professional and artistic achievement may be an important criterion in some positions.

Promotion to Applied or Clinical Assistant or Associate Professor may be recommended when the Committee finds a continued high level of achievement appropriate to the position. Finishing a degree and the addition of new responsibilities are examples of other accomplishments that might justify promotion. Promotion to Applied or Clinical Professor should only occur when the Committee deems the candidate to have compiled a long-standing record of accomplishment that is truly distinguished.

## **GUIDELINES FOR FACULTY MEMBERS BEING REVIEWED**

The faculty member is responsible for assembling all appropriate materials for presentation to the various reviewers. This file should be assembled during the summer so that it will be completed by September 1. The faculty member may consult with the Chair of the Committee on Tenure and Promotion or with the Dean at any time about the review procedure or about the preparation of the file.

Each faculty member being reviewed is urged by the Committee to check this list of items and to submit as many of them as feasible.

### **Checklist for Faculty Member Being Reviewed**

1. A complete, updated curriculum vitae.
2. A statement of professional interest, goals, and projected activities over the next five years.
3. For continuing appointments, copies of second- and fourth-year reviews, including the written comments of Departmental, College and University committees and administrators.
4. A list of courses taught at The University of Tulsa since joining the Faculty.
5. Student evaluations since the previous review. For faculty members being reviewed for promotion and/or tenure, all evaluations since previous promotion or appointment.
6. Selected syllabi and assignment sheets for courses taught at The University of Tulsa, especially courses taught since a previous review. (Only one example need be provided for

courses that have been  
taught several times.)

7. If available, reports of colleagues who have observed the teaching of the faculty member.
8. Copies of published work, including books, papers, reviews, and other scholarly/critical efforts. For performing disciplines, appropriate submissions might include scores, recordings, and performance or exhibit status.
9. Unpublished scholarly or professional materials that the faculty member wishes the Review Committee to consider. These might include correspondence from publishers or sponsors indicating manuscript, performance, or exhibit status.
10. Responses to published or presented work, including reviews, reprint requests, a citation list, and performance or exhibit invitations.
11. Copies of proposals for internal and external funding.
12. External reviews of the faculty member's scholarship, research, creative work, or performances. (See *Appendices* for "Approved Letter for Solicitation of Professional Reviews.")
13. Any other materials the faculty member considers informative and supportive.
14. A table of contents listing the file materials.

**Department Chair's Checklist:**

Items submitted by the department to the Dean must include, but are not limited to, the following.

**All reviews not involving recommendations for or against promotion and/or tenure.**

*Submit the following documents to the Dean:*

Review Committee Report

Attach at the end of the report: Signature page including committee members' signature and date as well as a candidate-signed declaration that the candidate has read and had an opportunity to respond to the Review Committee Report and the Chair's recommendation

Chair's recommendation

Candidate's current Curriculum Vitae

Review Committee's votes (may be in report; ballots, if available)

Department's votes (may be in report; ballots, if available)

Department's current Criteria Statement

Candidate-signed declaration that the candidate has read and had an opportunity to respond to the Review Committee Report and the Chair's recommendation.

## **Tenure and Promotion to Associate Professor; Promotion to Full Professor**

*Submit the following documents to the Dean:*

Review Committee Report

Attach at the end of the report: Signature page including committee members' signature and date as well as a candidate-signed declaration that the candidate has read and had an opportunity to respond to the Review Committee Report and the Chair's recommendation

Chair's recommendation

Original confidential external letters evaluating the candidate's performance

Candidate's current Curriculum Vitae

Review Committee's votes (may be in report; ballots, if available)

Department's votes (may be in report; ballots, if available)

Department's current Criteria Statement

Candidate-signed declaration that the candidate has read and had an opportunity to respond to the review committee report and the Chair's recommendation.

### **Review Schedule:**

*These dates are deadlines and in no way limit the department's choice to begin or complete tasks early.*

#### **May 11, 2009**

Departmental Review Committee chosen and names forwarded to the Dean.

#### **June 19, 2009**

External reviewers contacted and arrangements made for them to receive the candidate's file.

#### **September 7, 2009**

Candidate's file, including external review letters, submitted to the Departmental Review Committee.

#### **October 9, 2009**

Candidate's complete file, including the recommendation of the Review Committee, the vote of the Department/School, an updated curriculum vita, and a letter from the Chair/Director due in the Dean's Office.

#### **November 6, 2009**

Tenure and Promotion Committee recommendations due to the Dean.

#### **November 11, 2009**

Dean forwards recommendations for promotion and tenure to the Provost.

*\*See Appendices for the following:*

[Approved Letter for Solicitation of Professional Review](#)

[Control Sheet: Solicited Letters of Review](#)

## **Professional and Post-Tenure**

*Submit the following documents to the Dean:*

Review Committee Report

Attach at the end of the report: Signature page including committee members' signature and date as well as a candidate-signed declaration that the candidate has read and had an opportunity to respond to the Review Committee Report and the Chair's recommendation

Chair's recommendation

Candidate's current Curriculum Vitae

(Optional) Current PIF

### **Review Schedule:**

These dates are deadlines and in no way limit the department's choice to begin or complete tasks early.

#### **November 16, 2009**

Departmental Review Committee chosen and names forwarded to the Dean.

#### **January 25, 2010**

Materials to Departmental Review Committee.

#### **February 22, 2010**

Departmental Review Committee Report forwarded to the Chair or Director.

#### **March 11, 2010**

Chair has written letter of evaluation and has met with the faculty member under review.

#### **March 19, 2010**

Committee report and Chair recommendation forwarded to the Dean.

#### **April 16, 2010**

Letter from the Dean to the faculty member (copy to Provost).

## **Second-Year, Fourth-Year, and Nontenure-Track Reviews**

*Submit the following documents to the Dean:*

Review Committee Report

Attach at the end of the report: Signature page including committee members' signature and date as well as a candidate-signed declaration that the candidate has read and had an opportunity to respond to the Review Committee Report and the Chair's recommendation

Chair's recommendation

Candidate's current Curriculum Vitae

Review Committee's votes (may be in report; ballots, if available)

Department's votes (may be in report; ballots, if available)

Department current Criteria Statement

Candidate-signed declaration that the candidate has read and had an opportunity to respond to the Review Committee Report and the Chair's recommendation.

### **Review Schedule:**

*These dates are deadlines and in no way limit the department's choice to begin or complete tasks early.*

#### **September 1, 2009**

Departmental Review Committee chosen and names forwarded to Dean

#### **September 8, 2009**

Candidate's file submitted to Department.

#### **October 6, 2009**

Review Committee Report, departmental vote and recommendation, an updated curriculum vita, and letter from Chair due in the Office of the Dean.

#### **November 3, 2009**

Candidate's file with letter from the Dean sent to the Provost.

## **SEARCH PROCEDURES**

### **Tenure-Track Appointments**

- I. Request to fill a position
  - A. Department Chair submits request to the Dean
  - B. Dean approves and establishes the budgetary parameters for the search
  - C. Department Chair selects Search Committee Chair who proposes Search Committee composition for Dean's approval
- II. Department and Search Committee Chair meet with Sue Gruen to determine documentation required for formal search
  - A. Search Committee Chair initiates the following search paperwork:
    1. "Hiring Requisition" (Faculty Form)
    2. "Search and Selection Plan for Permanent Appointments" (Form C)
    3. Advertising strategy including the following:
      - a. Ad Copy (Appendix C includes sample ads)
      - b. Cost estimates for ad(s) via memo if pay by Pro Card (or)  
Purchase requisition(s)—1 per ad, if pay by requisition.
    4. Other issues in Form C requiring written documentation
  - B. Sue informs committee Chair to keep minutes of Search Committee meetings for submission at end of search.
  - C. Chair consults with Dean, if necessary
  - D. Search Committee Chair forwards Form A and C, Ad Copy, Memo or Purchase Requisition(s) with ad cost(s), and any other written documentation identified in "II." to Sue Gruen for review and submission to the Dean for approval and forwarding to EEO/AA
- III. Search Committee Chair acknowledges receipt of all applications with a letter and an "Equal Employment/Affirmative Action Applicant Tracking Form" (Contact Human Resources x2259 for pre postage-paid forms)
- IV. Search Committee Chair maintains the "Applicant Flow Log" (Form E)

- V. Search Committee Chair submits "Equal Employment Opportunity and Affirmation Action Analysis (Form F)" form (Appendix J) and Curriculum Vitae of proposed interviewees to Sue Gruen for review and submission to Dean for approval
  - A. Dean reviews, approves, and forwards to EEO/AA
  - B. Sue Gruen notifies the Department Chair when approvals required beyond the College have been received

***NOTE:*** *If no underrepresented group applicants are selected as finalists, the Search Chair will inform the EEO/AA officer why the qualifications of the candidates recommended exceed those of underrepresented group candidates.*

- VI. Department Chair reviews on-campus interview recommendations with Dean
- VII. On-campus interviews are scheduled with Dean and Associate Dean
- VIII. Department Chair reviews list of interviewees acceptable to the Department with Dean
- IX. Department Chair meets with Dean to determine whether to initiate an offer letter, suspend the search, or reopen the search
  - A. If the offer is to be extended, the Department Chair prepares the following for Sue Gruen:
    - 1. "EEO/AA Report, Appointment Recommendation Form" (Form I) which details the documents to be included for offer preparation (Search Chair completes top portion of Form I through Search Committee Chair's Signature, Department Chair must also sign and date it.
    - 2. Memorandum detailing the terms for the offer letter as discussed with the Dean
  - B. Form I must be submitted **before** an offer (verbal or written) is extended
  - C. Sue Gruen oversees contract preparation

### **Visiting Appointments**

*(Usually a modified search for one year or less)*

- I. Request to fill a position
  - A. Chair submits request to the Dean
  - B. Dean approves and establishes the budgetary parameters for the search
  - C. Chair proposes Search Committee composition for Dean's approval
- II. Department Chair meets with Sue Gruen to discuss documentation for modified (informal) search

III. Chair completes Form A and Form B with justification memo

- A. "Hiring Requisition" (Appendix A)
- B. "Request to Modify Search Process" (Form B asking to waive formal search process)
- C. Justification Memo
  - 1. Justification memo should detail the need for short-term hire of one year or less
  - 2. Chair forwards Form A, Form B, and justification memo to Sue Gruen for review and submission to Dean for approval and forwarding to EEO/AA

IV. Chair reviews with Dean the on-campus interview recommendation (campus interview is optional)

V. If appropriate, on-campus interviews scheduled with Dean and Associate Dean

VI. Chair submits to Sue Gruen a memorandum detailing the terms to be included in the offer letter. This information must be submitted and approved by the Dean **before** an offer (verbal or written) is extended.

VII. Dean initiates offer letter, suspends, or reopens the search

- A. Dean and Chair determine details of the offer
- B. Sue Gruen oversees contract preparation

### **EXECUTIVE COMMITTEE**

This committee shall consist of five faculty and two student members. The Committee shall act on behalf of the faculty on College matters and shall adjudicate student petitions.

I. Organization and Meeting

- A. The Committee will be convened for the first meeting of the academic year by the Dean of the College;
- B. At the first meeting of the academic year, the Committee will elect a Chair and review and approve the petition form and the petition guidelines to be used for that year;
- C. The Executive Committee will meet as needed; time to be determined by the Chair of the Committee in conjunction with the Assistant to the Dean for Advising; and,
- D. Two student members will be nominated by the Office of the Dean.

II. Student Petitions

A. A student wishing an exception to the stated policy and procedures of the College of Arts and Sciences as outlined in *The University of Tulsa Undergraduate Bulletin*, the *Student Handbook*, and the *Faculty Advising Handbook* is required to submit the petition form along with the specific information he or she wishes to use in support of the petition. The Committee may request additional information, advise the student of alternatives that may alleviate the student's problem without requiring petitions, or rule on the petition.

B. Grade Change Requests

1. The Committee is not empowered to rule on change of grade petitions but will make recommendations to the Dean in such cases. The Committee will only recommend a grade change after consulting with the instructor in question. Only in extraordinary circumstances should an alteration in grade be recommended. Some such cases may be appropriate business for the Academic Freedom and Misconduct Committee of the College.

2. Stringent standards of proof must be submitted by the student to the Committee, if a petition for grade change is submitted.

C. After the Committee rules on the petition, the Chair of the Committee will inform the student in writing of the determination. Students may re-petition if additional compelling information is submitted to the Committee. Any decision of the Committee may be appealed to the Dean.

III. Acting on College Matters

The Executive Committee has chosen to define "acting on College matters" to include issues which involve, rather broadly, the interest of the College.

A. Issues in this area come to the attention of the Committee through the Dean, Faculty requests, and Committee members.

B. The written record of these decisions is available to the Faculty in the form of minutes that are kept in the Office of the Dean.

# UNIVERSITY POLICIES & PROCEDURES

## READING/DEAD DAYS

Reading Days are a two-day period immediately preceding exam week in the fall and spring. Classes will not meet during this period. No examinations will be scheduled except for once-a-week laboratory and quiz sections not scheduled to meet during finals week.

\*Actual days and dates are subject to change. Consult the Office of Registration and Records Academic Calendar for approved dates.

### 3-hour MWF or 4-hour MTTF Classes

8:00 - 8:50  
9:00 - 9:50  
10:00 - 10:50  
11:00 - 11:50  
12:00 - 12:50  
1:00 - 1:50  
2:00 - 2:50  
3:00 - 3:50  
4:00 - 4:50  
5:00 - 5:50

### 3-hour MW Classes

2:00 - 3:15  
3:30 - 4:45

### 3-hour TT Classes

8:00 - 9:15  
9:30 - 10:45  
11:00 - 12:15  
12:30 - 1:45  
2:00 - 3:15  
3:30 - 4:45

### Evening Classes

MW or TT - 6:00 - 7:15

### One Day a Week Classes

6:00 - 8:30 or 8:45 p.m.

## **SUMMER SESSION**

The University of Tulsa's policy and concerns regarding course offerings in the Summer Session are as follows:

1. The coordination of the Summer Session is the responsibility of the Assistant Provost for Academic Outreach and Coordinator of Summer Term.
2. Priority for course offerings is established by programmatic and student needs. Faculty seniority, rank, and anticipated rotation are not to be factors in establishing priority.
3. Each course is expected to generate, at a minimum, revenue double the cost of instruction. Each College must generate revenue double the cost of instruction.
4. No faculty member is to offer Independent Studies, Seminars, or any other course unless that member is under contract for the Summer Session and the course has been approved by the Office of the Dean and the Provost's Office.

## **THE BUCKLEY AMENDMENT**

The Congress of the United States enacted into law the "Family Educational Rights and Privacy Act" (the Buckley Amendment), August 21, 1974. The Act sets out requirements of educational institutions designed to protect the privacy of students and their records.

Specifically, the statute governs:

- I. **Access to education records maintained by educational institutions;**
- II. **The release of information contained in such education records.**

Under provisions of the Buckley Amendment, all materials that relate to student names and other student identification must be maintained with reasonable security. It is now forbidden by Federal Law for these to be used for any other purposes than those specifically authorized by the administrator in charge. Their use in advising programs and record keeping within the College is quite appropriate. It would be inappropriate for them to be used by anyone other than faculty, staff, and students with the assigned duties; and it would be inappropriate for them to be used in any other fashion than is congruent with the established procedures of the University.

Copies of the law are available from the Student Affairs Office.

## **ACCIDENTS AND EMERGENCY ILLNESSES**

### **I. Medical Emergencies**

When a medical emergency arises that in your judgment requires immediate attention by a physician, it would be in the best interest of the person involved for you to obtain transportation to a hospital emergency room. The Alexander Student Health Center is not equipped to handle any emergencies other than very minor ones such as small burns, lacerations, sprains, nosebleeds, and abrasions. Calling or bringing the patient to the health center will only delay getting the proper attention for his care.

## II. **Engineering**

A. The following departments have been equipped with first-aid kits: First aid kit contents must be kept up-to-date and only used by the person injured or someone trained in first aid.

1. Machine Shop
2. T.U.F.F.P. Shop
3. Model Lab
4. Drilling Building (North Campus)
5. Chemical, Mechanical, and Petroleum Engineering, Chemistry and Geosciences in Keplinger Hall

B. If an accident or emergency illness occurs to a student, a first-aid kit is to be used if necessary. Emergency procedures are written on the inside cover of the kits. If medical care is needed, the University switchboard operator should be notified and an ambulance will be called. If needed, students involved in minor accidents should be transported to the Alexander Health Center.

## III. **Students**

A. Local Students: Give First Aid. Under FERPA TU can not contact parents or family unless student has on record a release

1. Contact parents at home or work, or
2. Contact some other member of the family, or
3. Contact his local, private physician, or lastly
4. Contact the physician-in-charge, send to the Emergency Room.

B. Out of Town Students:

1. Contact the physician-in-charge
2. If necessary to send for sutures, x-ray, etc., give referral sheet with directions to the student. He presents this at the reception desk in the emergency room.
3. Alert the E.R. and request they call the physician-in-charge. A report of treatment will allow us to follow the course of recovery.
4. If condition is serious, such as demanding admittance to the hospital, parents should be notified by either the doctor or the Health Center Director as soon as possible.

**NOTE:** Occasionally a student will have a local private physician he wishes to use. If possible, however, we prefer to use physician-in-charge.

IV. After Hours Emergencies & Ambulance Service

- A. In case of major emergencies, Alexander Health Center will assist students in locating additional care. 911 should be contacted immediately if there is any doubt that the situation is not minor.
- B. For EMSA Ambulance Service, phone 582-3000 or if in Tulsa, dial 911.

V. **Employee Procedure (Staff and Faculty)**

Very minor injuries may be treated by the nurse at the Health Center, with first aid procedure. In the event of other injuries, Alexander Health Center will assist employees in locating additional care.

VI. **Other Persons**

Give first aid only and refer to individual's private physician. Again, first aid providers must have first aid training within the past three years

VII. **Reporting of accidents and injuries on campus**

- A. All accidents and injuries require two separate forms.
  - 1. Faculty, Staff, Students, Others: Complete four (4) copies of Incident Report Form 251-A (or its revision) and file with Security, Budget Officer, Health Center, and your own department. These forms may be obtained from Security Office.
  - 2. Faculty, Staff: Obtain a Worker's Compensation form from the Personnel Services; complete and return to that office.
  - 3. Students and Others: Obtain a Report of Personal Injury from the Campus Security, complete and return to that office.

B. Recommendation:

All security personnel and a representative from each building should be taught First Aid and CPR by certified instructors. We can contract with Tulsa Tech Center for training at \$8.00 per person through Laurie St. Clair, Director of Environmental Health and Safety, x3368.. Each of these courses is 8 hours in length and should be done at least yearly.

Please look at the Building Emergency Plan posted in your department.

## THE TULSA CURRICULUM

Through a wide range of courses and modes of learning, undergraduate education at The University of Tulsa challenges students to develop an appreciation of liberal education, breadth of knowledge, and reasoning and communication skills that will enhance their ability to participate fully in contemporary society. Students not only enjoy diverse opportunities to participate in the scholarly process but also, through study in a major subject area or area of concentration, gain depth of understanding and proficiency in a particular subject.

### **The Tulsa Curriculum**

Every undergraduate must fulfill the requirements of the Tulsa Curriculum, which has two parts: the core curriculum and the general curriculum, the specific requirements of which are described in the current Undergraduate Bulletin. Most students usually complete the Tulsa Curriculum before beginning the junior year. The University Curriculum Committee (UCC) exercises oversight of the Tulsa Curriculum.

**The Core Curriculum.** Core curriculum requirements in writing, mathematics, and languages include the development of fundamental intellectual skills that are not only immediately useful in helping students meet the requirements of general education courses but that also equip them with basic competencies. It is presumed that all undergraduates enter the university with adequate computer skills. Short courses and workshops are available to students who want to improve their computer skills.

**The General Curriculum.** Because the development of knowledge involves collaboration with the past and engagement with the present, the general curriculum is structured to encourage this collaboration and engagement. Divided into three blocks—Aesthetic Inquiry and Creative Experience, Historical and Social Interpretation, and Scientific Investigation—the general curriculum’s intent is to lead students to a breadth of knowledge and intellectual rigor rooted in the academic disciplines. Reflecting the university’s commitment to writing through the curriculum, courses in the general curriculum typically require significant amounts of writing. These courses also emphasize original texts, wherever appropriate, as well as current scholarship.

## THE UNIVERSITY CURRICULUM COMMITTEE

As noted above, responsibility for overseeing the operation of the Tulsa Curriculum and directing its development in ways consistent with its mission lies with the University Curriculum Committee (UCC). Each undergraduate college elects three representatives on a three-year, rotating basis to serve on the UCC as voting members. The Committee is chaired by the Provost and Vice President for Academic Affairs, who serve *ex officio*. To assure the intellectual cohesion and academic standards of the Tulsa Curriculum, the UCC periodically reviews the requirements of the core and general curricula, makes necessary refinements of block descriptions, and recommends alterations in the lists of existing courses for each block. The committee also reviews all new and revised block course proposals each year.

## **GUIDELINES AND PROCEDURES FOR BLOCK COURSE PROPOSALS**

Like all curricular additions and deletions, block course proposals are approved sequentially by departments, collegiate curriculum committees, and deans, who forward them in turn to the Provost for approval by the UCC. Course proposals should be clearly consistent with the stated objectives and standards of the Tulsa Curriculum. The UCC takes the block descriptions (printed on the back of the Course Proposal Form and published in the Undergraduate Bulletin) as the first standard by which to judge new proposals. Your proposal, including especially the sample syllabus and reading list and a description of the extent and nature of the writing assignments, will be appraised in this larger curricular context.

The following guidelines are intended to assist in the formulation of block course proposals.

**General Education:** Courses that have an interdisciplinary character are generally preferred, but the aim in every case is to lead students to intellectually demanding issues and topics that broaden knowledge in the spirit of "general education." As a rule, courses in the general curriculum should avoid the strategies of "introducing" or "establishing the principles" of a discipline. Also to be avoided are courses with unclear generic titles and "topics" courses without clear, consistent significance beyond the immediate confines of a single discipline.

**Class Size:** Class size is important in the university's efforts to promote intensive writing, student-faculty contact, and discussion. Typically, class size in block courses should be around 40. When a smaller or larger class seems appropriate, the UCC would like to see a brief statement of justification.

**Frequency of Offerings:** To be included in the Tulsa Curriculum, a course normally should be offered at least once in each academic year. (The UCC occasionally approves a course as a "one-time-only-offering.")

**Multiple Sections:** The UCC recognizes that a given course may be offered in multiple sections and that different sections may be taught by different instructors. All instructors for a specific course must be listed.

## **STATEMENT ON RIGHTS, FREEDOMS, AND RESPONSIBILITIES**

### **PREAMBLE**

The University of Tulsa exists to promote the academic and social development of its students, the transmission of knowledge, the pursuit of truth, and a sense of responsibility toward self and society. A deep respect for the fundamental rights of expression, assembly and petition is indispensable to the attainment of these goals. Academic freedom, based upon the freedom of the professor to teach and the freedom of the student to learn, is paramount to the purpose of the University.

Students at The University of Tulsa have varied educational goals and objectives; but, as members of the academic community, they share common, important responsibilities. Those responsibilities are to develop an inquisitive attitude toward the social, political, economic, moral, scientific, technological and aesthetic issues of the day; to achieve an

understanding of these issues from all points of view; and to participate in the humane solution of the problems that arise from them.

It is believed that these ideals can be best pursued and accomplished in an environment in which individual and group deportment is tempered with a mutual respect for the rights of all people in the academic community.

## I. **THE FREEDOM OF ACADEMIC INQUIRY**

### A. Freedom of Expression

Students should be free to question or to take reasoned exception, either written or oral, to the interpretation and/or application of data, and matters of opinion in any course of study. However, students are responsible for learning the content of any course of study as required by the professor.

### B. Freedom of Attendance

The student should be free to attend class or not to attend class in those classes in which fair academic evaluation does not necessitate direct student participation. Class attendance should not be required simply for the sake of attendance itself. However, if the student voluntarily chooses not to attend, he should not expect the professor to repeat for his benefit any information already presented in class. In those cases in which the accreditation of a School or College requires a regular attendance policy, the requirement of the accrediting agency shall take precedence.

### C. Access to Professor

The student should have the opportunity to confer with the professor outside the classroom. The professor should allot a reasonable proportion of his time for appointments with students to an extent consistent with class size and nature of the course.

### D. Confidentiality

Students and professors have the ethical obligation to consider as confidential information concerning views, academic achievement, beliefs, political associations, and personal information acquired during their association.

### E. Academic Evaluation

The student has the right to fair academic evaluation. At the beginning of each course, the professor should inform the student of the standard by which he will be evaluated. Any serious deviation from this standard should be implemented only if no student is penalized by the change. Results of achievement measurement should be made available to the student in a reasonable period of time. The student is responsible for meeting the standard of academic performance established for each course in which he is enrolled.

### F. Evaluation of Faculty

In an attempt to assist the University in the pursuit of academic excellence, the student should have the opportunity to evaluate the faculty, courses, curriculum, and policies of the University community.

#### G. Acquisition of Personnel

Students should have a means of voicing their opinions regarding acquisition and retention or termination of appointment of faculty and administrative personnel. These opinions should be given fair and serious consideration in the decision-making processes leading to such personnel actions. In such cases in which advisory committees are formed for acquisition of faculty and administrative personnel, students should have voting representation on such committees.

#### H. Facilities

The student should have access to facilities of learning in which physical conditions such as lighting, seating, temperature control, noise limitations, and electrical facilities are conducive to learning and are adequate to prevent distraction from the learning process.

#### I. Records of Class Procedures

The student should be allowed to take notes and, with the permission of the instructor, make electronic and photographic records of class proceedings, as long as he does not disturb the class. These records may be reproduced and disseminated only with the permission of the instructor.

#### J. Retention of Original Work

Students and professors have an ethical obligation to respect the sanctity of original ideas as original work. They also have an obligation to recognize that benefits from such original work belong to the originator unless they are voluntarily relinquished.

## II. **FREEDOM OF EXPRESSION**

The rights of free inquiry and free expression, both public and private, are essential to the learning process and must be protected by the responsible and mutually supporting efforts of all segments of the University community. These rights shall not be infringed upon. It is the responsibility of students and student groups to make clear that they speak only for themselves when they are supporting causes, participating in public expressions, and conducting demonstrations.

#### A. Guest Speakers

Officially recognized student organizations may invite speakers of their own choosing to campus. Sponsorship of guest speakers does not necessarily imply approval or endorsement of the views they express, either by the sponsoring group or the University.

#### B. Peaceful Protest and Assembly

The right of peaceful assembly and protest and the petition shall not be infringed upon by the University, groups, organizations, or individuals. Peaceful assembly shall not interfere with normal passage of other students and members of the academic community or the continuity of the educational process.

C. Dissemination of Printed Materials

Leaflets and printed materials may be distributed at public gatherings, in public places, and also in classrooms with the permission of the instructor. Other materials may be posted in designated areas.

D. Employment Interviews

The University, in recognition of the desire of students to seek employment, provides an employment interview service. Students shall be given equal opportunity to interview with any employer.

E. Student Communication Media

An integral part of the freedom of expression is contained in the freedom of student publications and communications media to discuss, examine, and intellectually explore information and ideas emanating from within as well as from without the University community. The student editors and student directors of student communications media shall possess editorial rights and responsibilities and should be guided by principles of responsible journalism. Student originated codes shall protect student editors and student directors from harassment or removal from office and from prior censorship of material. Whenever editorial opinion is expressed, it should be so stated and the source identified. Where federal broadcast regulations require faculty advisors, they shall be protected from harassment, removal from office, or loss of position due to the conduct of students involved.

**III. FREEDOM OF ASSOCIATION**

Students, having a variety of interests and motivations, shall be free to organize and join campus associations and groups to promote their common interests. Although the nature of groups based upon common interest does limit participation, no student otherwise eligible shall be excluded from membership in a campus organization because of race, religion, nationality, or sex.

A. Organizations

The recognition, continued approval, and discipline that may be necessary for the governing and regulation of such associations and organizations, shall rest with a regulatory body of the Student Association. While organizations periodically may be required to submit to the regulatory body such information as a general statement of purpose, a constitution, and a list of current officers, membership lists may not be required as a condition of recognition. If a student organization has an off-campus affiliation, this should not disqualify the organization from recognition. Only those members in the University community will be eligible to make policy in student organizations. Each organization shall not be the basis for non-recognition

by the regulatory body. An adviser shall not control the policy of an organization nor direct its activities.

B. Use of the University Name

Individuals or organizations may use the University name only to identify their affiliation with the University. University approval or disapproval of any action or policy of an organization may not be stated or implied by that organization without expressed authorization.

C. Use of University Facilities

The provision of University facilities for use by campus or public groups shall in no way interfere with academic activities of the University. The appropriate administrative office is responsible for coordinating the assignment of facilities including timeliness of the request, the appropriateness of the facility, and the maintenance and care of the facility. In scheduling of these facilities, priority should be given to groups and individuals within the student community. These regulations shall not be used for purposes of censorship.

D. Use and Allocation of Funds

Student organizations should exercise autonomy in maintaining their financial affairs. If University funds are allocated to a student organization or if an organization utilizes University banking services, University standards of financial accountability will be prerequisite to the continued allocation of such funds or use of such services. These procedures shall not be used to influence the policy of any organization.

**IV. THE RIGHT TO PRIVACY**

The right to freely exchange ideas and opinions, which is fundamental to the educational process, must be supported by the right of an individual to the privacy of his beliefs. The student is responsible for his social morality within the limits of civil legality. An individual's political beliefs and activities are private and beyond the control of the University. Matters of political and moral behavior on the part of any student shall not be the subject of recorded information.

A. In Residences on University Property

The right of privacy of University students living in University residential areas shall be as provided by law.

B. Confidentiality of Records

Respect must be accorded the confidential relationship between the University and its students by preserving the privacy of all records of each student. This relationship presupposes that records will be kept only on matters relevant to the educational process and that even those minimal records will not be disclosed except with the student's consent or in carefully circumscribed instances based

upon clearly defined policy. The student's records, supporting documents, and other files are confidential. They are to be maintained only by University staff.

#### C. Maintenance of Separate Files

Separate files should be maintained as follows:

1. Academic records, supporting records and documents, and general education records.
2. Student personnel records
3. Records of disciplinary proceedings
4. Financial records
5. Medical and psychological records

Students may reserve the right to determine what honors, awards, and organizational membership information is to become a part of their student personnel record.

#### D. Accessibility of Records for Faculty Advisement

Members of the faculty may have access to records and files necessary for academic advisement. Normally, records relating to financial, medical, psychological, and disciplinary matters will not be available for such purposes.

#### E. Retention of Records

Records shall not be preserved beyond graduation or other final departure of any student except as follows:

1. The academic record may be retained indefinitely.
2. Financial records may be retained so long as any obligation exists.
3. Disciplinary records shall not be retained beyond graduation, termination of affiliation with the University, or after a certain agreed upon time--such as a period of probation.
4. Medical or psychological records shall not be retained more than five years after graduation or other final departure from the University.

### V. **OFF CAMPUS FREEDOM**

Students occupy the dual role of members of the civil community as well as members of the academic community. Therefore, students shall enjoy the freedoms and obligations of any other citizen, while at the same time being subject to the freedoms and obligations of the University community. The University should have no jurisdiction over students' behavior while off campus unless these students are acting as direct representatives of the

University. However, where the professional nature of a college requires jurisdiction to be exercised over students' off-campus behavior in accordance with established professional standards such jurisdiction may be exercised in accordance with such standards.

In cases where students are accused of violating civil law, University officials should be prepared to inform students of sources of legal counsel and may offer other assistance. Students who violate institutional regulations, without intent, as the direct result of off-campus activities, should not be penalized unduly and should be subject only to the penalty normally imposed for the violation of the specific regulation.

## **VI. STUDENT SELF-GOVERNMENT**

The student body shall have the right of self-government. The right shall include the use of allocated funds and the passage of student resolutions in addition to that usually implied by self-government.

## **VII. THE RIGHT OF STUDENTS TO PARTICIPATE IN UNIVERSITY**

### **GOVERNMENT AND THE DECISION-MAKING PROCESS**

As constituents within the University community, students shall possess the freedom and the channels for expressing their opinions on matters of University policy. The faculty and administration must bear final responsibility for the implementation and maintenance of degree requirements, course grades, and general academic standards.

#### **A. Representation on University Committees**

In all cases where it is capable of being effected, students shall have adequate representation on University committees.

#### **B. Participation in Housing Regulations**

In the matter of student residences, specifically residence halls, fraternities, and sororities, students shall have the right to develop governing rules in conjunction with others directly concerned, provided that such rules shall not conflict with any University-wide regulations or policy then in force or thereafter adopted.

#### **C. Autonomy in Judicial Processes**

Students shall have the right to participate in the judicial proceedings and the imposition of sanctions pertaining to student violations of previously agreed upon codes of conduct.

#### **D. Access to Statements of University Policy**

The University administration shall be responsible for providing statements of policy and general information that affect the activities and well being of students.

## **VIII. STANDARDS IN DISCIPLINARY PROCEEDINGS**

An inherent right of all citizens is that of specified procedural standards that protects the

individual from unnecessary infringement upon his personal liberty. Within the University community, disciplinary proceedings should be undertaken only after careful consideration has been given to the maintenance of these minimal procedural standards.

A. Expected Conduct

The University has a continuing obligation to make clear the standards of behavior that it believes students must accept in order for the institution to carry out its educational purposes. In addition to these statements of expectation, the University shall also clearly describe the means whereby a student shall have judicial recourse in disciplinary proceedings.

B. The Right to Counsel and Advice

Any student who is accused of violating prescribed codes of conduct shall be informed of the accusation against him and shall be informed of his right to seek counsel. He shall also be advised that he need not provide a statement until he has had opportunity to secure counsel. In all judicial proceedings, the counsel may be present if the student desires. The student shall be notified in writing of the specific charges or allegations that have been brought against him.

C. Judicial Hearing

Judicial hearings shall be conducted within a framework of a judicial system guaranteeing the rights of due process. The accused has the right to decline to give incriminating evidence against himself. In all proceedings, the burden of proof shall be on the prosecution. A record shall be maintained of all substantive material introduced at a judicial hearing. The records of the proceedings shall be confidential.

D. Protection Against Double Jeopardy

A student shall not be made to submit a second time to judicial or disciplinary proceedings for the same offense that would have an adverse effect upon him.

**LEAVES OF ABSENCE, SABBATICALS,  
MATERNITY LEAVES AND LEAVES DUE TO ILLNESS**

When a faculty member requests a general leave of absence, and it is granted; the grant shall include a written statement from the President informing the faculty member how the leave affects a term appointment; should the faculty member be on a term appointment, how it affects the count of years of employment at The University of Tulsa and how it affects other agreements that are in existence between the University and the faculty member.

Any University of Tulsa faculty member taking a leave of absence in order to accept a compensated position with another university will not be eligible for salary and/or benefits from the University of Tulsa during the term of such leave.

All grants of sabbaticals shall include a) a statement as to how it affects a term appointment or a continuing appointment, b) a statement as to how it affects continuing obligations of the individual to The University of Tulsa at the conclusion of the sabbatical leave, and c) a statement about the exact rate of compensation and other benefits forthcoming during the leave period.

Sick leaves and maternity leaves may be granted upon request, but a written statement from the President shall confirm the time and any other agreed upon circumstances of the leave. In cases of personal emergency, such as ill health, exceptional family responsibilities, parturition, and the like, a faculty member on a term appointment may petition the Dean to have his or her term contract and the maximum total time on term appointment extended by one year, whether or not sick leave is or has been taken. This extension may not be granted in cases involving professional rather than personal circumstances.

**EMERITUS FACULTY POLICY  
(Approved by Faculty Senate 4/24/01)**

Subject to approval of the Provost, emeritus status will be given to any retiring faculty member at the associate level or above who has served at least 15 years at TU, or has served 10 years here plus 15 at another institution, for a grand total of 25 years.

## APPENDICES

### APPROVED LETTER FOR SOLICITATION OF PROFESSIONAL REVIEW

The following wording must be used exactly. Optional phrases are given in brackets separated by slashes, and blanks should be filled by the appropriate phrase in each space defined by parentheses. Solicitation letters should go out as early as possible.

[Current Address]

[Inside Address]

Dear:

The [Department/Faculty/School] of \_\_\_\_\_ (name of academic unit) at The University of Tulsa would appreciate your assistance in evaluating the professional contributions and reputation of \_\_\_\_\_ (name of candidate), who will be considered for [the granting of tenure/promotion to associate professor/promotion to full professor/granting of tenure and promotion to...etc.] during the fall semester, \_\_\_\_ (year). Enclosed are Professor \_\_\_\_\_'s *curriculum vitae* and copies of publications selected by the department and the candidate to assist you in this review.

When you respond, please specify the nature and duration of your relationship to the candidate, if any (friend, colleague, mentor), and offer your professional assessment of the candidate's accomplishments—publications, presentations, professional service, etc.—in terms of their originality, significance, and quantity. Also, please evaluate Professor \_\_\_\_\_'s achievements in light of those of other faculty members you have known at a comparable stage of their careers.

To be considered fully by our review committee, your response should be received no later than \_\_\_\_\_ (establish date for timely response). We deem these responses to be confidential, but as you know, recent legal rulings have required universities to reveal confidential files in certain types of litigation and claims

Thank you for your kind assistance in this matter.

Sincerely,

(Name and title of academic unit chair)

**CONTROL SHEET  
SOLICITED LETTERS OF REVIEW**

The Academic unit chair, using the exact wording of the solicitation letter that accompanies the control sheet, should solicit a minimum of three letters of review. As indicated below, this form must identify the letters solicited by the chair to distinguish them from any unsolicited letters or letters solicited by the candidate that may also appear among the addenda to the file sent to the Provost. "Relationship" is used to indicate whether the reviewer knows the candidate in any capacity other than through his or her publications, presentations, or other scholarly work. This space should clearly specify whether the reviewer is, or has been, the candidate's graduate research professor, a fellow graduate student, a former colleague, a partner in business or consulting activities, etc. The candidate is entitled to nominate individuals for the chair to solicit; and at least one of the letters, but not all of them, should be drawn from this pool.

**Candidate's Name:**

\_\_\_\_\_

**Candidate's Rank and Title:**

\_\_\_\_\_

**Reviewer:**

\_\_\_\_\_

**Title:**

\_\_\_\_\_

**Current**

**Affiliation:**

\_\_\_\_\_

**Relationship to Candidate:**

\_\_\_\_\_

**Nominated by:   \_\_Candidate   \_\_Other:**

\_\_\_\_\_

**Date Received:**

\_\_\_\_\_

**Reviewer:**

\_\_\_\_\_

**Title:**

\_\_\_\_\_

**Current**

**Affiliation:**

\_\_\_\_\_

**Relationship to Candidate:**

\_\_\_\_\_

**Nominated by: \_\_\_Candidate \_\_\_Other:**

\_\_\_\_\_

**Date Received:**

\_\_\_\_\_

**Reviewer:**

\_\_\_\_\_

**Title:**

\_\_\_\_\_

**Current  
Affiliation:**

\_\_\_\_\_

**Relationship to Candidate:**

\_\_\_\_\_

**Nominated by: \_\_\_Candidate \_\_\_Other:**

\_\_\_\_\_

**Date Received:**

\_\_\_\_\_

**Reviewer:**

\_\_\_\_\_

**Title:**

\_\_\_\_\_

**Current  
Affiliation:**

\_\_\_\_\_

**Relationship to Candidate:**

\_\_\_\_\_

**Nominated by: \_\_\_Candidate \_\_\_Other:**

\_\_\_\_\_

**Date Received:**

\_\_\_\_\_

## **FUNDING PUBLICATION COSTS**

Research and publication are among the professional responsibilities of the faculty at The University of Tulsa, and the University recognizes that in some instances the cost of publication may constitute an excessive burden, particularly on new faculty members. In order to lessen this burden and to encourage research and publication, The University of Tulsa will consider requests for up to \$1,000 (one thousand dollars) for subventions, submission fees, page costs, or other special costs associated with the publication of scholarly refereed journal articles and books. The Department Chair, the Collegiate Dean, and the Director of Research will review these requests and, subject to the availability of funds, will support work of high quality to be published by journals or publishers with excellent reputations. Readers' comments from the press or the journal should be submitted with the application for funds.

The Office of Research will pay one-half of these publication costs up to a maximum of \$500 (five hundred dollars) and the College and/or Department, if funds are available, will pay one-half of these costs up to a maximum of \$500 (five hundred dollars). The balance of the costs above \$1,000 (one thousand dollars) must be borne by the individual.

In the case of a subvention provided for the publication of a scholarly book, the faculty member agrees, by requesting the subvention, to reimburse the University from any royalties generated in an amount not to exceed the subvention paid by the University.

Requests for the support of publication costs should be submitted on the Faculty Research Grant application form through the Department Chair and the Collegiate Dean to the Director of Research. **The Department Chair and the Collegiate Dean will indicate, at the time of approval, the amount of their respective support and designate the appropriate account number for the charge.**

## **FACULTY TRAVEL GUIDELINES**

The opportunity for faculty to travel to participate actively in the professional lives of their disciplines is critical to the enhancement of their reputations and a department's general professional standing. To that end, the University and the College make funds available for travel. The allocation of these funds, save for special contingency funds awarded by the Office of the Dean and the Dean of the Graduate School, is administered by the Chairs of the departments. Each Chair is charged with developing fair policies to govern the allocation of these funds. The allocation of available travel funds should follow some reasonable priorities based on level and type of participation and level and type of convention or meeting. The determination of these priorities rests with the Chairs and their faculties. The Chair will allocate these funds in keeping with the goals and objectives of the department. Chairs should request travel plans from each faculty member at the beginning of the academic year.

The following travel categories represent the most common areas of anticipated expense:

**Airline Tickets** - The University has selected certain travel agencies as its Designated Preferred Travel Agencies when employees travel on University business. Other travel agencies are permitted only on an exception basis, if required by conditions of research grants or sponsors, or for special international travel situations. The individual making the trip should make his/her own reservation directly with the airline or travel agency. First

class travel is not authorized unless other seats are not available. Reservations should be made far enough in advance to assure coach rates. Airline tickets may be charged on American Express or other credit cards and included on the expense report for reimbursement. If advance ticket purchase is necessary to obtain favorable rates, a travel advance may be requested. The last page of the ticket must be submitted with an expense report to clear the advance.

**Automobile Travel** - Reimbursable on the basis of actual mileage. The current rate is .40/mile. The University will not reimburse the employee for any personal automobile expenses (e.g. damages, repairs, etc.) other than the approved mileage rate. Requests for rental cars leaving Tulsa should be submitted through the requisition procedure to Purchasing Services. Airline travel is preferred, unless ground travel can be cost justified.

**Living Expenses** - Room accommodations should be appropriate for the occasion and not luxurious. Normal expenses related to reasonable hotel/motel accommodations can be covered. Faculty should always take advantage of special conference room rates; and, whenever possible, utilize double room rates. Faculty accompanied by a spouse should pay the difference between a single and double rate. For personal meals during authorized travel (those not included in the meeting registration fee or as part of an airline trip) reimbursement will be made at a rate not to exceed actual meal expenses or \$30.00 per day maximum.

Reimbursement for meals is not allowed unless overnight travel is involved.

Pursuant to documentation regulations from the Internal Revenue Service, meals shown must be actual expenses, i.e. do not show \$5, \$10, \$15 as the meal expense unless that was the actual cost. If over \$25.00, a restaurant receipt must be attached indicating the name and location of the restaurant, date, amount of expenditure, number of people served, and separate charge for items other than meals and beverages, e.g. tip or gratuity. Even though the actual expense is shown and may be documented, the maximum per day allowance under University policy is \$30.00, including tips. Please refer to the Entertainment Policy, paragraph 407 for guidelines regarding reimbursement of meals where entertainment is involved.

Tips are to be included in the services rendered. For instance, they are included in the per meal allowance above. Any tips for hotel and/or airport service can be included on the travel expense form.

Colleges and/or departments may establish cost reimbursement limits below the University maximums.

**Expense Reports** - An expense report approved by a Vice President, Academic Dean or Administrative Department Head should be filed with Accounts Payable within one week following the trip. Employees requesting reimbursement for Study Abroad trips must file an expense report within one month following the trip. The requesting employee processing a payment to him/herself must have the next higher approval authority before sending the expense report to Accounts Payable even if the employee has sole signature authority on the account being charged. If you have received a cash advance, and the advance exceeds the trip expense, reimbursement should accompany the report. All normal and necessary travel expenses are subject to reimbursement. Expenses not applicable to University business, or those which are extravagant or exorbitant are not allowed. Original receipts are required for airline tickets, rental car, gasoline charges, room accommodations, registration fee and any meals over \$25.00.

A check request is not required to be submitted with the travel expense report as long as the form has been completed in full (including all appropriate approvals.)

Travel/Entertainment Expense Reports are available through Corporate Express Forms Management (formerly Ross-Martin). See Forms Management.

### **CASH ADVANCES**

Under IRS regulations, advances cannot be made more than 30 days prior to a trip. The IRS rulings require the employer to add cash advances to any employee's earnings, and withhold taxes, if the cash advance is not accounted for within 60 days of the date of the advance. Any unused portion of an advance must be returned within 120 days or be treated as income to the employee. Cash advances will not be extended to persons who have delinquent advances outstanding. Cash advances will not be available unless there are extenuating circumstances. If you are required to travel or entertain on behalf of The University of Tulsa, the use of the American Express Corporate Card is recommended in lieu of a cash advance.

**Registration Fees** - Normal expenses include those fees charged exclusively for conference registration. This does not include membership dues. Faculty should take advantage of pre-registration and/or institutional membership rates whenever possible.

### **ENTERTAINMENT POLICY**

The IRS defines qualifying entertainment expense to be both ordinary and necessary. An ordinary expense is one that is common and accepted in your field of business, trade, or profession. A necessary expense is one that is helpful and appropriate for your business. IRS also requires that the expense must be for entertainment of a guest external to The University.

Additionally, The University policy requires that qualifying entertainment expenses must be necessary for the proper execution of University business and in justifiable pursuit of the University's educational, research, and public service objectives.

Employees must bear the cost of their own meals when entertainment is at on-campus facilities. Only the cost of non-employee meals is a reasonable expense.

"Goodwill entertaining" or meals costs can be reimbursed if properly documented, after approval by the appropriate dean, department head, or vice president if, according to the Internal Revenue Service:

1. They are incurred under circumstances considered to be conducive to business discussions.
2. They involve active conduct of business or directly precede or follow a substantial and bona fide business discussion or meeting.
3. They do not involve employees entertaining other employees i.e. there must be persons external to The University involved.

The IRS guidelines for proper documentation are:

1. A receipt listing the amount of the expense.
2. The date, place, and description of the entertainment.
3. Business purpose and relationship or nature of the benefit to The University expected to be realized.

Entertainment and refreshment expenses are reimbursable if the primary purpose of the expense is to entertain individual external to The University. Expenses for providing refreshments primarily to University employees (i.e. coffee and water services) are considered personal expenses and are not reimbursable. Expenses for departmental parties are considered personal expenses and must be approved in advance by the President in order to be reimbursable.

Personal Gifts and Flowers: Personal gift purchases for employees and students are not appropriate University expenses. Employees may solicit each other to fund gift or flower purchases.

The University will fund formally established honors, awards, and other official recognition. Flowers are requested from the President's office in the case of hospitalization of employees and in the case of death of employees or close relations (parents, spouses, and children). Other requisitions or reimbursement requests for flowers for these purposes will be denied.

Exceptions to any of the above policies must have advance approval of the Deans or Vice Presidents with appropriate notice of granted exceptions being provided to the President.

### **PURCHASE OF FOOD AND BEVERAGES**

The University of Tulsa's Dining Services has been designated to furnish all food and beverages consumed on the University campus. Departments may not purchase food and beverages from vendors to be used at catered functions on campus without the written approval of the Director of Dining Services. Adherence to this policy is critical to ensure that all catering reflect the high standards and financial goals of the University, and adherence to the policy helps Dining Services retain more qualified catering staff to ensure the success of all events, both large and small at the University. Adherence to the policy also provides more control over issues of liability and security (persons and property). An exception to this policy is made for very small events where the food cost is less than \$100.00. Questions concerning these requirements should be directed to the Director of Dining Services in advance of the function.

### **ALCOHOL POLICY**

The University of Tulsa is an educational and social community wherein its students, faculty, staff, administration, and their guests interact in a wide variety of activities. It is acknowledged that at some of these activities the consumption of alcoholic beverages may occur. So that these activities can be reasonably governed, and in order to promote responsible conduct with respect to alcohol consumption, the alcohol policy is established to conform with state and federal laws and in keeping with the mission of The University of Tulsa.

The University deplors the abuse of alcohol, intoxication, and unacceptable conduct, which

may result there from. A University-wide commitment to alcohol education prevails. Further, members of the University community are assured that the absence of alcohol from social events is an acceptable practice.

The University of Tulsa holds its students, officers of student organizations, faculty, staff, administration, and guests responsible for the observance of state and federal laws with respect to alcoholic beverages. These laws prohibit consumption of alcoholic beverages by anyone under 21 years of age. These laws also make it unlawful to sell, purchase, deliver, or furnish alcoholic beverages to anyone under 21 years of age or to an intoxicated person, to consume them in a public place, or to misrepresent one's age to obtain alcoholic beverages. Further, it is unlawful for anyone 21 years of age or older, except a parent or guardian, to sell or furnish alcoholic beverages to anyone under the age of 21. \*Oklahoma Law: Title 37, Sec. 241, 1995. Federal Law: Drug-Free Schools and Communities Act, 1990.

All events where alcoholic beverages may be consumed, whether held on or off the campus, are to be properly registered with the Student Affairs Office, Holmes Student Center. Registration must occur at least seven (7) days in advance of the event.

University departments wishing to purchase alcoholic beverages must have prior written approval from the appropriate Vice President.

### **MOVING EXPENSE POLICY**

The University of Tulsa will reimburse up to the greater of \$4,000 or 4% of the annual salary for moving expenses of new faculty or administrative/professional staff members, subject to the discretion of the administrator responsible for the official offer of employment. Any reimbursement for more than the above amounts must be approved by the Provost or the President. The authorized maximum amount will be stated in a letter of authorization to the faculty or administrative/professional staff member from the administrator formulating the official offer of employment, a copy of which is to be attached to the reimbursement claim. It is suggested that a copy of this policy be provided with the appointment letter.

Moving expenses are defined as the expenses of moving household goods. Among typical reimbursable expenses (when documented by invoices or receipts) would be bills from a moving company, from a trailer or truck rental company, from a gasoline station for petroleum to power a rental truck or an automobile towing a trailer, and from such miscellaneous expenses as packing cartons and paid labor. Other items, subject to the maximum reimbursable, are handled as follows:

#### **Mileage**

Mileage for one trip from previous residence to Tulsa will be paid. Contact Personnel Services for the current mileage rate allowable by IRS.

#### **Air Fare**

Air Fare is reimbursable for employee only, if no mileage is claimed.

#### **Meals**

Reimbursement for meals is not an allowed deduction.

#### **Lodging**

Reimbursement for lodging (one trip from previous residence) will be made in accordance

with University Travel Policies and Procedures if more than one day is required for travel (receipt required). The number of days will normally be determined by increments of 400 miles per day. Reimbursement for lodging in Tulsa will not be made. House-hunting expenses are not an allowable deduction. If reimbursement is made, the reimbursement is taxable and appropriate taxes will be withheld.

### **Incidental expenses**

Allowable incidental expenses, such as tolls, will be paid (receipt required).

The University regularly maintains a national discount agreement with moving companies relative to relocation. For information on how to secure the University's discount, contact Purchasing Services.

Reimbursement will be made in one of two ways:

1. Purchase Order - Issuance of a purchase order to the designated moving company. The moving company can then bill and be paid by the University. The total bill will be paid by the University and the excess over the authorized maximum amount will be billed to the employee's receivable account.
2. Check Request - Any allowable moving expense paid for by the employee direct will be reimbursed up to the authorized maximum amount. Original receipts must be submit