4-20-2007

April 20, 2007 Approved Minutes

SWOSU Faculty Senate

Abstract

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I. CALL TO ORDER AND ESTABLISH QUORUM:
The April 20, 2007 meeting of the Faculty Senate was called to order at 2:01 PM in Education 201 with FS President Joseph Maness presiding. The following members were present: Arden Aspedon, Madeline Baugher, Nancy Buddy Penner, Stephen Burgess, Dayna Coker, Viki Craig, Barry Gales, Terry Goforth, John Hayden, David Hertzel, Robin Jones, Kelley Logan, Scott Long, Tami Loy, Joseph Maness, Robbie McCarty, Les Ramos, Randall Sharp, Jeffrey Short, Ethel Simpson, James South, Bill Sticka, Karen Travis, Rob Winslow, Kathy Wolff, Jon Woltz, and Patsy Wootton.

II. CERTIFICATION OF SUBSTITUTES: None

III. ADDITIONS / DELETIONS AND APPROVAL OF AGENDA
The agenda was approved.

IV. APPROVAL OF MINUTES: Minutes of March 30, 2007 meeting
The minutes were corrected and approved.

V. ANNOUNCEMENTS:
A. From FS President Maness:
   1. Randy Beutler is involved in the dedication ceremonies for the Black Kettle Museum at Cheyenne and will not be able to attend today. He will reschedule for August or September.
   2. As of Wednesday April 18 the University has not received information on what our budget will be for 2007-2008. Decisions on tuition cannot be made until we have a budget.
   3. **For Scholarly Activities supported by grant money:** The university must have a scholarly integrity policy in place to retain eligibility for federal grants (NSF, NIH, etc.). Such a policy must include at least the policy from the Public Health Service. The policy submitted to the senate (acted on March 30) was a condensed version of that policy plus the senate requested appeals procedure. Dr. Sonobe and the university attorney have reviewed granting agency guidelines and determined that the proposed policy is required by federal granting agencies. Without such a policy current and future grants could be jeopardized. The executive committee agreed with Dr. Sonobe that the policy university should be implemented with the added appeals procedure.
   4. The tragedy at Virginia Tech University has stimulated an examination of our safety and security procedures. Chief Rick Bolar and a university committee have been preparing and implementing new security policies since last fall. These procedures may involve changes in the way we allow individuals access to classrooms and other university facilities. Dr. Sonobe indicated that there would likely be one or two sessions as part of the Fall Faculty Workshop dealing with faculty responsibilities during armed intruder events and perhaps a session on recognizing and dealing with troubled or potentially dangerous individuals.
5. Commencement is **Saturday, May 12 at 10:00 am** in Milam Stadium. I join President Hays in encouraging as many faculty as possible to attend commencement. Dr. Sonobe and the commencement committee have added few changes in this year’s ceremony.
   - Water will be available under each chair for faculty and students.
   - Students will enter the seating area through of double line of faculty, which will allow us to personally congratulate the students as they pass through. Hugging will have to be brief. I am providing a map of the stadium with the order of march so faculty can line up on the side where their students will be entering.
   - The ceremony will open with the National Anthem.
   - The graduates will be recognized by school this year but next year they will be seated by major (all chemistry majors, art majors, kinesiology, etc.)
   - Encourage students and their families to attend the pre-commencement reception 8-9:30 am in the **Wellness Center**. Faculty will also gather there to form the line of march. Next year there will be a Friday night buffet for students, family, and faculty.
   - Speakers are being asked to limit their remarks to 3-5 minutes.
   - When the President confers the degrees at the end of the ceremony, the graduates will switch their tassels from right to left.

6. Electricity will be off campus-wide **May 18th** – PSO is fixing the power grid.

B. FS Secretary/Treasurer: Dr. Penner:
1. Roll Sheet—please sign.
2. Treasurer’s Report: 
   - BancFirst Checking account balance: $2,010.71
   - University account balance: $129.15
   
   Treasurer’s report was approved.

C. President-elect Dr Jones: None
D. FS Past President Logan: None
E. FS Student Government Representative Sam Jennings:
   1. This is Sam’s last meeting. SGA has a new president and vice-president.
   2. SGA held a tuition hearing on April 18 with Tom Fagan, Blake Sonobe, and Randy Beutler answering question. It was a good meeting. **Bottom line**: tuition is increasing and not fees because most financial aid does not cover fees but will cover tuition costs.

VI. REPORTS FROM STANDING AND AD HOC COMMITTEES:
1. Nominating Committee – Ballot is ready
2. Personnel Policies Committee – Report on Faculty Grievance Procedure (see attached)

VII. UNFINISHED BUSINESS: None

VIII. NEW BUSINESS:
1. Election of Senate Officers for 2007-2008 and University Standing Committee Nominations – Balloting was completed
<table>
<thead>
<tr>
<th>Office or Committee</th>
<th>Name</th>
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<tbody>
<tr>
<td>President-Elect</td>
<td>Les Ramos</td>
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<tr>
<td>Secretary/Treasurer</td>
<td>Nancy Penner</td>
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<tr>
<td>Academic Advisory &amp; Scholarship Council</td>
<td>Warren Akers – 2 years</td>
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<td></td>
<td>Tim Hubin – 1 year</td>
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<td></td>
<td>Jim Long – 2 years</td>
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<td></td>
<td>Helen Maxson – 2 years</td>
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<tr>
<td>Campus Environment</td>
<td>Steve Tinsley – 2 years</td>
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<td>Faculty Development</td>
<td>A&amp;S: Viki Craig – 2 years</td>
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<td></td>
<td>Peter Grant – 2 years</td>
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<td>Sophia Lee – 1 year</td>
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<td></td>
<td>A&amp;AP: Landry Brewer – 2 years</td>
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<td></td>
<td>Pharm: Scott Long – 2 years</td>
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<tr>
<td></td>
<td>P&amp;GS: Audrey Thomson-Elliot – 2 years</td>
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<td></td>
<td>Warren Moseley – 2 years</td>
</tr>
<tr>
<td></td>
<td>Eric Paul – 1 year</td>
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<tr>
<td>Student Center Policy Forming Board</td>
<td>Jane Long – 3 years</td>
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<td></td>
<td>Ralph May – 3 years</td>
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<tr>
<td></td>
<td>Katherine Ott – 3 years</td>
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<tr>
<td>Academic Appeals Committee</td>
<td>Arden Aspedon – 2 years</td>
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<td></td>
<td>Sue Ball – 2 years</td>
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<td>Barry Gales – 2 years</td>
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<td>Jill Jones – 2 years</td>
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<td>Helen Maxson – 2 years</td>
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<td></td>
<td>Lisa Schroeder – 1 year</td>
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<tr>
<td>Appellate Committee on Dismissal of Tenured Faculty</td>
<td>Melody Ashenfelter – 2 years</td>
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<tr>
<td></td>
<td>Arden Aspedon – 2 years</td>
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<td>Barry Gales – 2 years</td>
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<td>Jill Jones – 2 years</td>
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<td>Financial Assistance Advisory &amp; Appeals</td>
<td>Linda Pye – 1 year</td>
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<tr>
<td>Intellectual Property</td>
<td>Faruk Kahan – 2 years</td>
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<td></td>
<td>Ben Welch – 2 years</td>
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<tr>
<td></td>
<td>Lisa Schroeder – 1 year</td>
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<td>Bernhardt Award Selection</td>
<td>A&amp;S: Steve Strickler</td>
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<tr>
<td></td>
<td>A&amp;AP: Bill Swartwood</td>
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<td>Pharm: Virgil Van Dusen</td>
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<td></td>
<td>P&amp;GS: Lisa Appedu</td>
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<td>University Computer/Telecommunication Advisory</td>
<td>A&amp;S: Jane Long – 3 years</td>
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<tr>
<td></td>
<td>Pharm: Michael Deimling – 3 years</td>
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<tr>
<td></td>
<td>P&amp;GS: Eric Paul – 3 years</td>
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2. Revised Faculty Grievance Procedure from Personnel Policies Committee

**FS Motion 2007-04-01:**
It was moved and seconded that the revised Faculty Grievance Procedure be adopted.

The motion passed by voice vote.

3. Intellectual Property Policy (IPP) Revision from University Intellectual Property Committee

**FS Motion 2007-04-02:**
It was moved and seconded that to endorse Intellectual Property Policy (IPP) as presented. (See attached)

The motion passed by voice vote.

4. Questions:
   o Cheryl Leonard is resigning from SWOSU as opposed to retiring. Should she be included in the retirement reception?
   o How is double/second major counted? President Maness will inquire.

IX. ADJOURNMENT:

*Next Faculty Senate meeting: 2:00, 4 May 2007, Location—Education 201*

Retiring Senators should attend to conduct any unfinished business and to introduce new senators. Retiring Senators will be recognized for their service.

________________________________  _________________________________
Joseph Maness, President     Nancy Penner, Secretary
FACULTY GRIEVANCE PROCEDURE

The purpose of this procedure is to provide an open and orderly process for faculty members who wish to seek resolution to a grievance.

(a) Who May Use Procedure. This grievance procedure shall be available to any full-time or part-time faculty member at Southwestern Oklahoma State University who feels that he/she has sustained a grievance relating to personal, professional, or administrative misconduct.

(b) Informal Resolution. Individuals having a grievance must first raise it with their department head/chair, academic dean, administrative supervisor, or the Affirmative Action Officer (AAO). In the event one of the aforementioned individuals is the subject of the grievance then one may, but need not, raise the complaint with that individual. Informal resolution to a grievance may also be sought through mediation, with the Faculty Senate President serving as mediator. Mediation or attempted mediation does not preclude the filing of a formal grievance.

(c) Filing of Grievance. The grievant is responsible for stating in writing and in full particularity the grounds upon which the alleged grievance is based, the remedial relief sought, and all steps taken to date to resolve the alleged grievance and obtain the relief sought. The grounds for the alleged grievance may not be changed after the filing of the grievance with the Faculty Senate President. The Faculty Senate President may assist the grievant in identifying and clarifying grounds for a grievance, and is responsible for immediately notifying both the Provost and the respondent of the grievance once it is prepared. Where more than one type of grievance is present (i.e. sexual harassment and violation of due process), the grievant must specify all the grounds of the grievance of which the grievant should have reasonably known at the time of filing. A grievance with multiple grounds is heard by one hearing committee, which hears all aspects of a particular grievance.

(d) Timing of Grievance. A grievance must be filed with the Faculty Senate President within 180 calendar days from the date on which the faculty member knew or reasonably should have known of the alleged violation or incident giving rise to the grievance. All other time periods may be extended by mutual agreement of the parties involved.

(e) Withdrawal of Grievance. The grievant may withdraw the grievance at any point prior to the adjournment of the formal hearing by notifying in writing the Faculty Senate President. Once withdrawn, the same grievance may not be resubmitted under this grievance procedure.

(f) Confidentiality of Proceedings and Records. Investigators and members of the hearing committee are charged individually to preserve confidentiality with respect to any matter investigated or heard. A breach of the duty to preserve confidentiality is considered a serious offense and will subject the offender to appropriate disciplinary action. Parties and witnesses also are admonished to maintain confidentiality with regard to these proceedings.

Except for those cases in which grievances go to a hearing, all records of administrative investigation with regard to discrimination, sexual harassment, or racial and ethnic harassment shall be transmitted to and maintained by the Affirmative Action Officer as confidential records. All records of administrative investigation for other grievances will be maintained as confidential records by the administrator involved. Refer to section (l) for disposition of records.

(g) Faculty Grievance Board. The Faculty Grievance Board (FGB) is a standing pool of 20 full-time tenured faculty members whose duties are primarily non-administrative. The members of the pool will be elected by the Faculty Senate and will serve staggered two-year terms. The pool must have members from each College at the university. By October 1 of each year, the pool will elect a Chair from among its members who have served for one year or more. Once selected for the pool, faculty members are expected to serve unless illness or necessary absence from campus prevents service.

(h) Pre-Hearing Process.

(1) Selection of Hearing Committee. The Faculty Senate President will notify the Chair of the Faculty Grievance Board and the respondent(s) of the grievance when it conforms to paragraph (c). The Faculty Senate President will provide the parties with a current roster of the FGB members. The Hearing Committee, which shall serve at the pre-hearing and at the formal hearing, if convened, will be selected as follows:

   a. Within 5 classroom days of receipt of the roster, the grievant and respondent shall each select three names from the FGB pool. If there are multiple respondents who cannot agree or if a party fails to respond,
the Faculty Grievance Board Chair may select the remaining Hearing Committee members by lot. The Faculty Grievance Board Chair will serve as the seventh member and chair of the Hearing Committee.

b. Any member of the FGB selected to serve on a Hearing Committee who is a member of the same academic unit or related by consanguinity or affinity to the respondent or the grievant shall be disqualified from serving on the Committee.

c. Prior to the commencement of the pre-hearing and/or the formal hearing, members of a Hearing Committee who, by reason of disqualification, illness, or absence from campus, are unable to serve, shall be replaced immediately. The replacement shall be selected by the party whose initial selection was eliminated or by the Committee if the Chair is the member being replaced. After the commencement of the pre-hearing and/or hearing, the Faculty Grievance Board Chair will determine whether the member should be replaced or if the hearing shall continue without a replacement. If the absent member is the Faculty Grievance Board Chair, the Hearing Committee will select a chair from the members of the pool who have served for one year or more.

(2) Pre-Hearing. Within 10 classroom days of the selection of the Hearing Committee, the Faculty Grievance Board Chair will schedule an orientation/pre-hearing.

a. The Faculty Grievance Board Chair will orient the Hearing Committee.

b. Each party will present its case to the Hearing Committee. No witnesses or evidence will be heard at this pre-hearing. Although advisers may be present at the pre-hearing, they may not directly address the Hearing Committee. If the Committee determines that no further hearing is warranted, the matter is ended. If the Committee determines that a formal hearing is warranted, the matter shall proceed as outlined below. The Faculty Grievance Board Chair will make a written report to the grievant and respondent(s) within two classroom days after conclusion of the Pre-Hearing. This written report will only contain the final vote of the Committee.

(i) Formal Hearing Process. All matters brought to a formal hearing shall be handled according to the following procedures, which are designed to ensure fairness and academic due process:

(1) Within 5 classroom days following receipt of the Hearing Committee's pre-hearing conference determination, the grievant shall present to the respondent and the Faculty Grievance Board Chair:

a. Relevant Southwestern Oklahoma State University rules or policies involved.

b. A summary of the evidence upon which the grievance is based and an initial list of witnesses to be called.

(2) The respondent shall review the materials (listed in (a) and (b) above) submitted by the grievant and present a written reply within 5 classroom days of delivery. The reply shall summarize the evidence to be used to refute the charges and shall include an initial list of witnesses to be called.

(3) Within 5 classroom days after the deadline for the respondent's summary of evidence and list of witnesses, the Hearing Committee will announce when it will convene for its initial hearing. That hearing must be scheduled within the following 20 classroom days.

(4) Any party, whether grievant or respondent, may bring an adviser.

(5) The University will defend and be responsible for any monetary damages that might be awarded against one or all of the Hearing Committee members as individuals or as a Committee for actions taken in good faith, in their official capacity, and in the scope of their authority while acting as Committee members, as provided in the Oklahoma Governmental Tort Claims Act.

(6) At this point, the grievant and the respondent, working with the Faculty Grievance Board Chair, shall, as completely as possible, arrive at an agreement on procedures and the formulation of charges. Oral discussion shall be followed by an exchange of memoranda indicating the understanding that each party has of the conversation.

(7) If the respondent or grievant fails to cooperate with the Hearing Committee or the respondent defaults at the hearing stage but denies the charges or asserts that the charges do not support a finding of adequate cause, the
Hearing Committee will evaluate all available evidence provided by the parties and base its recommendation upon the evidence in the record.

(j) Hearing Regulations. The grievance process is a lay process relying on peer review. The intent of this process is to avoid excessive legalism in deference to the common sense, sound judgment, good character, and sense of fairness of each Hearing Panel. The procedures should strive to diminish formality and rigidity and avoid emulation of a trial in a courtroom. The purpose for a system of internal review is to effect a just and fair disposition of a grievance.

The following regulations shall apply to the hearing:

1. Both grievant and respondent shall have the right to be present and be accompanied by a personal adviser throughout the hearing. The Hearing Committee also shall have the right to have its legal adviser present throughout the hearing.

2. The hearing shall be closed unless all principals in the case request it be open.

3. The Committee shall proceed by considering the statement of grounds for grievances already formulated and the response written before the time of the hearing. If any facts are in dispute, the testimony of witnesses and other evidence concerning the matter shall be received.

4. Both parties shall have the right to present, examine, and cross-examine witnesses. However, advisers may not examine or cross-examine witnesses.

5. No university employee, regardless of position, shall be excluded or excused from appearing before the committee, if called.

6. The principle of confrontation shall apply throughout the hearing, and the grievant shall bear the burden of proof, which shall be by a preponderance of the evidence.

7. An audio recording of the hearing will be made. The Faculty Grievance Board Chair will arrange the recording. The audio recording shall be made available in identical form and at the same time to the Hearing Committee, the University President's Office, and the principals in the case upon their request. The full cost of the audio recording shall be borne by the University; the cost of duplication may be charged to the requesting party.

8. The full text of the findings and the conclusions of the Hearing Committee shall be made available in identical form and at the same time to the University President's Office and the principals in the case.

9. The Committee may proceed to its findings, conclusions, and recommendations without having the record of the hearings transcribed, or it may await the availability of a transcript of the hearings if it feels its decision would be aided thereby.

(k) Disposition of Charges. The Hearing Committee normally will communicate its findings, conclusions, and recommendations in writing to the parties involved and the University President within 15 calendar days of the conclusion of the hearing. The University President will then report to the parties and the Hearing Committee his/her decision in a timely manner.

If the case under consideration involves alleged violation of academic freedom or academic due process and if the Committee finds that academic freedom or academic due process has been violated, it must recommend that any professional or personnel decision affected by the violation be initiated anew from the point of violation. The Committee also may recommend necessary remedies appropriate to the case.

(l) Disposition of Records. Upon conclusion of any hearing (or pre-hearing if the process does not result in a hearing), the Faculty Grievance Board Chair shall remove all identifying characteristics from the agreement on procedures and shall forward this document and all other records related to the grievance to the Provost. Agreements on procedures and all other records will be maintained in a file in the Office of the Provost and will be available to the grievant, respondent, members of the Hearing Committee, and university attorneys upon request. Audio recordings of the hearing will be stored in the Office of the Provost for five years or in accordance with the Oklahoma Records Management Act, 67 O.S. §201 et seq. whichever is longer. In the case of hearings involving discrimination or harassment, copies of all transcripts and documents will be filed with the Office of Affirmative Action.
Southwestern Oklahoma State University
Intellectual Property Policy

Preamble

Southwestern Oklahoma State University (SWOSU) hereby adopts the following intellectual property policy for Southwestern Oklahoma State University, to include its main campus in Weatherford as well as its branch campus in Sayre, hereinafter collectively referred to as the University. Intellectual property is the inherent value produced by human creativity and invention, protected by law from unauthorized exploitation by others, and includes patents, copyrights, trademarks, and other proprietary information. Southwestern Oklahoma State University is committed to providing an environment that supports the research, pedagogical, and service activities of its faculty, staff, and students. The University is committed to the creation and dissemination of knowledge not only to the students attending the University but also to the larger society. SWOSU’s Intellectual Property Policy (hereinafter referred to as the IPP) is intended to encourage a healthy system of rewards and incentives for the creation of intellectual property while at the same time giving proper consideration to the responsibilities that the University has as a public university. The Intellectual Property Committee (hereinafter referred to as the IPC) hereby articulates three components of its IPP: (1) Patents, (2) Copyrights, and (3) On-Line or Web-Based Intellectual Property. SWOSU’s IPP has been developed with the intent to promote and encourage excellence and innovation in scholarly research, teaching, and service by identifying and protecting the rights of the University, its faculty, staff, and students.

1.0 Policy Application

This policy applies to all full- or part-time employees, including students, who create intellectual property related to the scope of their employment while under contract or an employee-at-will with the University. This policy also clarifies rights pertaining to student academic creations.

For the purposes of this policy, “Employee” shall be defined as any person receiving compensation for service, or any person volunteering services for the benefit of the University. Employees shall include, but shall not be limited to, faculty, administrative and professional personnel, classified staff, research fellows, staff assistants, and student employees. “Faculty” shall be defined as permanent and temporary teaching, emeriti, research, service, extension, library, or student affairs appointment faculty, graduate teaching and research assistants, visiting scholars, and faculty on sabbatical leave. The uncompensated activities of students in furtherance of their education shall not be considered service that benefits the University within the meaning of this policy unless an agreement exists to the contrary. However, students engaged in projects on a pro bono basis and/or not performing a function in furtherance of their education while working in conjunction with an employee and/or faculty member will be subject to the same terms and conditions as those viewed as employees and faculty for purposes of this policy.

All employees accept the terms of this policy as a condition of employment or gratis association. Employees shall agree to execute an assignment of their future patentable works and discoveries to the University. This policy may be modified by the administration with approval from the President after consulting with the IPC.

This policy is applicable to not only all persons employed full-time or part-time by the University but also to any persons using University facilities under the supervision of University personnel unless special terms for management of the work of such individuals are negotiated by the University or the applicable University component.

2.0 IPC and University President’s Role Re: Intellectual Property

The President, in conjunction with the IPC, shall be responsible for the administration of this policy and applying the policy equitably across the campus. The President shall be responsible for registering and enforcing the University’s intellectual property interests.

If IPC advises the President that institutional sponsorship, external sponsorship, or substantial use of institutional resources were involved, the President will indicate in a reasonable time whether or not the institution intends to hold and pursue its rights. If the IPC recommends that the institution waive all claims, the President will indicate whether or not he/she concurs and whether or not the institution waives all claims.

Based upon the recommendation from the appropriate dean or supervisor, the IPC will review the technical merit and also the market and commercial potential of inventions, discoveries, and creations developed within the University community by employees and students. The recommendation of the IPC will be forwarded to the
The President or his/her designee will promptly notify the creator(s) of the IPC decision. The President’s decision on all matters related to patents and submitted from the IPC will constitute final administrative action.

The IPC serves as an advisory committee to the President on all matters regarding University intellectual property issues, especially with regard to University policy on these matters. All members of the IPC shall hold confidential all matters coming before the committee regarding specific intellectual property. IPC members will be appointed by a method determined by the University and the Provost will appoint the Committee Chair. Members will be chosen to assure expertise appropriate to the charge of the committee.

The IPC shall review and recommend to the President or his/her designee the procedures for the implementation of this policy; shall: resolve questions of intellectual property ownership that may arise between the University and its faculty, staff, or students; recommend to the President the expenditure of the established University Research Account; and make such recommendations as are deemed appropriate to encourage disclosure and to assure prompt and expeditious handling, evaluation, and prosecution of intellectual property opportunities.

3.0 General Definitions

3.01 Intellectual Property

Intellectual properties are products of the human intellect that are unique, new and innovative, have some value in the marketplace, and the creation of a single person or a team. Intellectual property can be an idea, an invention, a patented work, an expression or literary creation, a copyrighted work, a trademark (unique name), an industrial process, a composition of matter, a medicinal formulation, a computer program, a presentation, or data of digital magnetic origin.

3.02 Substantial Use of University Resources

Intellectual Property that is not produced as a “work(s) for hire,” but is a work that is developed with integral and substantial use of funds, space, hardware, or facilities administered by a University component, where use is substantial rather than incidental, shall be owned by the University unless otherwise directed by this policy. Substantial use of University resources has occurred where the University has provided support for the creation of the work with resources of a degree or nature not routinely made available to faculty or non-faculty employees. Substantial use of University resources may include but is not limited to:

A. Waiver of fees normally required to use specialized facilities such as equipment, production facilities, services laboratories, specialized computing resources and studios;

B. Institutional funding or gifts in support of the work’s creation; and

C. Reduction in levels of teaching, service or other typical University activities (e.g.; course load, student advising responsibilities, division/department meetings, office hours, administrative responsibilities).

Ordinary or limited use of computers, laboratory space, libraries, office space or equipment, routine secretarial services at routine levels, telephones and other informational resources shall not be considered substantial use of University resources.

The University does not claim rights in intellectual properties for which no equipment, supplies, facilities or proprietary information was used and which was developed entirely on the employee’s own time.

3.03 Work(s) for Hire

The University shall retain ownership of intellectual property created as institutional rather than personal efforts, that is, created for institutional purposes in the course of the creators’ employment, including but not limited to simultaneous or sequential contributions over time by numerous faculty, staff or students. For instance, work assigned to programmers is institutional work or “work(s) for hire” as defined by law, as is software developed for University purposes by staff working collaboratively.

Institutional works are works commissioned by the university and include but are not limited to: brochures, training programs, CD-ROMs, videos, and manuals that staff members are hired to develop. Works created by staff on their own time are not “work(s) for hire.” If the University so chooses, it may release a
“work(s) for hire” back to the staff member who created it. Works commissioned by external sources are not works for hire unless substantial university resources are used to produce the intellectual property.

4.0 **Patents**

Employees of the University may create patentable discoveries. Faculty and staff members of the University are encouraged to undertake creative endeavors and to receive recognition therefore. It is desirable in the public interest in some cases to seek University intellectual property protection for these works and discoveries. Commercialization through licensing the use of the property provides an opportunity for both income to the inventor and support for further University research and scholarship.

The University is dedicated to instruction, research, and the extension of knowledge to the public. It is the policy of the University to carry out its scholarly work in an open and free atmosphere, and to publish such results. Research done primarily in anticipation of profit is incompatible with the aims of the University. However, the University recognizes that patentable inventions are conceived or created during the course of research conducted by faculty and students using University facilities. This policy has been established to ensure that those inventions and materials in which the University may have an interest will be utilized in a manner consistent with the public good, through patents or otherwise.

The individual or individuals who make the discoveries or inventions which become the property of the University under this policy will share in income derived by the University from the marketing of such inventions and patent rights based thereon according to such terms as set out below. (See Section 4.04.) Discoveries or inventions made or created by employees, faculty, students, and staff of the University and the funds derived from such discoveries or inventions will be used to further the research enterprise of the University. The University through its President, or an officer of the University designated by the President, may recognize a contract with patent service organizations, such as, for example, University Patents, Inc., or Research Corporation, in regard to obtaining, maintaining and marketing of patent rights (domestic and foreign) based on discoveries or inventions which are or shall become the property of the University pursuant to this Policy. (It is not contemplated that the Patent Policy shall extend to and include questions of copyright ownership.)

4.01 **Patentable Inventions**

A. **Patent**

An invention may be a design, process, code, biological material, an industrial process, a composition of matter, a medicinal formulation, a computer program, a presentation, data of digital magnetic origin or device that shows novelty, usefulness, and non-obviousness. As such, a patent is a property right granted by the United States, which gives the holder the exclusive right to exclude others from the manufacture, use and sale of the invention in the United States for a period of time. As property, it may be sold or assigned, pledged, mortgaged, licensed, willed, or donated, and be the subject of contracts and other agreements. When an inventor secures a patent, he or she has the opportunity to profit by the manufacture, sale or use of the invention in a protected market or by charging others for making or using it. Patents may also be obtained in other countries, and foreign patents are often important for commercial development.

Federal law governs the creation of intellectual property. The United States Constitution, Article III, Section 8, gives to Congress, in order “to promote the progress of science and the useful arts, the power to grant, for limited periods of time, to authors and inventors, the exclusive right to their respective writings and discoveries.” The Patent Act, in Title 35 of the United States Code, sets out the requirements by which inventors of new and useful processes, machines, manufacturers, or compositions of matter may obtain patent protection.

B. **Marketable Software**

Some software embodies algorithms that can be the subject of a patent, which provides broader protection than copyright but at a greater expense. Any software that may fall into this category should be treated as an invention and handled by its inventor and the University as described in this policy.
4.02 Patent Ownership and Management

Ownership of intellectual property implies responsibility and liability as well as the right to control its use. The owners of intellectual property as described in this document will take reasonable precautions to assure the proper use of materials for which they or others hold ownership.

The rights to patentable inventions resulting from University-sponsored research will be assigned to the University. The University may seek and hold patents and copyrights, assign its rights, and execute royalty-sharing agreements. The University may, at its discretion, waive its rights in favor of the inventor. If it retains the rights, the University will execute an agreement with the inventor(s) providing for royalty payments on income derived from the patent.

The University shall own the rights to all patentable property and other tangible research and scholarship developed as a result of University employment, or when the equipment, supplies, facilities, employee time or proprietary information of the University are used. After the employee terminates his or her employment at the University and is reemployed elsewhere, the University retains ownership of subsequent inventions where the invention is the direct outgrowth of the University’s business or University research and development.

Patents and discoveries in which the University has a property interest will be assigned to and managed by the University regardless of the allocation of ownership and royalty interests.

All inventions or discoveries made or conceived by University employees or students shall be disclosed in accordance with this policy. The individual responsible for such invention or discovery shall adequately demonstrate the relative extent to which the inventor’s personal time and resources and the University’s resources, facilities, and materials were utilized. In each instance in which it is adequately demonstrated that such invention or discovery was made exclusively on personal time, utilizing no University resources, facilities or materials, the University shall acknowledge in writing that the invention is the exclusive property of the inventor.

If an individual so desires, however, inventions or discoveries made exclusively on personal time, utilizing no University resources, facilities, or materials, may be assigned to the University for patent evaluation, registration, administration or protection.

After consultation with the inventor, the University may, in its sole discretion and upon such terms as it deems appropriate, cause any rights, which it may have to a discovery or invention to be released and transferred to the inventor. Such action may be expected if the University believes that a discovery or invention is one that is non-patentable or that it does not warrant further evaluation as to patentability, or if a discovery or invention is returned to the University after negative evaluation by its patent evaluation agent(s), if any. In the event of an assignment or release, the University shall retain a royalty-free perpetual non-exclusive license for the use of any such invention or discovery.

A. Non-Government Sponsored Research

The University must ensure that its facilities and the results of the research of its employees and students are applied in a manner which best serves the interests of the public. Likewise, the legitimate interests of a private sponsor who provides financial or other support to research carried out by or through the University must be considered. The University will normally reserve ownership of patents on inventions arising out of research supported in whole or in part by grants or contracts with nongovernmental organizations or firms. Contracts or agreements which are entered into between the University and nongovernmental organizations or agencies should contain clauses setting forth such a reservation, unless deviations are requested by the sponsor and approved by the University President. In the interest of fair treatment to the sponsor and in consideration for such sponsor’s investment, special provisions regarding patent rights may be negotiated by the University, provided that the University retains the perpetual, non-exclusive right to use the invention for its own research, educational, and service purposes, without payment of royalty fees. In such cases, in the interest of discharging the University’s obligation to the public in the application of its facilities and its employees’ and students’ time and talent, the University will require the sponsor to use due diligence in the commercial use of the invention, and the University will retain the right to publish the results of the research involved after a period of time reasonably necessary to protect the rights of the parties and to allow for the filing of a patent application.
B. Sponsored Research

The term “University-sponsored research” includes not only research covered under an official University research contract, but also any research-like activity or other creative endeavor carried out by employees in the course of their official duties or responsibilities, or any activity that makes “substantial use of institutional resources.” Substantial use of institutional resources will mean that for the project that produced the intellectual property the creator received staff, salary or material support beyond that normally provided to the creator at the University. Should a question arise about whether support is beyond the norm, a written statement will be obtained from the appropriate dean or supervisor concerning level of use of University support and facilities.

Where the invention has been developed through research sponsored by a grant or contract with the federal or state governments (or their agencies), it must be reported to the agency and the agency joins the University to determine distribution of the rights in the invention, to determine if patent prosecution should be sought, and how the patent should be administered or disposed of in the public interest.

Under the federal patent and trademark legislation of 1980 (35 U.S.C. Section 200 et. Seq.), the University has the right of first refusal to title in inventions made in the performance of federal grants and contracts. The University will assert title to and attempt to license inventions made with federal government funds so that the Congressional purpose of fostering the development of industry in the United States will be furthered.

4.03 Allocation of Patent Costs and Licensing

In the event that intellectual property matters referred to the IPC show University ownership interest and commercial potential, the IPC will recommend appropriate allocations of ownership, revenues or royalties, and control of ancillary rights based on this policy.

For inventions to reach the marketplace for the benefit of society, the cooperation of industry is necessary. A patent license allowing a company to use an invention formally establishes this cooperation. The University will determine to whom the license will be granted and will likewise be responsible for enforcing all agreements under the license.

4.04 Revenue Sharing: Distribution of Income

All monetary proceeds from commercialization of University-owned inventions are the property of the University. The University will collect and distribute royalties, fees, equity interests, or dividends to inventors and the University in accordance with procedures established by the University.

When the University obtains any revenue from the assignment or licensing of any patent, revenue sharing will begin only after the University recoups its out-of-pocket costs uniquely associated with patenting the invention. The University underwrites all costs of obtaining a patent and of legal counsel retained for that purpose. The remainder of any shared revenue, less a portion (no greater than 50%) that may be retained by the University to fund its operations, will be used to sponsor further research and research-related activities in the University.

Net royalties, after the University is reimbursed for patent costs, are divided among the University and the inventor. The University will distribute net income according to the following schedule:

<table>
<thead>
<tr>
<th>Cumulative Net Income</th>
<th>Inventor</th>
<th>University</th>
</tr>
</thead>
<tbody>
<tr>
<td>$1-$10,000</td>
<td>100%</td>
<td></td>
</tr>
<tr>
<td>$10,001 - $200,000</td>
<td>50%</td>
<td>50%</td>
</tr>
<tr>
<td>Above $200,000</td>
<td>60%</td>
<td>40%</td>
</tr>
</tbody>
</table>
With consideration to other University priorities and policies, the University will distribute a portion of its share, no less than 50%, to a University Research Account, to be established for the advancement of research and for promoting other faculty and staff inventions.

The University’s share of income accruing from patents (net of costs incurred for obtaining, licensing, or administering the patents and copyrights) is to be deposited in a restricted account as mentioned above. Funds in this account are to be used solely for the enhancement of research.

In the case of projects sponsored in part by an outside party or individual, a written contract will be made between the University and the cooperating agency or organization. In the case of a research project where all costs, including overhead, salary of the investigator, reasonable rent on the use of equipment, etc. are paid by an outside party, the outside party and the University may negotiate the allocation of all patent rights prior to the provision of a funding by the outside party. The University will reserve the right of the creator(s) to publish all data of fundamental value to science and technology.

In the event of multiple inventors, the inventors will agree among themselves as to the distribution of the income accruing to the inventors; distribution of the inventors’ share shall be made only upon receipt of a signed agreement or legal determination among the inventors.

4.05 Personnel Obligations: Reporting Requirements

A. Disclosure:

Based on the provisions of this policy, the creator(s), along with the department head, director, or dean, will make an initial determination of the commercialization and marketability potential of an invention or discovery. Where such potential is deemed to exist, the creator(s) will present a Disclosure of Intellectual Property form to the IPC. The form is available on the University website. The form asks for such information as a description of the invention, names and contact data for everyone involved in making the invention, funding sources for the research that led to the invention, prior publications or public descriptions of the invention, and commercial contacts in the field of the invention. All individuals whose discoveries and inventions are covered by this policy have a duty to promptly disclose the same to the IPC. The duty of disclosure arises as soon as the individual has reason to believe, based on his or her own knowledge or upon information supplied by others, that the discovery or invention may be patentable. Certainty about patentability is not required before a disclosure is made.

Individuals shall execute such declarations, assignments, or other documents as may be necessary in the course of patent evaluation, registration, administration, or enforcement in order to ensure that title in such inventions shall be held by the University, or by such other parties as may be appropriate under the circumstances.

The IPC will recommend to the President whether or not the University should pursue a patent application on the subject invention. Upon consideration of the IPC recommendation, the University is free to pursue a patent application or to waive its rights to the invention subject to the rights of any sponsor. The creator(s) will be notified of the University’s decision to pursue patent application or waive its rights, within three months of submission of the disclosure to the IPC. If the University waives rights, or if a patent application is not initiated within six months of the disclosure, the creator(s) will be free to patent the invention or publish any of the data pertaining to the disclosure. In such case, however, the University does not relinquish its right to the data obtained in the research project.

B. Avoidance of Conflicts:

Conflicts involving patentable inventions and discoveries may arise when University employees or students enter into personal consulting agreements with outside firms and organizations. The agreements which business firms generally wish to have executed by those who are to serve in a consulting capacity frequently contain provisions requiring the licensing or assignment of the consultant’s inventions and patents to that business firm. Such provisions may apply to areas in which the individual’s University work lies, and thus may come into conflict with the terms and conditions of this policy.
Prior to signing any consulting agreement which deals with patent rights, trade secrets, or the like, if any University time, facilities, materials or other resources are to be involved in the carrying out of such consulting work, University employees or students must submit the proposed agreement to the IPC and obtain a waiver of University rights, or otherwise modify the agreement to conform with this policy.

It is the policy of the University that the investigator(s) must disclose any substantial interests that would reasonably appear to directly or indirectly and substantially affect the design, conduct, or reporting of sponsored activities funded or proposed for funding by an external sponsoring agency.

C. Assistance:

Inventor involvement is important to the entire patent and licensing process. Degree of involvement varies according to the nature of the invention and creator availability and interest. Creator(s) expertise is especially helpful during the evaluation for patentability, in the patent application process, in identifying licensing prospects, and in meeting with companies expressing interest. Inventors typically provide technical evaluation of previous patents and publications in their field, supply information to the patent attorney and review draft applications and responses to government actions, and discuss technical aspects with interested companies. Regardless of the amount of involvement, inventors are kept informed of the evaluation process and any actions taken, and their input is considered in making decisions about the University’s protection and licensing of the invention. However, final responsibility for such decisions rests with the University President. The disclosure evaluation process may take anywhere from a week to three months, and possibly longer, depending on the complexity of the invention and the target industry. After filing a patent application, it can take from one to three years for the patent to be issued or denied by the U.S. Patent and Trademark Office. It may take five years or longer for commercial sales to begin, depending on how much work needs to be done to develop and market a product based on the invention. It may be as long as eight years after an invention is disclosed before significant royalties on sales are received.

4.06 Confidentiality Requirements and Agreements

A major function of the University is the advancement and dissemination of knowledge. Any practice that unnecessarily restricts the publication or results of scholarly scientific work is to be avoided. It is recognized, however, that the full development of useful inventions or discoveries may be dependent upon the securing of patent protection that will enable the commercial utilization of the discoveries or inventions. Accordingly, under certain circumstances it may be necessary to delay for a minimum period the publication of results of research.

Once an invention is identified as potentially patentable, premature publication, public use, or disclosure of an invention can jeopardize the rights of the employee, or the University or its assignee to secure patent protection—particularly patent protection in other countries. In close consultation with the employee inventor and for the benefit of employee inventor, University, and possible Licensee, there shall be no publicity or disclosure concerning the invention until patent applications have been filed. The IPC shall act in a timely fashion in such cases so as to not unreasonably delay employee publications. All publicity, public reports, interviews, news releases, speeches, public disclosures, or public demonstrations of the invention subsequent to the filing of the application shall have prior clearance in writing from the University or its assignee. This section shall not be applicable to sponsorship agreements that impose different obligations on disclosure.

In the course of patent discovery, faculty may desire to publish a scholarly article regarding the novelty, utility or nonobviousness of the invention under United States patent law. Seeking a patent for discovery does not prevent publication, and in most cases, does not delay publishing. However, to retain the potential for foreign patents, a U.S. patent application must be filed before any description of the invention is publicly disclosed in an article, abstract, poster, thesis or oral presentation, or other public format. To find out if a discovery is patented, contact the IPC. The Committee will work with outside patent attorneys to accommodate publishing dates. The best results are achieved, however, if a description of the invention is submitted at least three months in advance of the first public disclosure, to allow time to assess patentability and commercial potential and to draft a patent application.

Apart from publishing issues, it is important to keep thorough records in the form of bound lab notebooks that record ideas and experiments and note independent witnesses to successful results. A standard
Confidentiality Agreement should be considered when sending unpublished confidential information to a company. Additionally, a Materials Transfer Agreement (MTA) should be considered when sending proprietary samples (e.g., biological materials) to a company. When obtaining sample material from companies or other universities, the employee may receive a MTA to be signed and returned. Forward these MTA agreements to the IPC for review and the authorized University signature.

4.07 Appeal Process

If there is a question of ownership, the IPC will determine whether the University, the employee, the University and the employee jointly, or an outside sponsor, owns the potentially patentable property. The IPC may determine that the employee or sponsor is a partial owner of the intellectual property with the University in cases where it would be unfair to determine that the property is wholly owned by the University, e.g., when an employee disclosed discoveries that occurred before employment with the University or when the sponsor’s employees have contributed to the invention. In such cases the IPC shall notify the previous employer (if any) and negotiate percentages of respective ownership. If the IPC deems it to be in the best interests of the University to release its rights to the invention, the University may do so.

4.08 Regional University System of Oklahoma (RUSO)

Patent Policy - General Statement (5.13.1)

"It is in the best interests of the Board and the State of Oklahoma to encourage faculty and staff members of the Universities to undertake creative endeavors, and to receive recognition therefor.

The individual or individuals who make the discoveries or inventions which become the property of the University under this Policy will share in income derived by the university from the marketing of such inventions and patent rights based thereon according to such terms as the president of the university shall direct. As provided for below, discoveries or inventions made or created by employees, faculty, students, and staff of the university will become the property of the university. Any and all benefits accruing to the university and derived from such discoveries or inventions will be used to further the research enterprise of the university. The university, through its president, or an officer of the university designated by the president, may recognize the contract with patent services organizations, such, for example, as University Patents, Inc., or Research Corporation, in regard to obtaining, maintaining and marketing of patent rights (domestic and foreign) based on discoveries or inventions which are or shall become the property of the university pursuant to this Policy. It is not contemplated that this Patent Policy shall extend to and include questions of copyright ownership.

RUSO: Inventions and Patents

All discoveries or inventions, whether patentable or unpatentable, and including any and all patents (domestic and foreign) based thereon and applications for such patents, which are made or conceived by any member of the faculty, staff, or student body of the university, either in the course of employment by the university or substantially through the use of facilities or funds provided by or through the university shall be the property of the university: and all rights therein shall be assigned, licensed, or otherwise commercially exploited as directed by a duly authorized officer of the university, who shall be designated by the president of the university."

5.0 Copyright

The creation and utilization of scholarly works is central to the mission of the University. The majority of these works is copyrightable. The systematic dissemination and use of copyrightable works by the University is fundamental to the advancement of Oklahoma’s culture and the development of its economy. The IPP of the University affirms the broad general copyright policy of the Regional University System of Oklahoma.

"The Board recognizes and encourages its faculty, staff, and student body to participate in creative and scholarly activities as an inherent part of the educational process. It is the broad policy of the Board to promote creativity and scholarly activities and to expand the frontiers of human attainment in those areas to which the pursuits of the six regional Universities are dedicated."
A copyrightable work is an original work of authorship that has been fixed in any tangible medium of expression from which it can be perceived, reproduced, or otherwise communicated, either directly or with the aid of a machine or device. These works include books, journals, software, computer programs, musical works, dramatic works, videos, multimedia products, sound recordings, pictorial and graphical works, etc. A copyrightable work may be the product of a single author or a group of authors who have collaborated on a project.

Southwestern Oklahoma State University encourages the preparation, presentation, and publication of copyrightable works that result from teaching, research, and scholarly and artistic endeavors by members of the faculty, staff, and student body of the University. Authors shall be permitted maximum freedom with respect to their copyrightable works, consistent with the obligations of the University. Copyrightable works may be created under a variety of circumstances and conditions that affect the ownership and subsequent management of those works. Under the Copyright Revision Act of 1976 (as amended), copyrightable works are protected by copyright from the time they are fixed in a tangible medium of expression, now known, or later developed.

5.01 Ownership Issues Regarding Copyrightable Works

A. Books, Articles and Similar Works

In keeping with academic tradition, and except to the extent required by the terms of any funding agreement or for substantial use of University resources to create the work, faculty authors of works own the pedagogical, scholarly or artistic works, regardless of their form of expression. Such works include but are not limited to faculty-prepared works such as textbooks, course materials, referred literature, popular nonfiction, novels, poems, musical compositions or other works of artistic imagination that are not works for hire. If a faculty member retains title to copyright in teaching or course materials that are not works for hire, such as class notes, curriculum guides and laboratory notebooks, the University and/or University component (department) shall retain a royalty-free right to use the materials for educational purposes.

B. Institutional Works or “Works for Hire”

The University and the creator(s) of the work may share royalties from university-commissioned “work(s) for hire” projects, which were funded by the University. The terms of any grant or contract relative to royalties shall take precedence over this policy should there be a conflict between them.

C. Works Developed with Substantial University Resources

The University recognizes and affirms the traditional academic freedom of its faculty and staff to publish pedagogical, scholarly or artistic works without restriction. In keeping with this philosophy, the University will not construe the provision of University facilities as constituting substantial use of University resources, except for those instances where the resources were furnished specifically to support the development of such copyrightable works.

Present and prospective employees of the University shall, upon request of the IPC to perfect intellectual property rights, execute an assignment agreement in a form prescribed by and available from the IPC to set forth effectively the ownership and rights to copyrightable works.

5.02 Disclosure, Assignment and Protection

Authors of copyrightable works that are not owned by the University, or any of its components, own the copyright in their works and are free to publish them, register the copyright, and to receive any revenues that may result therefrom. Decisions relative to registering of these works with the Copyright Office are left to the individual creator.

Authors of copyrightable works that are not works for hire but are work that are owned by the University shall promptly disclose to their department chair and the IPC any work of authorship covered by this policy (including those made under sponsored research or cooperative arrangements). Disclosure shall be made on a disclosure form prescribed by and available from the IPC, and a copy shall be filed with that office. Such persons shall cooperate with the University and the IPC to the best of their ability in protecting intellectual property rights in the work of authorship. Furthermore, upon request by the IPC to perfect intellectual property rights, such persons shall warrant that, to the best of his/her knowledge, the work does not infringe upon any existing copyright or other legal rights, that work not identified as quotations is the expression of
creation of the author; and that necessary permission for extensive quotation or reproduction beyond fair use and the use of third party works has been obtained.

5.03 Negotiation and Execution of Agreements for Copyrightable Works

Agreements permitting a party to use, develop, or otherwise commercialize copyrightable works owned by the University or any of its components are encouraged. The IPC, with the cooperation of the author and his/her department, has primary responsibility for negotiating with third parties having an interest in using, developing or otherwise commercializing copyrightable works.

5.04 Student Ownership of Copyrightable Works

Students own the copyrights of works created on their own, (i.e., not within the scope of an employment relationship with the University or with one of its employees, and not making substantial use of University resources).

Students working on a project governed by a contract or agreement to which the University is a party shall be bound by the terms of that contract or agreement.

Students who are hired to perform specific “work(s) for hire” that contribute to a copyrightable work will ordinarily have no rights to ownership of that work, regardless of the source of funds from which they are paid. In such cases, the party who owns the copyright of the rest of the work will ordinarily retain copyright ownership of the portion contributed by the student.

Students working collaboratively with academic employees on projects that result in copyrightable work may be granted certain rights and obligations of copyright ownership by the principal investigator, as would faculty and/or staff working collaboratively on the project. Faculty and students should establish these rights at the outset of their collaboration.

If none of the above relationships applies, students performing work compensated by the University are subject to the provisions governing employees.

Students may also be subject to rules and restrictions of the departments or schools which are consistent with the University’s IPC.

5.05 Other Considerations

Some works created at the University may be both patentable and copyrightable (e.g., a copyrightable work that embodies a patentable invention). Many works encoded for computer utilization may be patentable. For works that are both copyrightable and patentable, the Patent Section of the University’s IPC shall govern the intellectual property rights of the work.

Any copyrightable intellectual property, regardless of whether it is an “institutional work,” a “sponsored work,” a “commissioned work,” or a “personal work” is eligible for consideration in Promotion and Tenure proceedings.

University employees should not enter into intellectual property agreements without affirmative notice that the intellectual property rights of the University cannot be subordinated to a third party consulting or employment agreement. Such notice should be provided to the prospective employer as well as to the appropriate University component.

5.06 Regional University System of Oklahoma (RUSO) Policy

Copyright Policy (5.13.2)

“POLICY. RUSO recognizes and encourages faculty, staff, and students to participate in creative and scholarly activities as an inherent part of the educational process. It is the broad policy of RUSO to promote creativity and scholarly activities and to expand the frontiers of human attainment in those areas to which the pursuits of the senior regional universities are dedicated.

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

A. to maintain the board academic policy of encouraging research and scholarship as such without regard to potential gain from royalties or other income;

B. to make copyrightable materials created pursuant to university objectives available in the public interest under conditions that will promote their effective utilization;

C. to provide adequate incentive and recognition to faculty and staff through proceeds derived from their works.

COPYRIGHT OWNERSHIP AND ROYALTY DISTRIBUTION.

A. Under the Copyright Revision Act of 1976, 17 U.S.C. Sec. 101 et seq. (1976), works of original authorship are protected by copyright from the time they are fixed in a tangible medium of expression, now known, or later developed.

B. All RUSO personnel, in accordance with the Board policy and basic objective of promoting creative and scholarly activities, are free to develop, create, and publish copyrightable works.

C. Copyrighted works produced by the RUSO faculty and staff are the property of the creator of that work. All rights afforded copyright owners under Sec. 106 of the Act reside with the creator unless he/she has assigned or licenses any of the enumerated rights. Decisions relative to registering of these works with the Copyright Office are left to the individual creator.

D. Copyright in works specifically commissioned by the university under Sec. 201 (b) of the Act shall belong to the university. As copyright owner, the university shall make decisions relative to registering commissioned works. Royalties for university-commissioned copyrighted works may be shared by the university and the creator(s) of the work. The terms of any grant or contract relative to royalties shall take precedence over this policy should there be a conflict between them. Disputes arising over royalty sharing for university-commissioned works shall be referred to the general counsel for the Board.

E. Works produced under a specific contract or grant agreement between the university and a governmental or other agency or organization are subject to the terms of the grant or contract for purposes of copyright. If copyright ownership is not specified, such rights shall reside in the creator.

F. Where university service units (such as a media production department) are involved with the production of a substantially completed copyrightable product, royalties shall be distributed between the copyright owner, i.e., faculty or staff creator, and the university as provided for in a written agreement concluded prior to work being done.

However, in those instances in which a written agreement has not been finalized prior to the completion of the copyrightable product, the standard distribution of royalties will be provided to creator with 50 percent of the net income when mass production and distribution are accomplished by the university; 50 percent of the gross income when mass production and distribution are accomplished by an outside entity. If this standard is unacceptable to either party, the matter shall be referred to the university president.

6.0 On-Line or Web-Based Intellectual Properties

Southwestern Oklahoma State University encourages its faculty and administration to engage in scholarly activities during the academic year as a part of their university responsibilities. Such scholarly activity would include the creation of On-Line teaching materials and Web-Based teaching methods. This type of instruction is an emerging area that Southwestern Oklahoma State University embraces and supports as new technology creates an opportunity for distance education for current and future students of SWOSU. While faculty engage in this type of teaching activity and creation, the University will strive to protect the work-product of its faculty and other personnel, which are prepared for class use either on-site or via an electronic format.

Universities were alerted to the necessity to enact protection of the administration and faculty for scholarly work by the 1980 enactment of P.L. 96-517, The Patent and Trademark Law Amendments Act, more commonly known as the Bayh-Dole Act, and amendments included in P.L. 98-620, enacted into law in 1984.
6.01 Definitions

Web-Based (or Technology Assisted) Instruction

Instructional activities that use technological innovation in the development, acquisition, delivery or dissemination of course content to students whether in a traditional setting (classroom), through distance education, or transferred through a University supported network.

On-Line Instruction

Materials, in a technology supported format, and the intellectual property rights on such materials that are copyrightable works that are developed for the intended purpose(s) to facilitate and support instructional delivery of course content, primarily through self-directed learning.

6.02 Distance Learning

Distance Learning is considered a part of the normal classroom process with remote sites away from the University campus. Students enrolled in the courses taught via electronic means are considered resident to that course although they may not be in the same classroom as the instructor. For this reason, distance-learning instructors are not compensated for course development since they are already compensated as a part of their university teaching contracts. Compensation to the instructor is made for extra preparation involved in e-teaching using rates established by the University. If the course is not a part of the faculty’s normal teaching loads, the instructor is compensated at the established rate for overload compensation with the additional distance-learning stipend. Instructors that have classes that do not have a student count below the university requirement for a full class are compensated by tuition only calculation. The telecommunications department has established structures and compensations based on the course circumstances that lists all fees

6.03 On-Line Courses

The general rule for copyrighted materials is that the creator holds exclusive rights at the time of creation, unless it is assigned to another owner, either wholly or jointly. Registering the copyright with the Federal Government Copyright Office is another matter. (See Section 6.04 and 6.05.)

6.04 Determination of the Specific Compensation

Resource and time requirements for development of Web-Based courses vary as a function of the specifics of the offering and availability of related materials. Therefore, compensation for Web-Based course development will be based upon the merits of a course development proposal. Proposal approval will follow the normal Department Chair to Dean to Provost approval process.

The University should involve the Intellectual Properties Committee for compensation negotiations. This committee should be apprised of the fee structure for development that has been previously established.

A. Fee for Development of Work(s) for Hire

After the fee has been established, the developer (copyright holder) will be compensated based on the course-hour value.

B. Fee for Teaching the Course

a. In-load: The faculty member’s compensation is a part of the regular salary. The Web-Based supplement is in addition to the regular salary.

b. Overload: The faculty member who has a full-load and requests overload for the On-Line course will be compensated based on the following schedule:

   i. Enrollment below eleven (11) for undergraduate courses and below seven (7) for graduate courses will be compensated using the tuition-only rate per student based on the course level plus the Web-Based supplement per course.
ii. Enrollment above eleven (11) for undergraduate courses and above seven (7) for graduate courses will be compensated at the University established rate per hour for overload courses plus the Web-Based supplement per course.

6.05 Ownership and Licensing of On-Line and Web-Based Course Materials

The University IPC will determine Ownership (copyright holder) and/or Licensing, which, in turn, will depend upon the circumstances of the development. For example:

<table>
<thead>
<tr>
<th>Course Development Level</th>
<th>Ownership</th>
<th>Licensing</th>
</tr>
</thead>
<tbody>
<tr>
<td>Work(s) for hire</td>
<td>University</td>
<td>University</td>
</tr>
<tr>
<td>With minimum use of university resources</td>
<td>Creator</td>
<td>Creator</td>
</tr>
<tr>
<td>With substantial use of university resources</td>
<td>Creator</td>
<td>University</td>
</tr>
</tbody>
</table>

A. If the On-Line or Web-Based course is a work(s) for hire where the University specifically directs its creation and provides materials and time to the creator to develop the materials, ownership will be retained by the creator. The University will retain a right to license the work product from the creator at no cost to the University. If the On-Line or Web-Based course is developed under the support of a state, federal or private grant, as a work(s) for hire, ownership of the materials developed will reside with the creator. Again, the University will retain the right to license the work product from the creator at no cost to the University.

B. If the On-Line or Web-Based course is self-initiated and the creator uses minimal university resources, then the creator maintains ownership and licensing of the course.

A. If the On-Line or Web-Based course is self-initiated, but the creator uses substantial University time or resources, then the creator retains ownership; however, the University maintains a royalty-free license to use and distribute the material.

a. On-Line or Web-Based courses may be licensed by the University from the creator without charge while the creator is employed by the university or after the creator leaves the employ of the university.

b. The IPC will enter into negotiation with the faculty member to determine the percentage distribution of any royalties due to the copyright holder(s) as detailed in this policy.

D. When works are created while in the employ of the University, situations may arise where there is a conflict of interest between the creator and the University. In the event the creator considers the sale, lease, or other use of courseware or material by an outside party in a manner that competes with the offerings of the University, the creator first must enter into negotiations with the IPC before actuating any agreements. These negotiations will ensure the University is reimbursed expenses for courseware creation, and the IPC will determine if compensation for royalties derived from the courseware or materials is due the University.

Manuscripts created for web pages and On-Line courses, web sites, tele-learning, music posted on web sites, voice (lectures, etc.), videos streamed on the web, PowerPoint presentations, whether registered with the Copyright Office or not, are all property of the copyright holder as defined in this policy and are subject to the provisions of the Federal Copyright laws and the fair use doctrine.

Adopted: February, 2004

The *Southwestern Oklahoma State University Intellectual Property Policy* has been approved by the SWOSU Intellectual Property Faculty Committee and SWOSU Provost’s Office.