FACULTY COUNCIL MEETING

**3:00 p.m., Tuesday, March 10, 2020**

# Council Room, 412 Student Union

**AGENDA:**

 1. Roll Call

 2. Approval of the February 11, 2020 Minutes

 3. Approval of Agenda

 4. Special Reports:

 A. Leon McClinton – Director of Housing & Res Life - CEAT-in-Residence Program

 B. Chris Barlow – Senior Director of University Health Services – OSU COVID-19 Update

 C. Randy Kluver – Dean of Global Studies and Partnerships – Update on OSU Spring Study

 Abroad Programs.

 5. President Hargis – Remarks and Comments

 6. Report of Status of Faculty Council Recommendations:

 President Hargis, Provost Sandefur and/or Vice Presidents

 7. Reports of Liaison Representatives –

1. Emeriti Association – Barbara Miller

The proposed panel discussion on “Things to know before you retire” is proceeding.  This is a cooperative venture between the Committee on Retirement and Fringe Benefits and the Emeriti Assn. The discussion will be recorded for use later in Stillwater or on other OSU Campuses.  Proposed dates are late March or Early April. The format will largely be panel members answering pre-submitted questions and board members were asked to submit topics of interest.

The new member directory is in process with an expected delivery date of late March.

The speaker for our March 2 Emeriti dinner was Clint Williams, director of Development at the McKnight Center, and there were also music students performing at the dinner.

Letters of invitation have gone out to 44 new retirees in the OSU system.

The Emeriti are hoping to organize a tour of the new baseball stadium.

1. Women’s Faculty Council – Awilda Rodriguez Carrion

The Women’s Faculty Council (WFC) invites eligible OSU students at all of the OSU university campuses to submit applications for its Annual Ann Ryder and Clara Smith WFC Leadership Endowed Scholarship for Undergraduates by March 15. For more detailed information, please contact us through our website at [https://womensfacultycouncil.okstate.edu](https://nam04.safelinks.protection.outlook.com/?url=https%3A%2F%2Fwomensfacultycouncil.okstate.edu%2F&data=02%7C01%7Ctricia.white%40okstate.edu%7Ced5b0c8deaf84cbb10d808d7bc684cef%7C2a69c91de8494e34a230cdf8b27e1964%7C0%7C0%7C637185028456192592&sdata=UlPRaIA3uO3amXKnlhkbgPw3piY28e%2BRZ8C4ydZD%2B5g%3D&reserved=0).

For the WFC March 4th meeting, Drs. Jennifer Borland, Julie Koch, and Li Miao will lead a panel discussion on the “Take Away Messages for Women in Leadership from the HERS Institute.” We will meet at the GAB B-09 at 2:30–3:30 pm. This event is co-sponsored by the President’s Fellows’ Leadership Initiative.

And finally, in April we will have two meetings!  First one, on April 1st the WFC will feature guest speaker, Dr. Janice Hermann.  Dr. Hermann will be presenting her “Assessment of Food Security Among Oklahoma State University Students.” Then on April 8th, Irissa Baxter and Drs. Jonathan Coley, Rachel Schmitz, and Kris Struckmeyer will be speaking about “LGBTQ+ Research and Advocacy at OSU.” Please join us at CLB 106B at 2:30–3:30 pm. This event is co-sponsored by the Employee Queers & Allies League (EQuAL).

1. SGA – Ashley Schultz

 1. Washington D.C. Lobbying Trip

 2. OKC Lobbying Trip

 D. Wellness – Kim Beard



1. Graduate Council – Rebecca Sheehan

 8. Reports of Standing Committees:

 a. Academic Standards and Policies: Eric Rebek – Update

 Update OSU Policy 2-0206, 1.01 and University Academic Regulation 5.9\*

 Update OSU Policy 2-0206, 2.02-2.04 and 3.01, and University Academic Regulations

 1.10 and 5.4\*

 Update OSU Policy 2-0202, sections 2.02-2.04 and 3.01, and University Academic

 Regulations 5.4\*

 Update OSU Policy 2-0206, sections 4 and 5\*

 Changes to online enrollment cancellation/withdrawal system\*

 Summary of Proposed Changes\*

 b. Athletics: Justin Talley – No Report

 c. Budget: Jam Khojasteh – Update

 d. Campus Facilities, Safety, and Security: Karen Neurohr – Update

 e. Diversity: Justin Moss – No Report

f. Faculty: Matt Lovern – No Report

g. Long-Range Planning and Information Technology: Christopher Crick – No Report

 h. Research: Dianne McFarlane – Update

 Conflict of Interest\*

i. Retirement & Fringe Benefits: Griffin Pivateau – No Report

j. Rules and Procedures: Pamela Lovern – Update

 k. Student Affairs and Learning Resources: Toby Nelson – No Report

 9. Old Business –

 10. New Business –

 11. Adjournment

*Refreshments will be served at 2:45 p.m.*

 **Amended by Passed Failed**

**Recommendation No.** 20-03-01-ASP 1.\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ \_\_\_\_\_\_ \_\_\_\_\_\_\_\_\_

**Moved by:**  Academic Standards & Policies  2.\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ \_\_\_\_\_\_ \_\_\_\_\_\_\_\_\_

**Seconded by:**  3.\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ \_\_\_\_\_\_ \_\_\_\_\_\_\_\_\_

        **Passed**         **Tabled**         **Failed**  4.\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ \_\_\_\_\_\_ \_\_\_\_\_\_\_\_\_

**Title:**       Update OSU Policy 2-0206, 1.01, and University Academic Regulation 5.9

**The Faculty Council Recommends to President Hargis that:**

OSU Policy 2-0206, section 1.01, *Adding and Dropping Courses & Withdrawing from the University* be changed as follows: update the late enrollment petition process provided in section 1.01, *Adding Courses*, and provide a reference to University Academic Regulation (UAR) 5.9 in the University Catalog. Also, the late enrollment form should be updated to increase clarity.

**Rationale:**

These changes will simply close the gap in current policy versus practice.

**Proposed Policy Revision with Track Changes**

See Summary of Proposed Changes handout.

**Discussion/Approval Record**

|  |  |
| --- | --- |
| **Committee/Council** | **Date Approved** |
| Directors of Student Academic Services | January 22, 2020 |
| Instruction Council | February 6, 2020 |
| Faculty Council Academic Standards and Policies Committee | February 26, 2020 |
| Faculty Council |  |
| Council of Deans and Provost |  |
| President/Executive Team |  |

 **Amended by Passed Failed**

**Recommendation No.** 20-03-02-ASP 1.\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ \_\_\_\_\_\_ \_\_\_\_\_\_\_\_\_

**Moved by:**  Academic Standards & Policies  2.\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ \_\_\_\_\_\_ \_\_\_\_\_\_\_\_\_

**Seconded by:**  3.\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ \_\_\_\_\_\_ \_\_\_\_\_\_\_\_\_

        **Passed**         **Tabled**         **Failed**  4.\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ \_\_\_\_\_\_ \_\_\_\_\_\_\_\_\_

**Title:**       Update OSU Policy 2-0206, 2.02 – 2.04 and 3.01, and University Academic Regulations 1.10 and 5.4

**The Faculty Council Recommends to President Hargis that:**

OSU Policy 2-0206, sections 2.02 – 2.04 and 3.01, and UARs 1.10 and 5.4 be changed as follows: delay assignment of automatic W grade for dropped classes until after 10th class day, but retain all other aspects of the restrictive drop/add period.

**Rationale:**

State Regents policy allows us to assign W grades after 10th class day, which is more student friendly, clearly reflects open seats available for other students, still promotes early settling of class rosters, and allows financial aid to be recalculated after 10th class day.

**Proposed Policy Revision with Track Changes**

See Summary of Proposed Changes handout.

**Discussion/Approval Record**

|  |  |
| --- | --- |
| **Committee/Council** | **Date Approved** |
| Directors of Student Academic Services | January 22, 2020 |
| Instruction Council | February 6, 2020 |
| Faculty Council Academic Standards and Policies Committee | February 26, 2020 |
| Faculty Council |  |
| Council of Deans and Provost |  |
| President/Executive Team |  |

 **Amended by Passed Failed**

**Recommendation No.** 20-03-03-ASP 1.\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ \_\_\_\_\_\_ \_\_\_\_\_\_\_\_\_

**Moved by:**  Academic Standards & Policies  2.\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ \_\_\_\_\_\_ \_\_\_\_\_\_\_\_\_

**Seconded by:**  3.\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ \_\_\_\_\_\_ \_\_\_\_\_\_\_\_\_

        **Passed**         **Tabled**         **Failed**  4.\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ \_\_\_\_\_\_ \_\_\_\_\_\_\_\_\_

**Title:**       Update OSU Policy 2-0206, sections 2.02 – 2.04 and 3.01, and University Academic Regulation 5.4

**The Faculty Council Recommends to President Hargis that:**

OSU Policy 2-0206, sections 2.02 – 2.04 and 3.01, and UAR 5.4 be changed as follows: allow W/F period (weeks 13-14) to be used for individual class drops as well as complete withdrawals.

**Rationale:**

State Regents policy allows the W/F period to be used for individual class drops, provides students with extraordinary circumstances late in the semester to salvage some classes, and reduces number of retroactive drop petitions.

**Proposed Policy Revision with Track Changes**

See Summary of Proposed Changes handout.

**Discussion/Approval Record**

|  |  |
| --- | --- |
| **Committee/Council** | **Date Approved** |
| Directors of Student Academic Services | January 22, 2020 |
| Instruction Council | February 6, 2020 |
| Faculty Council Academic Standards and Policies Committee | February 26, 2020 |
| Faculty Council |  |
| Council of Deans and Provost |  |
| President/Executive Team |  |

 **Amended by Passed Failed**

**Recommendation No.** 20-03-03-ASP 1.\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ \_\_\_\_\_\_ \_\_\_\_\_\_\_\_\_

**Moved by:**  Academic Standards & Policies  2.\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ \_\_\_\_\_\_ \_\_\_\_\_\_\_\_\_

**Seconded by:**  3.\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ \_\_\_\_\_\_ \_\_\_\_\_\_\_\_\_

        **Passed**         **Tabled**         **Failed**  4.\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ \_\_\_\_\_\_ \_\_\_\_\_\_\_\_\_

**Title:**       Update OSU Policy 2-0206, sections 2.02 – 2.04 and 3.01, and University Academic Regulation 5.4

**The Faculty Council Recommends to President Hargis that:**

OSU Policy 2-0206, sections 2.02 – 2.04 and 3.01, and UAR 5.4 be changed as follows: allow W/F period (weeks 13-14) to be used for individual class drops as well as complete withdrawals.

**Rationale:**

State Regents policy allows the W/F period to be used for individual class drops, provides students with extraordinary circumstances late in the semester to salvage some classes, and reduces number of retroactive drop petitions.

**Proposed Policy Revision with Track Changes**

See Summary of Proposed Changes handout.

**Discussion/Approval Record**

|  |  |
| --- | --- |
| **Committee/Council** | **Date Approved** |
| Directors of Student Academic Services | January 22, 2020 |
| Instruction Council | February 6, 2020 |
| Faculty Council Academic Standards and Policies Committee | February 26, 2020 |
| Faculty Council |  |
| Council of Deans and Provost |  |
| President/Executive Team |  |

 **Amended by Passed Failed**

**Recommendation No.** 20-03-05-ASP 1.\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ \_\_\_\_\_\_ \_\_\_\_\_\_\_\_\_

**Moved by:**  Academic Standards & Policies  2.\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ \_\_\_\_\_\_ \_\_\_\_\_\_\_\_\_

**Seconded by:**  3.\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ \_\_\_\_\_\_ \_\_\_\_\_\_\_\_\_

        **Passed**         **Tabled**         **Failed**  4.\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ \_\_\_\_\_\_ \_\_\_\_\_\_\_\_\_

**Title:**       Changes to online enrollment cancellation/withdrawal system

**The Faculty Council Recommends to President Hargis that:**

OSU develop an online enrollment cancellation/withdrawal system with automated workflow for approvals; then no longer allow students to drop last class online through nonrestrictive drop period.

**Rationale:**

These changes will prevent enrolled students from “disappearing” and enable an academic advisor to intervene and attempt to retain the student; replaces existing paper forms and automates manual procedures; allows for processing of approved withdrawals as of the date of the request.

**Proposed Policy Revision with Track Changes**

None.

**Discussion/Approval Record**

|  |  |
| --- | --- |
| **Committee/Council** | **Date Approved** |
| Directors of Student Academic Services | January 22, 2020 |
| Instruction Council | February 6, 2020 |
| Faculty Council Academic Standards and Policies Committee | February 26, 2020 |
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**Proposed Revisions to OSU Policy 2-0206 Adding and Dropping Courses and Withdrawing from the University and related University Academic Regulations**

Prepared by the Office of the Registrar on behalf of the 2019 Registration Working Group, February 6, 2020

**Summary of Proposed Changes**

The University Registrar convened a campus-wide Registration Working Group in 2019 charged with examining OSU, State Regents, and peer institution registration policies, identifying gaps in current policy versus practice, and seeking opportunities for improvement with a focus on removing barriers to student success. The working group included representatives from Faculty Council, the Directors of Student Academic Services, Instruction Council, Student Affairs, Academic Affairs, OSU-Tulsa, Scholarships and Financial Aid, Undergraduate Admissions, First Year Success, Office of the Bursar, and the Office of the Registrar. The working group’s recommendations are summarized in the table below.

|  |  |  |  |
| --- | --- | --- | --- |
| **#** | **Description** | **Location of Proposed Policy Revision** | **Rationale Summary** |
| 1 | Reference late enrollment petition process in OSU policy, and update late enrollment form to increase clarity. | Policy 2-0206 (1.01) and University Academic Regulation (UAR) 5.9 | Close gap in current policy vs. practice. |
| 2 | Delay assignment of automatic W grade for dropped classes until after 10th class day (retain all other aspects of the restrictive drop/add period). | Policy 2-0206 (2.02 – 2.04 and 3.01) and UARs 1.10 and 5.4 | State Regents policy allows us to assign W grades after 10th class day which is more student-friendly, clearly reflects open seats available for other students, still promotes early settling of class rosters, and allows financial aid to be recalculated after 10th class day. |
| 3 | Allow W/F period (weeks 13-14) to be used for individual class drops as well as complete withdrawals. | Policy 2-0206 (2.02 – 2.04 and 3.01) and UAR 5.4 | State Regents policy allows the W/F period to be used for individual class drops, provides students with extraordinary circumstances late in the semester to salvage some classes, and reduce number of retroactive drop petitions. |
| 4 | Consolidate coordination of retroactive drop and refund petition processes. | Policy 2-0206 (sections 4 and 5) | Streamline petition process from student, advising and administrative perspectives; allow retroactive drop committee to define expedited approval criteria similar to refund petitions. |
| 5 | Develop an online enrollment cancellation/withdrawal system with automated workflow for approvals; then no longer allow students to drop last class online through nonrestrictive drop period. | N/A | Prevent enrolled students from “disappearing” and enable an academic adviser to intervene and attempt to retain the student; replace existing paper forms and automate manual procedures; process approved withdrawals as of the date of the request. |

**Proposed Policy Updates with Track Changes**

### *University Academic Regulation 1.10 Cancelling Enrollment and Withdrawing from the University*

Enrollment cancellation occurs when a student drops all classes before classes begin, that is, before the applicable semester or session begins. Student requests to cancel enrollment must be received by the Office of the Registrar before the first day of classes for the term. Enrollment changes, such as cancelling enrollment or withdrawing from the University are the responsibility of the student. Failure to attend classes or nonpayment of tuition and fees does not constitute notice of cancellation.

Withdrawing from the University occurs when a student drops all classes after classes begin, that is, after the applicable semester or session begins. The withdrawal process is initiated with the student’s academic adviser or in the student’s academic student services office. International students must also consult with International Students and Scholars (ISS) before dropping courses or withdrawing for the semester. Under reporting regulations required by the Student and Exchange Visitor Information System (SEVIS), dropping below full-time can put a student’s visa status in jeopardy.

General cancellation and withdrawal periods are provided in the table below. The Academic Calendar provides specific dates for each term. Exceptions to these deadlines may be considered by petition due to documented extraordinary circumstances and committee approval. The Retroactive Drop/Withdraw Petition and the Petition for a Refund of Tuition and Fees are available on the Registrar website ([registrar.okstate.edu](http://registrar.okstate.edu/)).

Cancellation/Withdrawal Periods for Full-Semester (16-week) Courses

| **Semester Time Period** | **Course Grade** | **Course-Related Tuition/Fee Refund** |
| --- | --- | --- |
| Before term begins (cancellation) | No transcript records | 100% refund |
| First 6 days | No transcript record | 100% refund |
| Day 7-10 | No transcript record | Partial refund |
| Weeks 3-12 | "W" | No refund |
| Weeks 13-14 | "W" or "F" as assigned by instructor | No refund |
| Weeks 15-16 | Final grade as assigned by instructor | No refund |

Summer courses, intersession courses, and other courses that do not extend through the entire 16-week semester follow proportionate cancellation/withdrawal/refund periods. (*See also OSU Policy 2-0206 Adding and Dropping Classes and Withdrawing from the University*).

*University Academic Regulation 5.4 Dropping Courses*

Dropping refers to the dropping of one or more courses while remaining enrolled in at least one other OSU course for a given semester. Courses may not be dropped without the approval of the student’s academic adviser. Enrollment changes, such as dropping courses, are the responsibility of the student. Failure to attend classes or nonpayment of tuition and fees does not constitute dropping a course.

General drop periods are provided in the table below. The Academic Calendar provides specific dates for each term. Exceptions to these deadlines may be considered by petition due to documented extraordinary circumstances and committee approval. The Retroactive Drop/Withdraw Petition and the Petition for a Refund of Tuition and Fees forms are available on the Registrar website.

Periods for Dropping Full-Semester (16-week) Courses

| **Semester Time Period** | **Course Grade** | **Course-Related Tuition/Fee Refund** |
| --- | --- | --- |
| Before term begins | No transcript record | 100% refund |
| First 6 days | No transcript record | 100% refund |
| Days 7-10 | No transcript record | Partial refund |
| Weeks 3-12 | "W" | No refund |
| Weeks 13-14 | “W” or “F” as assigned by instructor | No refund |
| Weeks 15-16 | No drop option - Final grade as assigned by instructor | No refund |

Summer courses, intersession courses, and other courses that do not extend through the entire 16-week semester follow proportionate drop/refund periods.

A student may not drop any course in which a violation of academic integrity is pending against the student. If the student admits responsibility for a violation meriting a grade of "F" for an assignment or examination, the instructor or Academic Integrity Panel may permit the student to drop the course with a grade of "W." If the student is found not responsible for the violation, he or she may drop the course with either a "W" or "F," (according to the drop grade policy) appearing on the academic record. If the student is found responsible for the violation, the instructor may assign an appropriate sanction, including assigning the grade "F" for the assignment/examination or "F!" for the course. (See *Policy and Procedures Letter* 02-0822).

International students need to consult with International Students and Scholars (ISS) before dropping courses or withdrawing for the semester. Under reporting regulations required by the Student and Exchange Visitor Information System (SEVIS), dropping below full-time can put a student’s visa status in jeopardy.

*University Academic Regulation 5.9 Late Enrollment*

Students are allowed and encouraged to enroll well before the beginning of a given term (fall, spring, summer). Students whose initial enrollment for the term occurs on or after the first day of the term will be charged a late enrollment fee. A student is permitted to add classes after initial enrollment without a late enrollment fee during the first two weeks of a 16-week semester or through the fifth day of an eight-week summer session or during proportionate periods for block or short courses.

Adding a course or increasing credit hours in a variable-credit class after the restrictive deadline is granted by petition only through the Office of the Registrar, and is not appropriate if enrollment was delayed due to a registration hold or if the semester has ended. Late class section changes approved through this petition process will be processed as if they occurred within the nonrestrictive drop/add deadline.

See the "Tuition, Fees, and Cost Estimates" section of the Catalog for the current late enrollment fee amount.

*OSU Policy 2-0206 Adding and Dropping Courses and Withdrawing from the University – see Attachment A*

*Oklahoma State Regents’ Registration and Withdrawal Policy Summary – see Attachment B*

*Retroactive Drop Committee Request for Change to OSU Policy 2-0206 – see Attachment C*

**Discussion/Approval Record**

|  |  |
| --- | --- |
| **Committee/Council** | **Date Approved** |
| Directors of Student Academic Services | January 22, 2020 |
| Instruction Council | February 6, 2020 |
| Faculty Council Academic Standards and Policies Committee | February 26, 2020 |
| Faculty Council |  |
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**Attachment A – OSU Policy 2-0206 Adding and Dropping Courses and Withdrawing from the University**

**Adding Courses**

* 1. Approval of the student’s academic adviser is required for adding a course. The end of the sixth day that classes meet in a regular semester (not counting Saturday as a class day) or the third class day of an eight-week session, or during the proportionate period for block or short courses, is the last day a course may be added (nonrestrictive). With instructor’s approval, a course may be added during day seven through Friday of the second week of classes of a regular semester, or the fourth and fifth day of an eight-week session (restrictive). See University Academic Regulation 5.9 in the University Catalog for late enrollment considerations.

**Dropping Courses**

2.01 At any time prior to the end of the sixth day that classes meet in a regular semester (not counting Saturday as a class day) or the third day of an eight-week session (or proportionate periods for block or short courses), a student may drop a course, and no record of the course will appear on the student’s academic record. Students receive a full refund of tuition/fees during this time (nonrestrictive).

2.02 From day seven through Friday of the second week of classes of a regular semester, or the fourth and fifth day of an eight-week session (or proportionate periods for block or short courses), students who drop a course will receive a fifty percent refund of tuition/fees and no record of the course will appear on the student’s academic record (restrictive).

2.03 After the restrictive drop period, students will forfeit the full amount of tuition and fees for dropped courses. An automatic grade of “W” (withdrawn) shall be recorded on the transcript for courses dropped after the restrictive period and through the twelfth week of a regular semester or the sixth week of an eight-week session (or proportionate periods for block or short courses). Exceptions to the refund deadlines may be allowed by petition due to extraordinary circumstances as described in 5.01-5.04 below.

2.04 After the twelfth week of a regular semester or sixth week of an eight-week session (or proportionate periods for block or short courses), but prior to the beginning of Pre-Finals Week, students who drop a course shall be assigned a final course grade of “W” (withdrawn) or “F” (failing) by the instructor at the end of the semester, and grades of “F” will be calculated in grade point averages. After the beginning of Pre-Finals Week (or proportionate periods for block or short courses), students may not drop a course and will be assigned a final course grade by the instructor at the end of the term. Exceptions may be allowed by petition due to extraordinary circumstances as described in 4.01-4.04 below.

2.05 A student may not drop any course in which a formal charge of a violation of academic integrity is pending against the student. If the student is absolved of the formal charge, he or she may drop the course with either a “W” or “F” (according to the drop grade policy) appearing on the academic record. If the student is found to be responsible for a violation of academic integrity, the instructor may take appropriate disciplinary action, including assigning the grade “F” for the assignment or “F!” for the course.

2.06 No course may be dropped without the approval of the student’s academic adviser.

2.07 The deadline for dropping a course that meets on a single weekend is the last business day before the class meets (e.g., Friday before a course that starts on Saturday).

**Cancelling Enrollment and Withdrawing from the University**

3.01 A cancellation occurs when a student drops all classes *before classes begin for the term*. Cancelling enrollment removes all course tuition and fee charges. No grades are recorded, and no record of the enrollment remains on the official transcript. Student requests to cancel enrollment must be received by the Office of the Registrar before the first day of classes for the term. Failing to attend classes or nonpayment of tuition and fees does not constitute notice of cancellation.

Withdrawing from the University occurs when a student drops all classes *after classes begin for the term*. Charges for tuition and fees, and grades recorded for individual courses will follow the drop deadlines outlined in 2.01 through 2.04 above. The withdrawal process is initiated with the student’s academic advisor or in the student academic services office of the of the student’s college. A student may withdraw from the University at any time before or on the Friday prior to the beginning of “Pre-Finals Week” (or proportionate periods in summer or shorter terms).

Students who are enrolled in courses for a summer session and the immediately following fall semester, and who wish to drop their summer courses but remain enrolled for the fall semester are not required to formally withdraw from their summer classes. These students can drop their summer session classes following the guidelines above in 2.01 through 2.04. Students who wish to withdraw from the university during the summer and do not plan to attend in the subsequent fall semester should follow normal withdrawal procedures.

3.02 After the twelfth week of a regular semester or the sixth week of an eight-week session but prior to the beginning of “Pre-Finals Week” (or proportionate periods in summer or shorter terms), a grade of “W” (withdrawn) or “F” (failing) shall be recorded on the student’s academic record as assigned by the instructor of each course at the end of the term, and grades of “F” will be calculated in the grade point average. A student who wishes to withdraw from a term but is prevented from doing so because he/she has completed a pre-session course or a short course during the term will be allowed to drop all courses that have not yet ended during weeks 13 and 14 of the semester (or proportionate periods for block or short courses) under the same “W”/”F” rules and using the same process as if withdrawing.

3.03 After the beginning of “Pre-Finals Week” (or proportionate periods in summer or shorter terms), a student may not withdraw from the University and shall be assigned a final course grade by the instructor of each course at the end of the semester or summer session. Exceptions may be allowed by petition due to extraordinary circumstances as described in 4.01-4.04 below.

**Dropping a Course or Withdrawing from the University After the Deadline (Retroactive Drops/Withdrawals)**

4.01 After published drop/withdraw deadlines have passed, a student may petition to drop/withdraw retroactively under the following or similar conditions:

A. Written verification from a recognized professional (e.g., physician) that the student was physically prevented from dropping or withdrawing due to illness, injury, or personal emergency of the student or a member of the immediate family.

B. Written verification from an appropriate representative or publication of the University proving that the student was given misinformation as to the correct deadline for dropping a course or withdrawing from the University.

C. Written verification from the instructor of record that the student never attended the class (the verification may state that the student neither submitted assignments nor completed examinations).

D. Circumstances beyond the student’s control that have arisen after the deadline.

4.02 Reasons similar to those listed below will not result in approval for petitions to retroactively drop a course or withdraw from the University:

A. Student’s lack of knowledge or misunderstanding of the deadline (when no documented misinformation has been provided by the University).

B. Student waited to get the results of an exam or other assignment.

C. Student’s grades have declined since the deadline.

D. Student does not need the course for graduation.

E. Different deadlines existed at a previous school.

4.03 Process. Exceptions to allow a student to retroactively drop a course or withdraw from the University are permitted within a specific time period and require involvement of the student, a university-wide committee, and the faculty member as described below.

A. Student. A student must submit to the Office of Academic Affairs a completed “Petition to Drop a Course after Deadline” with supporting documentation and signatures of the student’s adviser and Student Academic Services Director.

B. Committee. Petitions for exceptions to the deadline for dropping courses will be reviewed by a university-wide committee as described in 4.04 below. Approved petitions where the circumstances beyond the student’s control clearly occurred *within* the automatic “W” drop period will be forwarded to the Office of the Registrar indicating that the affected grades should be changed to “W.” If the committee approves a petition where the circumstances beyond the student’s control occurred *after* the automatic “W” drop period, then the Office of Academic Affairs will notify the appropriate instructors regarding the committee decision and will ask the instructors to indicate the student’s academic status at the time of the retroactive withdrawal (See section C). It is the responsibility of the Office of Academic Affairs to monitor the receipt of these final grades and forward them to the Office of the Registrar for recording on the academic record.

C. Faculty Member. If the committee approves a drop/withdrawal petition where the circumstances beyond the student’s control occurred after the automatic “W” drop period, then the instructors should indicate the student’s academic status at the time of the retroactive withdrawal: “W” (student passing) or “F” (student failing). The instructors may appropriately consider how the student’s exceptional circumstances may have affected performance, but the ultimate responsibility for grade assignment rests with the instructor. If the student meets the requirements for an incomplete grade, the instructor may also award an “I” for incomplete work. No action is required from the instructors if the committee approves a drop/withdrawal retroactive to the automatic “W” drop period.

D. Deadline. The maximum time period for submitting a petition to drop a course after the deadline is six months after the end of the semester or summer term of the pertinent enrollment. The committee has the authority to review a petition received after the deadline if they determine that extenuating circumstances exist—either circumstances that affected a student’s ability to submit the petition before the deadline or other circumstances that warrant a deadline exception as determined by majority vote of the committee.

4.04 Review Committee. A university-wide committee shall review petitions for exception to the drop/withdraw deadlines (retroactive drops/withdrawals) and shall operate as described below.

A. Composition. The committee will consist of a representative from each undergraduate college, University College Advising, the Graduate College, OSU-Tulsa, the Office of the Registrar, and a member of the Academic Standards and Policy Committee of Faculty Council.

B. Role and Authority. The committee will determine by majority vote whether the student’s circumstances merit the granting of an exception to the drop/withdrawal deadline retroactive to the automatic “W” period. The key questions in determining whether to approve the petition are (1) did the circumstances described prevent the student from dropping the course(s), and (2) why did the circumstances described affect only the course(s) requested to be dropped. The committee may approve specific criteria and guidelines to identify petitions that clearly and without question meet the requirements of section 4.01 and may grant Academic Affairs authority to approve petitions that meet the established criteria. A written summary of petitions that are approved through the expedited process is provided to the committee at their regular meetings.

The committee has the authority to establish procedures for implementing this policy.

C. The decision of the committee is final. Members of the committee have full authority to act on the petitions as representatives of faculty and administration. No appeal exists for the decision of the committee. Students whose petitions have been denied may request an additional review by the committee if new documentation or information regarding the petition is promptly submitted.

**Refunds of Tuition and Fees**

5.01 According to the Oklahoma State Regents for Higher Education, institutions may refund tuition and fees paid by a student who must withdraw from the institution due to hardship or extraordinary circumstances. Students may only petition for a refund of tuition and fees for courses in which they have officially withdrawn – refunds will not be granted for courses with assigned grades. Students with the following or similar conditions may qualify for refunds:

A. Written verification from a recognized professional (e.g., physician) that the student must withdraw because of serious illness, injury, or personal emergency of the student or a member of the immediate family.

B. Written verification from an appropriate representative or publication of the university proving that the student was given misinformation as to the correct deadline for receiving a refund of tuition and fees.

C. On a one-time basis, students who enroll, do not attend/participate in any of their classes during a given term, and fail to cancel their enrollment are generally granted a full refund. However, a non-refundable fee may be assessed because the University has incurred costs associated with advising, registration, and reserving class seats that could not be occupied by other students.

D. Other hardship or extraordinary circumstances that have arisen after the refund deadline.

5.02 Reasons similar to those listed below will not result in approval for receiving a refund of tuition and fees after the deadline:

A. Student’s lack of knowledge or misunderstanding of the deadline (when no documented misinformation has been provided by the University).

B. Student waited to get the results of an exam or other assignment.

C. Student’s grades have declined since the deadline.

D. Student does not need the course for graduation.

E. Different deadlines existed at a previous school.

5.03 Process. Petitioning for a refund after the deadline is permitted within a specific time period and requires involvement of the student and a university-wide committee as described below.

A. Student. A student requesting a refund must submit to the Office of Academic Affairs a completed “Petition for Refund of Tuition and Fees” with supporting documentation and signatures of the student’s adviser, Student Academic Services Director, and instructor(s).

B. Committee. Petitions for exceptions to the deadline for refunds will be reviewed by a university-wide committee as described in 5.04 below. Petitions by this committee are only for the consideration of a refund of tuition and fees. The “W” or other grade notation will remain on the academic record. The committee may approve specific criteria and guidelines to identify petitions that clearly and without question meet the requirements of section 5.01 and may grant the Office of Academic Affairs (together with the OSU-Tulsa Academic Relations Office for OSU-Tulsa petitions) authority to approve petitions that meet the established criteria. The Office of Academic Affairs may refer to Student Affairs petitions that appear to meet the criteria for approval through the Student Affairs Catastrophic Withdrawal process instead of presenting them to the Tuition Appeal Committee. A written summary of petitions that are approved through the expedited process or are referred to Student Affairs is provided to the committee at their regular meetings.

C. Deadline. The maximum time period for submitting a petition for a refund of tuition and fees is six months after the end of the semester or summer term of the pertinent enrollment. The committee has the authority to review a petition received after the deadline if they determine that extenuating circumstances exist—either circumstances that affected a student’s ability to submit the petition before the deadline or other circumstances that warrant a deadline exception as determined by majority vote of the committee.

5.04 Review Committee. A university-wide committee shall review petitions for refunds of tuition and fees after the refund deadline and shall operate as described below.

A. Composition. The committee will consist of a representative from each undergraduate college, University College Advising, the Graduate College, OSU-Tulsa, the Office of the Registrar, the Office of the Bursar, and a member of the Academic Standards and Policy Committee of Faculty Council.

B. Role and Authority. The committee will determine by majority vote whether the student’s circumstances merit the granting of an exception to the deadline for a refund. The committee has the authority to establish procedures for implementing this policy, including the establishment of refund level categories.

C. The decision of the committee is final. Members of the committee have full authority to act on the petitions as representatives of faculty and administration. No appeal exists for the decision of the committee. Students whose petitions have been denied may request an additional review by the committee if new documentation or information regarding the petition is promptly submitted.

**Attachment B – Oklahoma State Regents’ Registration and Withdrawal Policy Summary**

**Summary**

1. The add period is the first two weeks (ten instructional days) of a regular 16 week semester and the first week (five regular instructional days) of an 8-week summer term (the first one-eighth of the term). *Institutions may designate a shorter period for students to add courses.*
2. The drop period is during the first two weeks (ten instructional days) of a regular 16 week semester and the first week (five regular instructional days) of an 8-week summer term (the first one-eighth of the term). Appropriate add/drop charges apply.
3. An institution's withdrawal period for an automatic "W" shall begin after the tenth day of classes in the regular session and the fifth day of classes in the summer term and shall not exceed 12 weeks of a 16-week semester or, in general, not exceed three-fourths of the duration of any term. (These are maximum limits. The State Regents encourage institutions to establish shorter limits.)
4. For any drop or withdrawal accepted after this deadline, a "W" or "F" will be assigned depending upon the student's standing in the class and the institution's stated withdrawal policy.
5. Changes in schedules and complete withdrawals from the institution during the defined add/drop period will result in full charges for courses added and full credit for courses dropped. No refunds will be made after the add/drop period for that session.

**Policy Detail**

3.12.3 Grading Terms

The following types of grading entries with respective definitions will be used for institutional transcript notations:

Grades Used in the Calculation of GPA

Grade Note Grade Point Per Hour

A Excellent 4

B Good 3

C Average 2

D Below Average 1

F Failure 0

1. Other Symbols

I: An incomplete grade may be used at the instructor's discretion to indicate that additional work is necessary to complete a course. It is not a substitute for an "F," and no student may be failing a course at the time an "I" grade is awarded. To receive an "I" grade, the student should have satisfactorily completed a substantial portion of the required course work for the semester. The time limit to satisfy the "I" will be at the discretion of the institution. "I" grades not changed by the instructor to a credit-bearing grade or an "F" within the specified time limit will remain as a permanent "I" and not contribute to the student's GPA.

For students who are members of the active uniformed military service, refer to policy section 3.12.3.B below.

AU: Audit status is used for a student who is not interested in obtaining a course grade, but who is enrolled to get course content knowledge. The allowable time to change an enrollment status from audit to credit will be established by each institution but may not exceed the institution's add period and must be consistent with the State Regents' add period, which is defined as the first two weeks of a regular semester/term and the first week of a summer semester/term. Students who change their enrollment status from audit to credit must meet institutional admission/retention standards, as set by the State Regents. The allowable time to change an enrollment status from credit to audit will be established by each institution, but will not exceed the institution's last date for withdrawal from classes. An AU is GPA neutral.

W: An automatic withdrawal grade of "W" is issued when a student initiates a withdrawal during the institution's allowable withdrawal period. An institution's withdrawal period for an automatic "W" shall begin after the tenth day of classes in the regular session and the fifth day of classes in the summer term and shall not exceed 12 weeks of a 16-week semester or, in general, not exceed three-fourths of the duration of any term. (These are maximum limits. The State Regents encourage institutions to establish shorter limits.) For any drop or withdrawal accepted after this deadline, a "W" or "F" will be assigned depending upon the student's standing in the class and the institution's stated withdrawal policy. If an "F" grade is assigned, it is calculated in the student's GPA; the "W" grade is GPA neutral.

AW: Administrative Withdrawal may be assigned by the Office of Academic or Student Affairs to indicate that a student has been "involuntarily" withdrawn from class(es) after the institution's drop-and-add period for disciplinary or financial reasons or inadequate attendance. Such withdrawals must follow formal institutional procedures. Administrative withdrawals are GPA neutral.

S-U/P-NP: An institution may use the grades "S" or "U" and "P" or "NP" for specified courses or may allow students to elect an "S/U" or "P/NP" option under circumstances specified by the institution. The "S" and "P" are grades neutral indicating minimum course requirements have been met and credit has been earned. The "S" and "P" grades may also be used to indicate credit earned through advanced standing examinations. The grades of "U" and "NP" indicate that a student did not meet minimum requirements in a course designated for "S/U" or "P/NP" grading. While all four grades "S, U, P, N/P" are GPA neutral, they are counted in the total number of attempted hours for retention and the total number of attempted and earned hours for graduation.

P-F: An institution may use Pass-Fail as an option for students in specified courses. The Pass grade indicates hours earned but does not contribute to the GPA. The Fail grade is an "F" and is calculated into the GPA.

N: An "N" grade may be used by an institution to indicate that the semester grade was not submitted by the instructor by the appropriate deadline. The "N" grade must be replaced by the appropriate letter grade prior to the end of the subsequent semester. The "N" grade is GPA neutral.

X: An "X" grade is assigned for graduate thesis or dissertation in progress and is GPA neutral.

1. Leave of Absence Pursuant to Title 70, O.S., Section 3248, State System institutions shall grant a leave of absence, which shall not exceed a cumulative five (5) years, to a student who is a member of the active uniformed military services of the United States and called to active duty. The student shall be eligible to:

1. Withdraw from any or all courses for the period of active duty service without penalty to admission status or GPA and without loss of institutional financial aid (for refund of tuition and fees refer to Budget and Fiscal policy 4.18.4.I); or

2. Receive an “I” for any or all courses for the period of active duty status irrespective of the student’s grade at the time the “I” is awarded; provided, however, that the student has completed a minimum of fifty percent (50%) of all coursework prior to being called to active duty and the student completes all courses upon return from active duty. The student’s admission status and GPA shall not be penalized and the student shall not experience loss of institutional financial aid.

3.19.2 Academic Calendar Definitions

The following words and terms, when used in the Chapter, shall have the following meaning, unless the context clearly indicates otherwise:

“Academic Term” is the time duration of a course schedule, generally a fall or spring semester consisting of 16 weeks, a summer session consisting of four or eight weeks, or an intersession consisting of the weeks between a semester and/or session.

“Drop Period” is in general, the first one-eighth of an academic term.

“Fall Semester” is an academic term that begins mid to late August or early September and ends in December.

“Intersession” is an academic term shorter than a traditional semester or summer session, generally between semesters or between the summer session and spring and fall semesters.

“Semester” is the standard and traditional academic calendar unit which consists of a minimum of sixteen weeks, excluding enrollment, orientation, and scheduled breaks.

“Spring Semester” is an academic term that begins in January and ends prior to the first of June.

“Summer Session” is an academic term that begins about the last week in May or the first week in June and ends late July or early August.

3.19.3 Academic Calendar Standards

The uniform academic calendar for institutions in the State System consists of the fall and spring semesters and a summer session as defined above.

All classes are expected to meet for sixteen weeks, and no institution, academic department, or individual faculty member is authorized to reduce the number of academic weeks in the standard semester without specific approval of the State Regents. Those institutions which reserve the final week of the semester as a testing period shall ensure that all classes meet during the testing period.

The semester-credit-hour is the standard and traditional unit of credit to be used by institutions in evaluating a student's educational attainment and progress. Semester-hour of credit is calculated as follows:

1. One semester-hour of credit is normally awarded for completion of a course meeting for 800 instructional minutes, (50 minutes per week for sixteen weeks), exclusive of enrollment, orientation, and scheduled breaks. Organized examination days may be counted as instructional days
2. Laboratory credit is normally awarded at a rate not to exceed one-half the instructional rate. One semester-hour of credit is normally awarded for completion of a laboratory meeting a minimum of 1600 minutes (100 minutes per week for sixteen weeks).
3. Instruction offered through a combination of class and laboratory meetings would normally observe the standards set forth above on a pro rata basis. For example, a course offered for four semester-hours of credit might meet for 100 minutes of organized instruction plus 200 minutes of laboratory per week for 16 weeks.
4. Block or alternative course schedules may also occur within the dates set forth for a semester or summer session. Courses offered during academic terms shorter than a semester will observe the same academic standards involving instructional hours per semester-credit-hour as those courses offered during a standard academic semester. Institutions are encouraged to be flexible in offering courses in alternative schedules to meet student and employer needs.
5. The drop period is during the first ten regular instructional days of a regular semester and the first five regular instructional days of a summer session, or, in general, the first one-eighth of the academic term. Institutions may also allow students to add courses during this period or a designated shorter period. In either case, appropriate add/drop charges apply. See the State Regents’ Grading policy for timelines for student withdrawal.

4.18.4 General Policies

1. Refunds of Tuition and Fees. The refund policy for tuition and fees collected from students at institutions shall be as follows

1. Withdrawals and Changes of Enrollment. Changes in schedules and complete withdrawals from the institution during the defined add/drop period will result in full charges for courses added and full credit for courses dropped. No refunds will be made after the add/drop period for that session.

2. Return of Title IV Funds for Students Who Cease Attendance. Title 20 U. S. C. § 1091(b), as amended by Section 485 of the Higher Education Amendments of 1998, Public Law 105-244, enacted October 7, 1998, requires that, if a recipient of Title IV grant or loan funds withdraws from an institution after beginning attendance, the amount of Title IV HEA program assistance earned by the student must be determined. If the amount of assistance disbursed to the student is greater than the amount the student earned, unearned funds must be returned. If the amount of assistance disbursed to the student is less than the amount the student earned, the student is eligible to receive a late disbursement in the amount of the earned aid that the student had not received. Each institution shall develop and publish policies and procedures that are in compliance with the above referenced law. Reference: [Federal Register: November 1, 1999 (Vol. 64, Number 210)] and 34 CFR, Parts 668, 682, and 685.

3. Tuition and Fees Applicable Only for Current Semester. Tuition and fees are applicable only for the current semester. If a student withdraws and is entitled to a refund, the amount of the refund cannot be carried forward as a credit to a subsequent session.

4. Refunds for Classes Offered on a Non-Standard Schedule. Institutions may refund tuition and fees paid by a student who must withdraw from a course offered on a schedule that differs from the standard 16-week term or 15-week trimester. Each institution may develop refund procedures for courses offered on a non-standard schedule.

H. Refund of Tuition and Fees for Students with Hardship Circumstances. Institutions may refund tuition and fees paid by a student who must withdraw from the institution due to hardship or extraordinary circumstances. Each institution may develop institutional policy to address the definition of hardship or extraordinary circumstances and refund procedures.

I. Refund of Tuition and Fees for Students Called to Active Military Service. If a student is called to active military service during a term in which the student has not completed an amount of work sufficient to receive a grade, the institution shall refund the tuition and fees paid by the student for the current term.

J. Tuition and Fees Relating to Course Audits. Students permitted to audit courses shall pay the same resident and nonresident tuition, mandatory fees, and academic services fees as required of students who enroll for credit.

**Oklahoma State University Policy and Procedures**

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| **CONFLICT OF INTEREST IN SPONSORED PROGRAMS** | **4-0130****RESEARCH****Date 2020** |

**INTRODUCTION**

* 1. As an institution dedicated to excellence in education, research and extension/outreach, Oklahoma State University (OSU) places a high value on research integrity and academic freedom. Objectivity in the conduct of research, the freedom to disseminate ideas through publication of research results, the protection of the rights and interests of research participants, maintenance of public trust, and the ability to ensure that our responsibility to our students and trainees is not compromised are critical to these institutional values. Relationships with industry and other outside entities, while important to the support and advancement of research, can present special challenges in protecting these institutional values.
	2. It is the policy of OSU that no proposed, awarded, or ongoing research project at the university shall be biased by a significant financial interest of any investigator responsible for the design, conduct or reporting of the research. The purpose of this policy is to assure objectivity in research.
	3. All OSU investigators who apply for or receive funding from any sponsor for a research project will comply with the requirements of this policy and the OSU conflict of interest procedures for Public Health Services (PHS, including NIH) funded research or non-PHS funded research, as applicable.
	4. It is the intent of this policy to provide assurance to investigators, OSU, sponsors of institutional research, and the public, that research activities at OSU will be conducted in a manner consistent with institutional and public values.
	5. This policy applies to all OSU personnel, including, but not limited to, administrators, faculty, staff, post-doctoral fellows, or students with responsibilities for the design, conduct, or reporting of research, either funded or proposed for funding.

**DEFINITIONS**

These definitions apply to terms as they are used in this policy.

**2.1 Conflict Management**. Measures taken to address the risk of bias or the appearance of bias, protect research subjects, and maintain public trust in the institution’s research and its personnel when research personnel may have a real or apparent financial conflict of interest (FCOI).

**2.2 Design, Conduct or Reporting of Research**. Oversight, decision-making or participation in research that includes creating the structure, roles, and/or protocol of a research project; participating in the execution of the research roles and protocol; participating in the publishing, presentation, or discussion of research results.

**2.3 Disclose/Disclosure**. To provide relevant information about research personnel’s financial interests related to a research project to parties internal or external to the institution to assure full awareness of potential conflicts and institutional efforts to address them.

**2.4 External Entity**. Any entity other than the university.

**2.5 Financial Conflict of Interest—**. A Financial Conflict of Interest (FCOI) occurs when a financial interest, or other opportunity for personal financial gain, could significantly and directly compromise or influence the objective design, conduct, reporting or direct administration of research.

**2.6 Financial Threshold.** For personnel on PHS funded awards or cooperative agreements, the threshold for reporting a Significant Financial Interest (defined below) is US $5,000, as per PHS requirements. For all other research, the threshold for reporting a Significant Financial Interest is US $10,000. Some agencies require disclosure of all sponsored travel, as well as equity in non-publicly traded companies, regardless of the dollar value (see section 2.9, item 2 and section 2.10 below).

**2.7 Investigator(s)**. Individuals, regardless of title or position, responsible for the design, conduct, or reporting of a research project. *For sponsored research*: principal investigators, co-investigators, and any other individual named in a sponsored project key personnel list.

**2.8 Management Plan.** See *Conflict Management.*

**2.9 Significant Financial Interest (SFI).** A financial interest consisting of one or more of an individual’s interests (or the interests of a spouse or dependent child) that reasonably appears to be related to an individual’s Oklahoma State University responsibilities:

1. With regard to any publicly traded entity, a significant financial interest (SFI) exists if the value of any remuneration received from the entity in the 12 months preceding the disclosure and the value of any equity interest in the entity as of the date of disclosure, when aggregated, exceeds the Financial Threshold (defined above). For purposes of this definition, remuneration includes salary and any payment for services not otherwise identified as salary (e.g., consulting fees, honoraria, paid authorship); equity interest includes any stock, stock option, or other ownership interest, as determined through reference to public prices or other reasonable measures of fair market value.
2. With regard to any non-publicly traded entity, an SFI exists if the value of any remuneration received from the entity in the 12 months preceding the disclosure, when aggregated, exceeds Financial Threshold (defined above), or when an individual or his or her family holds any equity interest (e.g., stock, stock option, or other ownership interest).
3. Related to intellectual property rights and interests (e.g., patents, copyrights), upon receipt of income related to such rights and interests.
4. As required by the federal regulations and only for personnel on PHS funded awards or cooperative agreements issued on or after August 24, 2012, any travel that is reimbursed or paid on the individual’s behalf, related to the individual’s OSU responsibilities **and** determined by OSU to constitute or contribute to an SFI. This excludes any travel that is reimbursed or sponsored by OSU, a federal, state, or local government agency; a U.S., non-profit institution of higher education as defined at 20 USC 1001(a), an academic teaching hospital, a medical center, or a research institute that is affiliated with an institution of higher education.

The term significant financial interest (SFI) **does not include** the following types of financial interests:

1. Salaries, royalties, or other remuneration paid by OSU to an individual, including intellectual property rights assigned to the institution and agreements to share in royalties related to such rights.
2. Income from investment vehicles, such as mutual funds and retirement accounts, as long as the individual does not directly control investment decisions made in these vehicles.
3. Income from seminars, lectures, or teaching engagements sponsored by public or non-profit entities or income from service on advisory committees or review panels for a federal, state, or local government agency.

**2.10 Travel Disclosure.** Some agencies, including PHS, require the disclosure of all reimbursed or sponsored travel related to an investigator’s Institutional Responsibilities within 30 days of completing travel.

Sponsored Travel means (a) travel expenses paid to an investigator or travel paid on an Investigator’s behalf, in the past 12-month period and (b) travel reimbursed to or paid on behalf of an Investigator’s spouse or dependent child in the past 12-month period ONLY if such travel reasonably appears to be related to the Investigator’s OSU responsibilities. This disclosure requirement does not apply to travel that is reimbursed or sponsored by OSU, a federal, state, or local government agency; a U.S., non-profit institution of higher education as defined at 20 USC 1001(a), an academic teaching hospital, a medical center, or a research institute that is affiliated with a U.S. institution of higher education. The details of this disclosure will include at a minimum, the purpose of the trip, the identity of the sponsor/organizer, the destination, and the duration.

**Policy and Procedures**

**3.1 Conflict of Interest Responsibilities of Investigators**—In addition to other responsibilities as specified in this policy, Investigators shall be responsible for:

1. Reading, understanding, and complying with this policy and with the corresponding procedures, as applicable;
2. Informing all co-investigators, staff, students, contractors, sub-recipients, and other individuals responsible for the design, conduct, or reporting of the Investigator’s research of their obligation to comply with this policy;
3. Cooperating with the Office of the Vice President for Research to ensure compliance with all requirements set forth in this policy;
4. Complying with the terms and conditions of applicable disclosures of Significant Financial Interest and conflict management plans as described in this policy and in the related procedures.

**3.2** **Management of Financial Conflicts of Interest**—The Research Conflict of Interest Officer (RCIO) will be appointed by the Vice President for Research (VPR) to administer the disclosure of Investigators’ SFIs under this policy and the related procedures. The RCIO, at her/his discretion, may refer a disclosure of any SFI to the Conflict of Interest Review Committee (a standing committee, described below) if the SFI has the potential to be categorized as an FCOI.

The Vice President for Research will appoint the members of a standing Conflict of Interest Review Committee, which will consist of at least three (3) members of the OSU faculty, staff or administration with relevant background or expertise, with a tenured OSU faculty member designated as the Chair of the Committee.

The Committee will meet, review all disclosures, and determine if any referred SFI constitutes an FCOI and, if so, what modifications or conditions, if any, should be imposed to manage, reduce or eliminate the FCOI.

The Committee may require the Investigator to submit more detailed information regarding the SFI that relates to the project proposed for funding or awarded and may require the Investigator to meet with the Committee. The Committee will take one of the following actions on each disclosure referred for review:

1. Determine that an FCOI does NOT exist;
2. Determine that an FCOI DOES exist; and
	1. Require modifications, conditions, or administrative oversight to reduce or eliminate or manage each conflict for the proposed project;

***OR***

* 1. Require withdrawal of the proposed project.

Examples of conditions or restrictions that might be imposed by the Conflict of Interest Review Committee include, but are not limited to:

1. Public disclosure of FCOI (e.g., when presenting or publishing the research);
2. For research projects involving human subjects research, disclosure of the FCOI directly to participants;
3. Appointment of an independent monitor capable of taking measures to protect the design, conduct, and reporting of the research against bias resulting from the FCOI;
4. Modification of the research plan;
5. Change of personnel or personnel responsibilities, or disqualification of personnel from participation in all or a portion of the research;
6. Reduction or elimination of the financial interest (e.g., sale of an equity interest); or
7. Severance of relationships that create financial conflicts.

The Conflict of Interest Review Committee will notify the Investigator and the RCIO of the Committee’s decision in writing. If the Investigator does not agree with any modifications or conditions imposed by the Committee or with the Committee’s recommendation that the proposed project be withdrawn, the Investigator will have ten (10) business days following receipt of such notice to appeal the decision to the RCIO. The RCIO will then convene a panel (two or more, depending upon the complexity of the case) of Deans (or the Deans’ designees) who will review the appeal and determine whether to recommend upholding the Committee’s decision or to recommend an alternative decision to the VPR. The RCIO will then communicate the Committee’s original decision, the investigator’s appeal, and the appeal panel’s recommendations to the VPR. Within ten (10) days of receipt of the appeal materials, the VPR will notify the Investigator, the Conflict of Interest Review Committee, and the RCIO of his/her decision in writing. The decision of the VPR will be final.

A copy of any conflict management plan adopted by the Conflict of Interest Review Committee or by the VPR (following an Investigator’s appeal) will be maintained by the RCIO. Any conditions or restrictions to resolve or manage conflicts of interest under the management plan must be implemented before OSU’s expenditure of any funds awarded under a grant or contract.

The Conflict of Interest Review Committee will monitor Investigator compliance with any implemented management plan on an ongoing basis until the completion of the funded project.

**3.3 Retrospective Review**--If an investigator fails to disclose a significant financial interest that the RCIO determines to be a financial conflict of interest related to a particular research project, if the university fails to review or manage a financial conflict of interest, or if an investigator fails to comply with the terms of a conflict of interest management plan, the university will within one hundred and twenty (120) days complete a retrospective review of the investigator’s research to determine whether there was any bias in the design, conduct or reporting of the research. The RCIO will keep a record of the retrospective review and make any necessary reports to funding agencies in accordance with federal regulations.

**3.4** **Maintenance of Records**—The RCIO will maintain records relating to all Investigator disclosures of SFIs and OSU’s actions in response to such disclosures until the later of: (1) at least three (3) years from the date the final expenditure report is submitted to the funding agency, unless the funding agency requires another retention period; (2) the resolution of any governmental action involving such records; (3) the date specified by federal or state law; or (4) any applicable State or institutional records retention schedule.

**3.5** **Enforcement Mechanisms, Remedies and Noncompliance**—The Office of the VPR shall monitor Investigators and disclosures of conflicts of interest to determine compliance with this policy and related procedures.

Failure to comply with this Policy will be grounds for disciplinary action in accordance with OSU Policy Statement to Govern Appointments, Tenure, Promotions, and Related Matters of the Faculty of Oklahoma State University; OSU Policy 3-0720 (for staff) and OSU Student Code of Conduct.

In addition, Investigators may also be subject to criminal sanctions or civil liability under federal or state law. Violations of full and prompt disclosure may result in the loss of grant funding and sanctions regarding future funding from federal agencies. For PHS funded research, Investigators may also be subject to additional remedies as set out in the applicable Conflict of Interest procedure.

**3.6** **Compliance Reporting**—Any suspected violation of this policy and related procedures must be reported to the RCIO, the University Research Compliance Office, or the VPR.

**References**

US Public Health Service—“Responsibility of Applicants for Promoting Objectivity in Research for Which PHS Funding is Sought,” 42 CFR Part 50

National Science Foundation—“Investigator Financial Disclosure Policy,” 60 Fed. Reg. 35820

NSF Grant Policy Manual (NSF 17-1), Conflict of Interest Policies, Chapter IX.

Approved by Board of Regents: September 1996

Revised: April 2006

Revised/Approved by E-Team: August 24, 2012 (Compliance date)

Approved by Board of Regents: September 14, 2012

Revised: Date 2020