



Policy and Procedures Manual

Application: Full Time Faculty

Foreword

Foreword

The term "Board" is used in reference to The Board of Regents of the Regional University System of Oklahoma, governing body of the universities under its control (referred to as RUSO or Board in subsequent usage in this document). The Board recognizes that the state universities under the control of RUSO are an integral part of the unified system which is known as the Oklahoma State System of Higher Education (OSRHE) as provided under Article XIII-A of the Oklahoma Constitution and that the powers and duties of the Board of Regents of the Regional University System of Oklahoma is limited by and subject to the authority expressly delegated by law to the Oklahoma State Regents for Higher Education.

The East Central University (ECU) Faculty Handbook reflects the policies of the Board of Regents of the Regional University System of Oklahoma. The RUSO policies and state and federal laws supersede ECU policies. Any policy which is ambiguous may be interpreted by RUSO and/or the President of ECU. RUSO policies are subject to change at any time and are in effect immediately. RUSO policy may be found at <https://www.ruso.edu/policy-manual>. The policies in the faculty handbook may be modified, altered, initiated, revoked or amended in writing by authorization of the president. Apart from changes mandated by state or federal law, or RUSO policy, changes other than clerical ones made to the handbook should be put into effect during the change in the academic year (July 1) with sufficient advance notice to affected parties so they can be seen as meeting expectations for due process and consent to contracts. If one or more provisions of this handbook or the applicability of any such provisions to any set of circumstances shall be determined by a court of competent jurisdiction to be invalid, such determination shall not affect the validity of the remaining provisions. No verbal communication by any university official is sufficient to effectuate a change in policy.

The revisions to the Faculty Handbook are effective July 1, 2020.



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Application: All Faculty

Section F1.1 Faculty Membership

F1.1 Faculty Membership

F1.1.1 Membership

The faculty is composed of two groups, the regular and the supplemental faculty. In most cases, these individuals have an instructional or research relationship to the university, either direct or supervisory. The faculty includes permanent and temporary, full-time and part-time personnel.

F1.1.2 Regular Faculty

The regular faculty includes members of the faculty who are full-time employees of the university and who hold the rank of professor, associate professor, assistant professor, instructor, or special instructor (lecturer).

The regular faculty is charged with the responsibility of deliberating and advising the President regarding academic matters; however, it is rightly concerned with all matters affecting the welfare of the university. Under usual circumstances, the regular faculty expresses its opinion through standing institutional committees, the Faculty Senate and its committees, or regular faculty meetings. Only the regular faculty may hold faculty appointments to standing institutional committees. Only regular faculty may attend and vote at regular faculty meetings. The President and Provost/VPAA are the Chair and Vice Chair, respectively, of the regular faculty.

F1.1.3 Supplemental Faculty

The supplemental faculty consists of:

F1.1.3.1 Adjunct Faculty

Adjunct faculty holds part-time appointments that may be held for one academic year or less. The rank of such faculty may be lecturer or instructor.

F1.1.3.2 Visiting Faculty

Faculty employed by the university to teach or perform research for a limited time and are on a leave of absence from another institution of higher education or professional practice. Visiting faculty may be appointed at any rank.

F1.1.3.3 Volunteer Faculty

A person who has special talents or expertise and whose time and services are donated, may be appointed to the university volunteer faculty. Volunteer faculty enjoy all the privileges of the academic community except those, such as tenure, which are applicable specifically to regular faculty.

F1.1.3.4 Graduate Assistants

Graduate assistants are graduate students at East Central University who hold appointments as teaching or research assistants. Graduate assistants must be enrolled in a minimum of three (3) semester hours and may teach no more than six (6) credit hours per semester.

F1.1.3.5 Clinical Supervisors

Clinical supervisors are not employees of the university. They are practitioners who are assigned regular and continuing responsibilities in the clinical setting.

F1.1.3.6 Emeritus Faculty

The university may recognize the designation of certain faculty members to the honorary category of the emeritus faculty. When a faculty member retires under honorable conditions, the member may be entitled to emeritus status provided the faculty member has been in the service of the universities under the jurisdiction of the Board for at least ten years. When the faculty member retires, they will be permitted to be included in the emeritus group at the same rank that they held upon retirement, i.e., President emeritus, professor of history emeritus, etc., as the case may be. The emeritus status must be recommended by the President and approved by the Board. Appointment to this status does not entitle the faculty member to any monetary or other compensation.



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Section F1.2 Faculty Appointments

F1.2 Faculty Appointments

F1.2.1 Appointments to Regular Faculty

F1.2.1.1 Types of Appointment

The regular faculty holds one type of appointment:

1. Tenure
2. Tenure track (non-tenured, on tenure track)
3. Non-tenure track (on non-tenure track)
4. Temporary (one academic year or less)
5. Administrative

F1.2.1.1.1 Tenure

An appointment reserved for those regular faculty members who have been granted tenure by the Board. Tenured faculty members are on continuous appointment and, therefore, are not notified of their appointment status for the following year unless their appointment is being terminated. The procedures for dismissal or suspension of tenured faculty are covered in Section 1.6, Faculty Separation.

F1.2.1.1.2 Tenure Track

Tenure Track appointments are for one (1) year, renewable annually at the option of the university. This appointment allows the faculty member to serve a probationary period of not less than five (5) years and not more than seven (7) years in order to receive tenure. If, at the end of seven (7) years, any faculty member has not attained tenure, there will be no further renewal of appointment for the faculty member, unless a specific recommendation for a waiver of policy from the President to the contrary is approved by the Board each and every year thereafter. A person on tenure track will be given written notification of non-reappointment by March 1, prior to the termination of the current appointment.

F1.2.1.1.3 Non-Tenure Track

The faculty member is appointed to the regular faculty but is not eligible to receive tenure and is classified as non-tenure track. Faculty with this type of appointment will be given written notification of non-reappointment by March 1, prior to the termination of the current appointment. A faculty member on non-tenure track appointment may be continued annually, at the option of the university, for a period of seven (7) years. Thereafter, the appointment must be approved by the Board on an annual basis as a waiver of policy.

F1.2.1.1.4 Temporary

A temporary appointment is one in which the faculty member is appointed to the regular faculty for a period of one year or less. Upon expiration of the temporary appointment, the position, if continued, shall be opened and advertised.

F1.2.1.1.5 Administrative

Tenured faculty members appointed to administrative positions retain the tenure and rank that was previously granted when they were regular faculty members. An academic administrator may not hold tenure by virtue of an appointment to an administrative position, but may attain and hold tenure as a member of the regular faculty.

F1.2.1.2 Length of Appointments

Because of the budget balancing amendment of the Oklahoma Constitution, the Board may not obligate itself beyond a current fiscal year for salaries or compensation in any amount to its employees. The Board does, however, recognize the intent to reappoint tenured personnel within existing positions that are continued the next academic year subject to sufficient allocations or appropriations of funds.

In most instances the length of the regular faculty contracts are for a nine- or ten-month period; however, some regular faculty contracts are for a twelve-month period.

F1.2.1.3 Initial Appointments to the Regular Faculty

The Board has delegated authority to make appointments to the regular faculty to the university President. Appointments to the regular faculty are reported to the Board at the next regular meeting following the appointment.

F1.2.2 Appointments to the Supplemental Faculty

The Board has delegated authority to make appointments to the supplemental faculty to the university President. These appointments are limited to specific duties and a specific period of time. Supplemental faculty are not entitled to notification of non-reappointment.

F1.2.3 Appointments to the Summer Teaching Faculty

Regular faculty appointment to the summer faculty is limited to the specific summer for which the appointment is made. The university has no obligation for notification of intent to reappoint in following summers. Regular faculty appointments for summer school are intended for faculty continuing employment at the university in the following year. The university may also appoint supplemental faculty (adjunct faculty, visiting faculty, etc.) to summer school at the regular summer salary rates. No intent to appoint either regular faculty or supplemental faculty is final until assigned classes have met the required minimum enrollment.

F1.2.4 Full-Time Appointments

Full-time faculty have instructional and non-instructional duties as assigned by the university. Instructional duties include, but are not limited to, the teaching of assigned classes, evaluating the students in the classes, and meeting with those students who require assistance in their classes. Non-instructional duties include but are not limited to advising students, serving on committees, sponsoring organizations, participating in professional organizations, and conducting research and other creative or scholarly activity as appropriate to the discipline in which the faculty member is assigned. A full-time faculty member should generally carry an instructional load of twelve (12) to thirteen and one-half (13.5) hours per semester and a non-instructional equivalent load of four and one-half to six (4.5 - 6) hours per semester so the full-time load would be the equivalent of eighteen (18) hours per semester.

F1.2.5 Part-Time Appointments

Part-time faculty are generally employed only for the purpose of teaching classes. The assigned responsibilities are to provide instruction, evaluate students pertaining to that instruction, and to meet with those students who require assistance in their classes. The load of a part-time faculty member who does not have additional duties will be determined by dividing their teaching load by eighteen (18). For example, a nine (9) hour teaching load would equal one-half time. Part-time faculty may not carry an assigned load in excess of one-half time without the written approval of the Provost/VPAA each semester.

F1.2.6 Joint Appointments

Appointments between two or more academic units or colleges or universities are encouraged when they are of mutual benefit. However, they (a) must not total more than 1.0 Full-Time Equivalent (FTE) and (b) must be approved by all the units and colleges or universities involved. Such appointments must have the approval of the appropriate administrative officials of all units involved and one academic unit and college shall have primary responsibility for promotion and tenure consideration.

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Section F1.3 Faculty Credentials

F1.3 Faculty Credentials

Consistent with the Higher Learning Commission's policy statement, "Determining Qualified Faculty Through HLC's Criteria for Accreditation and Assumed Practices, the ECU Faculty Credential Policy ensures that faculty are qualified for the courses they are teaching by establishing the minimum qualifications for hiring all full-time and adjunct instructors of record regardless of the location of the course offering or mode of delivery. When determining acceptable qualifications of its faculty, East Central University gives primary consideration to the highest earned degree in the discipline. The Higher Learning Commission requires all accredited institutions to keep on file, for all full-time and adjunct faculty members, documentation of academic preparation. This documentation includes official transcripts and, if appropriate for demonstrating competence through equivalent experience, official documentation of professional and work experience, technical and performance competency, records of publications, certifications, evidence of teaching effectiveness, and other qualifications that contribute to student learning outcomes.

F1.3.1 Standards for Determining Qualifications

During the initial review for hiring, the applicant is evaluated to determine which criteria listed below the applicant meets. For faculty who meet criterion number 1 or number 2 below, follow the standard hiring procedure. For faculty who may qualify by criterion number 3, follow the Tested Experience Hiring Procedure detailed in Section 1.3.3.

F1.3.1.1 For Teaching Undergraduate Courses

1. Master's or doctoral degree in the teaching discipline or subfield* from a regionally-accredited institution; or
2. Master's or doctoral degree in an area other than that which faculty member is being asked to teach plus 18 graduate semester hours in the teaching discipline or subfield* from a regionally-accredited institution; or
3. Documented Tested Experience. While it is expected that faculty members have academic preparation in their fields, in rare cases, where it can be clearly demonstrated that, by virtue of accomplishments and professional experience, an individual lacking a doctorate or master's degree in the teaching discipline has the knowledge and skills usually associated with a person fully qualified on the basis of academic credentials, the individual may be considered for instructional assignments. See Section 1.3.2 for Documented Tested Experience Criteria.

F1.3.1.2 For Teaching Graduate Courses

1. Doctoral degree or terminal degree in the teaching discipline or subfield* from a regionally-accredited institution; or
2. Doctoral degree in an area other than that which s/he is being asked to teach plus 18 doctoral semester hours in the teaching discipline or subfield* from a regionally-accredited institution; or
3. Documented Tested Experience. While it is expected that faculty members have academic preparation in their fields, in rare cases, where it can be clearly demonstrated that, by virtue of accomplishments and professional experience, an individual lacking a doctorate or master's degree in the teaching discipline has the knowledge and skills usually associated with a person fully qualified on the basis of academic credentials, the individual may be considered for instructional assignments. See section 1.3.2 for Documented Tested Experience Criteria.
 - For subfields that are appropriate but not obvious, the Department Chair may need to submit the Faculty Credential Form.

F1.3.2 Tested Experience

Qualifications include a breadth and depth of experience outside of the classroom in real-world situations relevant to the discipline in which the faculty member would be teaching. Qualifications are specific to individual disciplines and programs and could include certifications or licensures, extensive professional experiences, honors and awards, and distinguished publications. To demonstrate Tested Experience, substantive documentation is required.

Substantive documentation to support alternative credentialing includes, but is not limited to:

1. Official transcripts
2. Certifications that are related to the teaching discipline
3. Professional licensure related to the teaching discipline.
4. Significant professional experiences that are relevant to student learning outcomes of approved courses. However, in accordance with HLC policy, teaching experience is not a substitute for professional experience in the field.
5. Honors and awards related to academic performance or professional achievements related to the teaching discipline.
6. Publications in the area of specialization. Service to a professional field related to the teaching discipline.
7. Presentations on topics related to the teaching discipline at professional and/or academic conferences, symposium, or colloquia.

F1.3.3 Tested Experience Hiring Procedure

F1.3.3.1 Documentation Phase

1. Department Chair determines that the prospective faculty member will be considered under the Tested Experience process.
2. Department Chair procures the curriculum vitae (CV) and essential documentation from the prospective faculty member that will support tested experience credentialing.

F1.3.3.2 Review Phase

1. Department Chair completes the initial review of the CV and substantive documentation (examples listed in section 1.3.2 provided by the prospective faculty and determines if the documentation provides support for tested experience credentialing for the discipline/program.
 - If the Department Chair deems the documentation non-substantive, the prospective faculty will be removed from consideration for the teaching position.
 - If the Department Chair deems the documentation to be substantive, the Chair will complete the Faculty Credential Form and submit the form and all documentation to the Dean of the college/school.
2. The college/school Dean completes a review of the prospective faculty documentation.
 - If the Dean determines that the documentation is non-substantive and the form and materials are returned to the Department Chair with the rationale for the decision.
 - If the Dean concurs with the Department Chair recommendation, the form and documentation is forwarded forwards the signed Faculty Credential Form and documentation on to the provost and vice President of academic affairs.

F1.3.3.3 Approval Phase

1. The provost and vice President for academic affairs reviews the Faculty Credential Form and the documentation and makes a final determination as to whether the prospective faculty meets the criteria for hire under the guidelines listed in section 1.3.2.
 - If the decision is to deny approval, the Provost/VPAA will send notification with rationale to the college/school Dean.
 - If the decision is to approve the Provost/VPAA signs the Faculty Credential Form and sends notification to the college/school Dean that the normal faculty hiring process can proceed.
2. The form and the associated documentation will be placed in the faculty member's personnel file verifying the faculty meets requirements articulated both in the institution's Faculty Credential Policy and the HLC Faculty

Credential Policy.

F1.3.4 Changes in Qualifications

If a faculty member's teaching responsibilities change due to a change in program requirements or institutional reorganization, including the deletion of a program, the faculty member must still meet the qualifications listed in the institution's Faculty Credential Policy. If not met, the provost and vice President of academic affairs, college/school Dean, Department Chair and faculty member will agree on a course of action and timeline for the faculty to satisfy the criteria.

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Application: All Faculty

Section F1.4 Academic Rank, Reappointment, Promotion, and Tenure of Faculty

F1.4 Academic Rank, Reappointment, Promotion, and Tenure of Faculty

Promotion of regular faculty in rank is a means by which the university recognizes excellence in its faculty. Promotions are not simply awarded for years of service but are earned by the faculty member's efforts to work towards the goals of the university. Eligible faculty apply for rank promotion from assistant professor to associate professor concurrent with their application for tenure.

The Board has delegated authority to the President to grant academic rank or promotion in academic rank in accordance with board and university policy (3.3 a. RUSO Manual)

Exceptions to criteria for promotion in rank may be recommended by the President (3.3 f. RUSO Manual) upon recommendation from the Provost/VPAA.

No person presently employed shall suffer reduction in rank as a result of the operation of these policies.

F1.4.1 Academic Ranks

The principal academic ranks of the university shall be professor, associate professor, assistant professor, and instructor. The minimum educational qualifications for Professor, Associate Professor and Assistant Professor shall be an earned doctorate degree awarded by a regionally accredited institution (e.g., Higher Learning Commission or Southern Association of Colleges and Schools) or an equivalent condition for a degree received in another country. Educational qualifications for these ranks shall be as follows (3.3 b. RUSO Policy Manual):

1. Professor: An earned doctorate degree or a Master of Fine Arts requiring a minimum of sixty graduate hours awarded by a regionally accredited or internationally recognized institution.
2. Associate Professor: An earned doctorate degree or a Master of Fine Arts requiring a minimum of sixty graduate hours awarded by a regionally accredited or internationally recognized institution.
3. Assistant Professor: An earned doctorate degree awarded by a regionally accredited or internationally recognized institution. The institution may elect to award the rank of assistant professor to individuals who have completed all requirements in a doctoral program except the dissertation (or equivalent requirement) or have completed a Master of Fine Arts that requires a minimum of sixty graduate hours
4. Instructor: An earned master's degree awarded by a regionally accredited or internationally recognized institution.
5. Others: Classification of instructional personnel who are not subject to assignment of rank may be special instructor, lecturer, graduate assistant, adjunct instructor, part-time instructor, or by other title. (3.3.b RUSO Manual)

F1.4.2 Reappointment

All non-tenured faculty members are considered to hold one-year probationary appointments. Such appointments are subject to renewal on an annual basis.

The Board delegates to the university President or the President's designee the authority to reappoint or not to reappoint non-tenured faculty members. A non-tenured faculty member whose appointment is not renewed will be given written notice from the university on or before March 1, prior to termination of the current appointment. Failure

to reappoint may be without causes. Reappointment or non-reappointment by the university is subject to ratification by the Board. (RUSO Manual June 2018)

The Faculty Performance Evaluation serves as a significant, but not an exclusive tool, for decisions of reappointment.

The decision regarding renewal for all regular non-tenured faculty in their first two years of employment must be made by March 1 of the current academic year of employment at East Central University. All regular non-tenured faculty who have completed at minimum two full academic years will be notified prior to the opening day of the 16-week spring semester in the spring semester.

Tenured faculty are considered to hold a renewable appointment.

Process (for faculty members who have been at ECU two full academic years or longer):

1. Reappointment will follow the annual evaluation process
2. Immediate supervisors will send a written recommendation of renewal for all non-tenured faculty to the Deans by the second Friday of November.
3. Deans will forward their written recommendation for renewal to the VPAA by the first Friday of December.
4. Faculty members will be notified of renewal in writing by the VPAA according to the established deadlines as described above.

For faculty applying for tenure and/or promotion, the process of reappointment shall proceed through the President and RUSO and following the processes outlined in Section 1.4.18 in the Faculty Handbook.

The terms and conditions of every appointment or reappointment shall be stated in writing and be in the possession of both the institution and the faculty member before the appointment is consummated. Tenure shall be granted only by written notification after approval by the Board.

F1.4.3 Promotion and Tenure

Promotion and tenure timelines are intertwined, with eligible faculty applying for rank promotion from assistant professor to associate professor (in most instances) concurrent with their application for tenure. In an effort to provide clarity on this complex process, the Promotion and Tenure processes will be: a) defined (including minimum criteria required to apply) and b) described in the order eligible faculty are expected to progress through the reviews of tenure and promotion (including required documentation and relevant review processes).

F1.4.4 Responsibility for Awareness of Policies, Status, and Timetables

1. **Faculty Member.** It is the responsibility of each faculty member to know the university policies regarding tenure and/or promotion and applicable institutional timetables for the review process. Each faculty member should know the progress and disposition of their tenure and/or promotion application.
2. **Department Chair.** It is the additional responsibility of each Chair to know the tenure and/or promotion status of each member of their department and to inform the potential candidates of the timetable for the review process.
3. **Dean.** It is the responsibility of the Deans to inform the Department Chair about which members of their respective departments are eligible for tenure and/or promotion and of the timetable for the review process.
4. **Provost and Vice President for Academic Affairs.** It is the responsibility of the Provost/VPAA to inform the faculty, by publication in a timely manner, of the criteria and procedures for granting tenure and/or promotion. It shall also be the Provost/VPAA's responsibility to inform the Deans about which members of the college/school are eligible to be considered for tenure and/or promotion and of the timetable for the review process.

All steps of the review process described following shall be carried out in accordance with the timeline in section F1.4.15

which should be published at the beginning of each academic year by the office of the Provost/VPAA.

F1.4.5 Definition of Promotion

Promotion of regular faculty in rank is a means by which the university recognizes excellence in its faculty. Promotions are not simply awarded for years of service but are earned by the faculty member's efforts to work towards the goals of the university.

Authority to grant academic rank or promotion in academic rank is delegated to the university President. Determination of merit and granting promotion in rank shall be in accordance with the promotion policies and procedures of the university as well as the minimum criteria contained in RUSO policies. (RUSO Policy Manual 3.3a)

F1.4.6 Minimum Criteria for Promotion

Promotion at East Central University is based upon the highest interests of the university that will best be served through a spirit of cooperation and a sense of mutual confidence among the faculty, the Chairs, the academic Deans, the Provost/VPAA, and the President of the university. The criteria and procedure for attaining promotion in rank are designed to systematize and clarify operations as well as to inspire cooperation and confidence among those involved.

Applications for promotion must meet the educational and experiential requirements listed below in Section 1.4.7 as well as demonstrate evidence of continuing excellence in each of the criteria being evaluated (i.e., effective classroom teaching, scholarly or creative achievement, contributions to the institution and profession, and as appropriate performance of non- teaching or administrative duties.).

F1.4.7 Educational Requirements for Promotion

Faculty members must possess an academic degree relevant to the discipline they teach and at least one level above the level at which they teach, except in programs for terminal degrees or when equivalent experience is established. In terminal degree programs, faculty members possess the same level of degree. For further information on educational qualifications for academic rank, see 1.4.1.

F1.4.8 Experiential Requirements for Promotion

Faculty members remain at the same rank for a minimum of five years. Exceptions may be made by the university President upon recommendation from the Provost/VPAA (3.3.e RUSO Manual)

F1.4.9 Definition of Tenure

Tenure is a privilege and a distinctive honor. Tenure is defined as continuous reappointment which may be granted to a faculty member in a tenure-track position, subject to the terms and conditions of the appointment. The tenure decision shall be based on a thorough evaluation of the candidate's total contribution to the mission of the university. While specific responsibilities of faculty members may vary because of special assignments or because of the particular mission of an academic unit, all evaluations for tenure shall address at a minimum whether each candidate has achieved excellence in: a) effective classroom teaching; b) scholarly or creative achievement; c) contributions to the institution and profession; and d) performance of non- teaching or administrative duties.

1. Tenure may be granted by the Board of Regents of the Regional University System of Oklahoma upon recommendation of the university President. Determination of merit and recommendation for granting tenure shall comport with the minimum criteria and policies and procedures contained in this section.
2. The terms and conditions of every appointment or reappointment shall be stated in writing and be in the possession of both the institution and faculty member before the appointment is consummated. Tenure shall be granted only by written notification after approval by the Board. Only full-time faculty members holding academic rank of assistant professor, associate professor, or professor may be granted tenure. Qualified professional librarians shall be considered faculty members if they are given academic rank.
3. Tenure does not apply to administrative positions, but a tenured faculty member appointed to an

administrative position retains tenured status previously granted as a member of the faculty.

4. The Board intends that tenured personnel are reappointed to the faculties of the institutions under its control within existing positions that are continued the next academic year. The Board reserves the right to terminate tenured faculty at the end of any fiscal year if the Legislature fails to appropriate or the Oklahoma State Regents for Higher Education fails to allocate sufficient funds to meet obligations for compensation.
5. The Board recommends that not more than sixty-five percent (65%) of the full-time faculty at a university receive tenure.

(RUSO Policy Manual 3-4-c April 2019)

Tenure is granted only by the Board. The recommendation to the Board that a faculty member be granted tenure is made by the President. Normally, the President's request that a faculty member be granted tenure will be based on the review procedure described in Section 1.4.18 Review Process for Tenure/Promotion, Promotion, and Post-Tenure. Regardless of all recommendations within the institution, a faculty member does not have tenure until that person has been granted such by the Board. At any time and, in rare instances, tenure may be recommended in fewer than five years. If at the end of seven years any faculty member, has not attained tenure, there will be an automatic non-renewal of contract for the faculty member unless a specific recommendation from the President to the contrary is approved by the Board each year thereafter.

A recommendation for tenure may also come directly from the Provost/VPAA or from the President of the university without prior review and recommendation from the division or department. If the President determines to recommend granting of tenure, they will make the recommendation to the Board.

The Board may not obligate itself beyond a current fiscal year for salaries or compensation in any amount to its faculty employees except as authorized by the Oklahoma Constitution (RUSO Policy Manual Ch 3, June 2018).

F1.4.10 Tenure-Seeking Probationary Period

Non-tenured faculty members holding academic rank above the level of instructor (assistant professor, associate professor or professor) shall be on probation for a minimum of five years after the date of first being placed in a tenure track position. Years of experience in any position other than a tenure track position may be used for the probationary period only if approved by the university President (3.4.d.1 RUSO Manual).

The probationary period begins when the faculty member is first employed in a tenure-track position. Seven years shall be the maximum probationary period for the eligible faculty member to become eligible for tenure. If, at the end of seven years any faculty member has not attained tenure, there will be no renewal of appointment for the faculty member unless a specific recommendation for waiver of policy from the President to the contrary is approved by the Board each and every year thereafter. If a faculty member is denied tenure and is not reappointed, the university shall notify tenure candidate of the non-renewal date. (RUSO Policy Manual April 2019)

For the purpose of determining probationary employment of faculty members for tenure consideration, sabbatical leave counts as a part of the period of probationary employment, and a leave of absence is not included as part of the provisional period. (RUSO Policy Manual April 2019)

F1.4.11 Third Year Pre-Tenure Review

Each non-tenured faculty member shall complete a pre-tenure review in their fourth year. Under the direction of the Dean, the pre-tenure review is to be completed by the last day of November following the completion of the faculty member's first full (August through May academic year) three years of employment. The pre-tenure review shall include the faculty member's mentor (if assigned), immediate Supervisor (Department Chair or Coordinator), and school director, if appropriate.

F1.4.12 Documentation Required for Third Year Pre-Tenure Review

1. teaching observation instruments completed during the first three years
2. the first three annual Performance Evaluation Reports
3. any other pertinent or relevant information and data available at the time of the review.

The Dean shall file the “Third Year Pre-Tenure Review” form with the Office of Academic Affairs. A copy shall also be given to the faculty member. The committee shall recommend 1) satisfactory progress; 2) unsatisfactory progress with a plan for improvement; or 3) do not renew.

F1.4.13 Eligibility for Review of Tenure/Promotion, Promotion, and Post-Tenure

At the start of the academic year, faculty who are eligible for tenure/promotion or promotion review will be notified of their eligibility by the Academic Affairs Office.

F1.4.13.1 Tenure/Promotion

After the fifth year of probationary employment has been completed, eligible faculty apply for both tenure and rank promotion from assistant professor to associate professor. If deemed necessary (faculty member agrees and Provost/VPAA is notified), application may be delayed to the following year, but not beyond.

F1.4.13.2 Promotion

After the minimum five years within rank has been achieved, faculty become eligible to apply for rank promotion from associate professor to professor.

F1.4.13.3 Post-Tenure

The academic and professional performances of each tenured faculty member at each institution must be reviewed at least every three years. (RUSO policy 3.4.e.2) Newly tenured faculty will have their first post-tenure review in their third year of tenure. For tenured faculty whose duties are basically administrative or non-instructional, the Provost/VPAA will refer the review to the appropriate supervisor. Tenured faculty who resign or retire at the end of the academic year may be exempt if their letter of intent to retire/resign is submitted to the Provost/VPAA prior to arranging the post-tenure review.

NOTE: Department Chairs eligible for tenure and/or promotion shall submit their applications to the Dean, and Deans eligible for promotion shall submit their applications directly to the Provost/VPAA.

F1.4.14 Procedure to Apply for Tenure/Promotion or Promotion Review

At the start of the academic year, faculty who are eligible for tenure/promotion, promotion review will be notified of their eligibility by the Academic Affairs Office.

NOTE: Reviews for tenure/promotion, promotion, and post-tenure proceed at different times in the academic year, and shall be carried out in accordance with a timetable to be published at the beginning of each academic year by the office of the Provost/VPAA. It is the faculty member’s responsibility to be aware of applicable due dates and times for the faculty member’s particular review.

F1.4.15 Tenure/Promotion Review and Promotion Review Timelines

Tenure/ Promotion Due Dates	Promotion Due Dates	Actions to be Completed
Last week of August		Academic Affairs office notifies faculty who are eligible for tenure and

		promotion.
Mid-September		Tenure and Promotion Workshop for those eligible for tenure and promotion this academic year.
First week of October		2nd Tenure and Promotion Workshop for all faculty who are in the tenure and promotion pipeline.
Third Friday of November		Dean notifies the Provost/VPAA of delay of review for tenure/promotion.
Fall Semester	No dept. cmte. review for promotion	Academic Affairs will work with Faculty Senate to appoint committee members if additional tenured faculty are needed for departments with fewer than 5 tenured faculty.
Tuesday after Martin Luther King, Jr. Day in January	End of first week in February	Faculty member finalizes e-portfolio by 5:00 p.m. CETL removes faculty member access and opens access to the committee members, the Department Chair, and the Dean for review. This information will be provided to CETL by the Office of Academic Affairs
Receipt of portfolio to Wednesday of First week of February		E-Portfolio reviewed by committee. (All members have access to the e-portfolio through Blackboard.) Evaluations conducted using guidelines outlined in the Faculty Handbook Section 1.4.18 Review Process for Tenure/Promotion, Promotion, and Post-Tenure
End of first week of February	Receipt of portfolio to Thursday of first week of March	Chairs and Deans complete independent personal review of portfolios and generate personal recommendation letters (either for or against) to be uploaded to the portfolio. Tenure/Promotion Only: Portfolios, including letters resulting from independent reviews from the Committee, Chair, and Dean, are due in the Office of Academic Affairs by 5:00 pm (Dean notifies provost portfolio is complete). The Chair will upload: 1) A statement of the committee's recommendation with final vote tally and justification and 2) Chair's recommendation letter. The Dean will upload: The Dean's recommendation letter.
Third Monday of February		The Department Chair must notify the candidate of their recommendation and the committee's recommendation in writing. The Dean must notify each candidate of their recommendation in writing.
Receipt of portfolio to Friday before Spring Break	Receipt of portfolio to Monday following Spring Break	Provost portfolio review
On or about Friday of the week before	Wednesday following Spring Break	Provost submits written recommendation to the President.

Spring Break		
On or about Friday of last week of March		President submits written recommendation to the RUSO governing board.
Second Friday in April, or the subsequent RUSO board meeting at which tenure and promotion agenda items are acted upon		RUSO Board decides on tenure and/or promotion based on recommendation of the President.
Within seven days following the RUSO board meeting		Provost's office provides a written notification of the RUSO decision to the faculty.

F1.4.16 Documentation Required for Tenure/Promotion, Promotion, and Post-Tenure Review

F1.4.16.1 Promotion Requirements

Promotion decisions are based on an evaluation of a faculty member's prepared portfolio, which documents the faculty member's achievement in each of the criteria evaluated during the five-year-minimum period between academic ranks at ECU. See Section 1.4.6 Minimum Criteria for Promotion.

F1.4.16.2 Tenure Requirements

Tenure decisions are based on an evaluation of a faculty member's prepared portfolio, which documents the faculty member's continuing excellence in each of the criteria evaluated. The time period evaluated will depend upon the type of tenure review. Third-year Pre-Tenure and Tenure reviews will include the faculty member's experiences at ECU. See Section 1.4.9 Definition of Tenure

F1.4.16.3 Digital Portfolio

Faculty who qualify for Tenure/Promotion or Promotion are responsible for compiling a digital portfolio of artifacts (see **Required Digital Portfolio Artifacts** table) best suited to support the faculty member's application for review. All artifacts added to the portfolio shall be reflected upon in writing, and presented to peers and administrators for evaluation. All faculty eligible for tenure and promotion will be provided a digital portfolio platform. It is strongly recommended that as faculty create documents or receive documents which are required for their portfolios (e.g., Faculty Performance Evaluation, Letter of Reappointment, Annual Evaluation Letter), that they upload these documents to their portfolio for safekeeping.

NOTE: The office of academic affairs shall retain the entire tenure/promotion and/or promotion file, including but not limited to the application, portfolio, and letters of recommendation of every faculty member who applies for tenure (RUSO Policy Manual 3.4: e-3).

Required Digital Portfolio Artifacts (Criteria)	
Tenure/Promotion	Promotion

Basic Materials • Letter of Application • Curriculum Vita • Third Year Pre-Tenure Review (from Dean) • Reappointment of non-tenured faculty letters (from Dean) • Annual Faculty Performance Evaluations	Basic Materials • Letter of Application • Curriculum Vita • Three Year Tenure Review (from Dean) • Tenure and Rank Promotion Notification Letter (from Dean) • Annual Faculty Performance Evaluations
Evaluation Letters • Annual Evaluation Letters from Provost (faculty member solicits from Dean) • Recommendation Letter from Committee (part of portfolio review) • Recommendation Letter from Department Chair (part of portfolio review) • Recommendation Letter from Dean (part of portfolio review) • External Letters (solicited by faculty member, submitted directly to VPAA) • Internal Letters (solicited by and added to portfolio by faculty member)	
Artifacts • Demonstrating evidence of continuing excellence in each of the criteria being evaluated (see Indicators of Effectiveness Lists for criteria and examples) • Reflections written upon each Artifact	

Items Reviewed by Post Tenure Review Committee
• Results of Student End-of-Course Evaluations • Results of Department Three-Year Tenure Review Survey • Annual Faculty Performance Evaluations
Note: The committee shall obtain the information or instruments listed to be used in their evaluation.

F1.4.16.4 Additional Portfolio Evidence

The candidate will upload additional information to the portfolio, if needed, to document fulfillment of the criteria for tenure. A reflective statement of the purpose of the additional information will be included with each additional piece of information. Additional evidence, which can be obtained from the Dean, may include grade distributions, productivity reports, or other material relevant to the criteria for tenure.

F1.4.16.5 Additional Materials added During the Portfolio Review Process

At each stage of the review process, described in Section 1.4.18 Review Process for Tenure/Promotion, Promotion, and Post-Tenure, the portfolio will be updated with the following material by those in charge of the review at that stage:

1. The addition of new information, if any, which was used in making a recommendation at that stage; and
2. Letters of recommendation from the reviews at each stage

F1.4.17 Indicators of Effectiveness Lists

As established by academic departments and shared with the Office of Academic Affairs, faculty will be evaluated in relation to the indicators of effectiveness in teaching, scholarship/creative achievement guide the contributions to profession and community. When no department-specific indicators exist, the general lists found in this section will be used.

F1.4.17.1 Effective Classroom Teaching

A reflective statement which summarizes the artifacts chosen to demonstrate Effective Classroom Teaching shall be included. Effectiveness will be judged by use of a variety of instruments, such as self-evaluation, student evaluations, peer evaluation, and supervisory personnel evaluations, including:

1. Use of high impact practices in the classroom

2. Developed or taught a new course using best practices and innovative strategies
3. Made major changes to existing course content tied to student learning outcomes
4. Made curricular innovation through delivery methods or pedagogy (instructional strategies, new methods of teaching, facilitated student learning in a variety of formats, incorporated supportive technologies, developed new assignments or assessments)
5. Applied successful teaching strategies (instructional strategies, proven methods of teaching, facilitated student learning in a variety of formats, incorporated supportive technologies, developed effective assignments or assessments)
6. Mentored student research projects, such as honors projects or theses
7. Mentored student's practicum, internship and/or capstone experiences
8. Supervises an individual study, group study, exhibition, or performance
9. Supervised an educational trip, such as a field trip or study abroad experience
10. Supervised a Service-Learning experience
11. Received awards or recognition for teaching excellence
12. Attended conferences or professional development events focused on teaching
13. Supervised student projects leading to presentation at an academic conference
14. Worked with program and college to ensure student learning objectives for courses are aligned with program and college objectives
15. Collaborated with colleagues to develop course curriculum and delivery
16. Other

F1.4.17.2 Scholarship or Creative Achievement

A reflective statement which summarizes the artifacts chosen to demonstrate scholarship or Creative Achievement shall be included. See Appendix for additional criteria.

1. Books and monographs published (including complete bibliographic information— author(s) in published order, title, place of publication, publisher, date of publication, and number of pages—for each item)
2. Chapters published (including complete bibliographic information—author(s) in published order, title, book editor(s) or author(s), book title, place of publication, publisher, date of publication, and pages of chapter—for each item)
3. Articles published (including complete bibliographic information—author(s) in published order, title, journal, volume, issue number, month, year, and pages of article— for each item)
4. Electronic media materials published (including author(s) in published order, title, place of publication, publisher, and date of publication for each item)
5. Presentations made (including presenter(s) in published order, title of presentation, organization, location, and date for each item)
6. Creative works published (including title of work, place of publication, publisher, and date of publication for each item)
7. Creative works exhibited (including title of work, complete bibliographic information as indicated above or name and location and date of exhibition)
8. Creative works performed professionally (including title of work, complete bibliographic information as indicated above or name of performing group and location and date of performance)
9. Books and journals edited (including, for each item, editor(s) in published order and complete bibliographic information as indicated above)
10. Reviews published (including complete bibliographic information—author(s) in published order, title, journal, volume, issue number, date, and pages of review—for each item)
11. Other contributions to published works (including complete bibliographic information as indicated above and a brief description of the contribution for each item)
12. Scholarly or creative awards/recognition received (including title of award, sponsor, and date for each item)
13. Extramural grants and contracts awarded (including project director(s), project participants, project title, amount of award, sponsoring agency, and date of award for each item)

14. Extramural grant and contract proposals submitted but not funded (including project director(s), project title, receiving agency, and date of submission for each item)
15. Intramural grants awarded (including project director(s), project title, amount of award, and sponsor for each item)
16. Professional development activities completed to enhance research or scholarship. Could include for-credit courses (including course name, credit hours, institution, and date of completion for each item), seminars, workshops, webinars, panels, lectures, clinics, conferences attended (including title, sponsor, location, and dates for each item), and industry publications/journals read
17. Completion of degree or certification program (including certificate or degree name, credit hours, institution, and date of completion for each item)
18. Submission of book, chapter, article, or creative work for publication/exhibition.
19. Progress made on book, chapter, article or creative work not yet published, exhibited or performed.
20. Serving as an editor or on the editorial board of scholarly professionally-related journal
21. Serving as a reviewer for refereed journal or grant committee or conference
22. Collaboration with students on scholarly or creative projects
23. Collaboration with other faculty on scholarly or creative projects
24. Supervised student projects leading to presentation at an academic conference.
25. Formal consulting, technical assistance, or policy analysis related to faculty member's field of study producing a written report or other product
26. Program evaluation or grant writing for public entities external to the university (i.e. business, non-profit organizations, public schools, citizen organizations, etc.)
27. Accreditation report author/coauthor (including name of the accrediting body and dates of service for each item)
28. Curatorial activities such as functioning as a juror or curator for an exhibition
29. Holding a license or certification in a clinical or practicing area (to portfolio reflection, add a description of what that licensure or certification entails)
30. Other

F1.4.17.3 Contributions to the Institution and Profession

A reflective statement which summarizes the artifacts chosen to demonstrate contributions to the institution and profession shall be included.

1. Professional leadership in state and/or national professional associations directly related to areas of expertise and/or the good of the profession (including name of committee or office, professional organization, and dates of service for each item)
2. Professional memberships held.
3. Committees served on for other universities or other discipline-related agencies (including name of committee, name of university/agency, and dates of service for each item)
4. Accreditation team memberships and leadership roles (including name of the accrediting body; name of college/university, or university visited; leadership role; and dates of service for each item)
5. Special organizational responsibilities performed, such as contributing, managing, or section editorships, or juror duties in a competition (including nature of responsibility, professional organization, and dates of service for each item)
6. Special responsibilities performed for other universities and other discipline-related agencies (including nature of responsibility, name of university/agency, and date(s) of service for each item)
7. Conference responsibilities performed (including nature of responsibility, professional organization, location, and date(s) for each item)
8. Speeches and workshops given (including title of presentation, sponsor, location, and date for each item)
9. Professional service awards received (including title of award, sponsor, and date for each item).
10. University, college, and departmental standing committee, administrative committee, and ad hoc committee memberships and offices held (including name of committee, parent body, office, and dates of service for each item)

11. Special responsibilities performed, such as administrative assignments (including title or nature of responsibility and dates of service for each item)
12. Student organizations sponsored (including name of organization and dates of service for each item/activity)
13. Student recruitment activities
14. Organizing and facilitating on-campus events
15. Community service based on faculty member's discipline (e.g., offer/asked to serve on a community committee/council because of your research or organizational skills)
16. Community service outside a faculty member's discipline (e.g., offer/asked to serve food in a soup kitchen)
17. Other

F1.4.17.4 Performance of Non-Teaching Semi-Administrative or Administrative Duties

If applicable, a reflective statement which summarizes the artifacts chosen to demonstrate effectiveness of Non-teaching Semi-administrative or administrative duties shall be added to the portfolio.

1. Department Chair service;
2. Dean service;
3. Librarian service;
4. Preparation of reports and other official documents-publications; and
5. Other

F1.4.17.5 Field Specific Indicators

1. Licensed Professional Counselor (LPC) 20 (hours) credits of continuing education every year, including 3 credits of face-to-face and pre-approved continuing education in counseling ethics.
2. Clinical Rehabilitation Counselor (CRC) 100 hours of CEUs for 5- year period.
3. Licensed Mental Health Counselor (LMHC) at least twenty (20) hours of counseling related continuing education, including three (3) hours of face-to-face and pre-approved continuing education in counseling ethics.
4. National Counseling Certification (NCC) 100 hours of continuing education every five (5) years.
5. Licensed Alcohol and Drug Counselor (LADC) Addiction Counselors are required to complete 40 hours of continuing education (CEUs) directly related to your professional practice, of which at least 6 hours must be in the area of professional ethics and responsibilities and 2 hours in suicide prevention.
6. Oklahoma Certification and Resource Center (ICRC)/Quality Assurance Screening Test (QAST) Certification (Levels I, II, III, IV, and V) The Interpreter Certification and Resource Center (ICRC) certified interpreters are required to obtain 1(10 hours) CEUs with .1 (1 hr) in Ethics per year.
7. National Interpreter Certification (NIC) (8 levels)- 8.0 CEUs (80 hours) during a 4 -year cycle with at least 6.0 in Professional Studies CEUs (up to 2.0 General Studies CEUs may be applied toward the requirement)
8. Licensed Social Worker (LSW)
 - 16 hours of continuing education per year to maintain
9. Licensed Master Social Worker (LMSW)
 - 16 hours of continuing education per year to maintain
10. Licensed Clinical Social Worker (LCSW)
 - 16 hours of continuing education per year to maintain
11. CLEET certification requires every full-time certified peace officer complete a minimum of twenty-five (25) hours of CLEET cataloged continuing law enforcement training, which shall include a mandatory two (2) hours on mental health issues, each calendar year. Effective January 1, 2017, every reserve certified peace officer must complete a minimum of eight (8) hours of CLEET cataloged continuing law enforcement training, which shall include a mandatory one (1) hour on mental health issues, each calendar year. Effective November 1, 2019, all certified peace officers must complete appropriate continuing law enforcement training regarding the policies and protocols for responding to sexual assault calls, guidelines for the collection and maintenance of sexual assault kits, and trauma-informed sexual assault response and intervention on a regular basis.

F1.4.18 Review Process for Tenure/Promotion, Promotion, and Post-Tenure

All steps described below shall be carried out in accordance with a timetable to be published at the beginning of each academic year by the office of the Provost/VPAA.

F1.4.18.1 Department Tenure/Promotion Review Committee Structure

1. Department with at least five tenured members: When a faculty member is to be considered for tenure/promotion, the Chair of the department shall call a meeting of the tenured faculty members of the division or department for a discussion of the case. These faculty members, including the Chair, if tenured, shall constitute the department review committee. If the Department Chair is not tenured, they shall be an ex officio member of the committee, but shall not have a vote. The faculty member's contributions to the mission of the university shall be reviewed and evaluated by the tenured members of the department and a poll by secret ballot will be taken to determine whether a recommendation for the granting of tenure will be made (RUSO Handbook Policy Ch 3.4.e.1, June 2019).
2. Department with less than five tenured members:
 - In the event that the number of tenured faculty members in a department is fewer than five, the actual tenured members in that department and other faculty, selected as indicated below, shall act as an ad hoc review committee which shall be composed of five voting members.
 - The Chair of the affected faculty member's department shall act as Chair of the committee. If tenured, the Chair shall be a voting member. If not tenured, the Chair shall act as an ex officio member with no voting privileges.
 - If a department has less than five tenured faculty members, then the remaining members will be selected from the list of tenured faculty members in the school/college of the reviewed faculty member. The selection will be made on a rotation basis beginning with the person with the greatest number of years of tenure. If there are not enough tenured members within the department and school to seat a committee, the Faculty Senate will recommend committee members from among the tenured faculty at large.
 - The committee members will be recommended by the Faculty Senate and appointed by the Provost/VPAA.
 - After the appointment, and prior to the committee's notification of assignment, the candidate will have the option to delete one member from the committee. If the candidate elects to exercise this option, a new member will be selected by the same procedure used to select the original committee.

F1.4.18.2 Department Tenure/Promotion Review Committee General Processes

Once the committee convenes, the review may be conducted in a manner that allows for input from the candidate (only for clarification on information in the portfolio), non-tenured colleagues, students, alumni, and administrative information from Department Chairs. However, all discussions and voting procedures shall be conducted with only the committee members. The Committee Chair shall be responsible for soliciting information from these sources and any solicited information shall be added to the candidate's file. A secret ballot shall be taken on the committee's recommendation to approve or deny the candidate's application. A simple majority shall prevail.

The Committee Chair shall write a letter detailing the committee's evaluation and recommendation for administrative action. Specific voting results shall not be included in the letter. All members of the reviewing committee shall sign the letter. The letter shall be uploaded to the digital portfolio and notification sent to the Chair, regardless of the recommendation made.

NOTE: Letters of recommendation from the department review committee, Chair, and Dean are to be addressed to the Provost/VPAA.

F1.4.18.3 Specific Information by Review Type

1. **Department Tenure/Promotion Review and Recommendation:** Each department or school shall complete the tenure/promotion portfolio evaluation for its eligible non-tenured faculty members holding rank of assistant professor or above by a date set by the Provost/VPAA in early February after the fifth year of probationary employment has been completed.
2. **Delay of Review for Tenure/Promotion:** During the evaluation process, the departmental review committee or the Dean may determine that it would be to the advantage of the candidate to delay the portfolio evaluation until the sixth year of probationary employment has been completed. If the rationale for the delay is discussed with the candidate, the candidate agrees to the delay, and the Provost/VPAA is notified, the review shall be delayed. In this event, the Dean will write a short letter notifying the Provost/VPAA of the delay to be signed by the faculty, Chair, and Dean. Notification of delay must be sent by the third Friday of November. If the faculty member does not agree to the delay, the review process will proceed. Under no circumstances may the tenure review be delayed beyond the end of the seventh year of probationary employment. (See Section 1.4.10 Tenure-Seeking Probationary Period)
3. **Department Promotion Review and Recommendation:** Each department or school shall complete the promotion portfolio evaluation for its eligible tenured faculty members by a date set by the Provost/VPAA in late February after the fifth year (minimum) of employment at their current rank has been completed.
4. **Department Post-Tenure Review:** Each department or school shall complete the post-tenure evaluation for its eligible tenured faculty members by a date set by the Provost/VPAA. See Items Reviewed by Post Tenure Review Committee table for information reviewed. The review must be completed no later than Dec 1.
5. **Chair Review:** The Department Chair shall review the faculty member's portfolio/information, produce a written letter of evaluation and recommendation for administrative action, upload the letter to the digital portfolio, and notify the Dean, regardless of the recommendation made, by a date set by the Provost/VPAA. If the school is the smallest academic unit, the portfolio shall be forwarded directly to the Provost/VPAA. The Department Chair shall inform the candidate, in writing, within ten calendar days of the committee's and Chair's recommendations.
6. **Dean Review:** The Dean shall review the faculty member's portfolio/information. The Dean shall write a letter of evaluation and recommendation for administrative action, upload the letter to the digital portfolio, and notify the Provost/VPAA, regardless of the recommendation made, by a date set by the Provost/VPAA. The candidate shall be informed, in writing, within ten calendar days of the time the portfolio is forwarded, whether the recommendation is for or against the granting of tenure.
7. **Provost/VPAA Review and Recommendation:** The Provost/VPAA shall review the faculty member's portfolio/information, including all materials added in the review process. A written letter of recommendation by the Provost/VPAA, shall be added to the candidate's personnel file, and the recommendation letter and portfolio shall then be forwarded to the President. Each applicant shall receive written notification of the actions and recommendations of the Provost/VPAA by a date established by the Provost/VPAA.
8. **President Review and Recommendation for Tenure/Promotion and Promotion:** Acting on the recommendations of the Provost/VPAA and on the basis of the information available, the President shall decide on a final recommendation and submit this to the board. When the board has acted, the faculty member shall be notified in writing by the President of the board's decision.
9. **President Review of Post-Tenure Review:** The President shall review the faculty member's portfolio, including all materials added in the review process. Once complete, the President will see that the faculty member obtains a copy of the recommendation of the committee.
10. **Denial of Tenure/Promotion or Promotion:** In case of denial of Tenure/Promotion, the aggrieved faculty member may file a written appeal to the Faculty Appeals Committee. The Faculty Appeals Committee, upon considering the appeal, then files its recommendation with the President for consideration. The President then notifies the faculty member of the final determination on the petition.
11. **Unsatisfactory Post-Tenure Review:** If the initial three-year tenure review is unsatisfactory, the faculty member will be reviewed by the same procedure the next year. If the second tenure review is unsatisfactory, it will be grounds for the faculty member's dismissal at the end of that contract year. In the case of either an initial or secondary unsatisfactory post-tenure recommendation, the faculty member will have an opportunity to meet

with the committee, if so desired, to respond to their recommendation. Following the meeting of the committee and the person reviewed, the President will receive any further recommendations and make the final decision of the review.

F1.4.19 Summary Timeline Table (AY) for Tenure, Promotion, Reappointment, Non-Reappointment, and Faculty Performance Evaluation

AUGUST					
Time Frame	Monday	Tuesday	Wednesday	Thursday	Friday
Last Week	Tenure/Promotion AND Promotion: Academic Affairs creates timeline for tenure/promotion; notifies faculty eligible to apply this academic year				

SEPTEMBER					
Time Frame	Monday	Tuesday	Wednesday	Thursday	Friday
First					Ten/Prom: Academic Affairs works with Faculty Senate to appoint needed dept. review committee members FPE: Faculty submit form to immediate supervisor
Mid-Month	Tenure/Promotion AND Promotion: First informational workshop for faculty				
Last					FPE: Initial supervisor review completed, sent back to faculty

OCTOBER					
Time Frame	Monday	Tuesday	Wednesday	Thursday	Friday
First Week	Tenure/Promotion AND Promotion: Second informational workshop for faculty				
Last					FPE: Faculty meetings with supervisor completed; signed documents submitted to Dean

NOVEMBER					
Time Frame	Monday	Tuesday	Wednesday	Thursday	Friday
Second					Reappointment: When FPE complete, immediate supervisor sends written recommendation of renewal for non-tenured faculty to Dean
Third					FPE: Dean review completed and submitted to VPAA Tenure/promotion: Deadline to notify Provost/VPAA of delay of review
Last Day of Month	Third-Year Pre-Tenure Review: Dean (school director) meets with faculty member, faculty mentor (if assigned), and immediate supervisor (Chair or coordinator) to complete review. Dean files review form with Academic Affairs and provides a copy to the faculty member.				

DECEMBER					
Time Frame	Monday	Tuesday	Wednesday	Thursday	Friday
December 1	Three-Year Post-Tenure Review AND Post-Tenure Review: December 1 deadline for completion of review Non-Reappointment: December 1 deadline for notification of Non-Renewal for regular non-tenured faculty who have completed two full years of employment at ECU.				
First					Reappointment: Dean forwards written recommendation for renewal to VPAA

JANUARY					
Time Frame	Monday	Tuesday	Wednesday	Thursday	Friday
Opening day of the 16-week spring semester	Reappointment: Deadline for notification of renewal for all regular non-tenured faculty who have completed two full academic years of employment at ECU.				
Second Tuesday and Wednesday in Semester (after MLK Day)		Tenure/Promotion: Faculty finalize portfolio by 5pm	Tenure/Promotion: Faculty member removed from access to Portfolio; Portfolio made available to dept. committee for review		
Last					FPE: VPAA reviews completed

FEBRUARY					
Time Frame	Monday	Tuesday	Wednesday	Thursday	Friday
First			Tenure/Promotion: Dept. committee finishes review; Chair generates letter with committee's recommendation and final vote tally	Tenure/Promotion: Chair completes independent review, generates personal letter of recommendation, uploads committee letter and Chair's letter to portfolio; notifies Dean	Tenure/Promotion: By 5pm, Dean completes independent review, generates personal letters of recommendation letter, uploads letter to portfolio; notifies Academic Affairs Office Promotion: ● Faculty finalize portfolio by 5pm
Second	Promotion: ● Faculty removed from portfolio ● Portfolio access given to Chair for review				

Third	Tenure/Promotion: ● Chair sends written notice to faculty of recommendation ● Dean sends written notice to faculty of recommendation and notifies Academic Affairs, completing the review process				
MARCH					
Time Frame	Monday	Tuesday	Wednesday	Thursday	Friday
March 1	Reappointment: March 1 final deadline for Renewal Notification of all regular non-tenured faculty in their first two years of employment (RUSO Manual 3.12) Non-Reappointment: March 1 final deadline for Notification of Non-Renewal (RUSO Manual 3.12)				
First			Promotion: Chairs complete independent personal review of portfolios, generate personal letters of recommendation, upload letters to the portfolio, and notify Dean	Promotion: Deans complete independent personal review of portfolios, generate personal letters of recommendation, upload letters to the portfolio, and notify Provost	
Week before Spring Break					Tenure/Promotion: Provost submits written recommendation to President (on or about Friday)
Week following Spring Break	Promotion: Provost completes review of portfolios		Promotion: Provost submits written		

			recommendation to President	
Last				Tenure/Promotion AND Promotion: President submits written recommendation to the RUSO governing board (on or about Friday)

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APRIL					
Time Frame	Monday	Tuesday	Wednesday	Thursday	Friday
Second	Note: May occur on the second Friday, or the subsequent RUSO board meeting at which tenure & promotion agenda items are acted upon.				Tenure/Promotion AND Promotion: RUSO Board decides on tenure and/or promotion based on the recommendation of the President.
Within seven days following the RUSO board meeting	Tenure/Promotion AND Promotion: Academic Affairs office provides written notification of RUSO decision to faculty member.				
Last Week	Tenure/Promotion AND Promotion: Portfolios made available to faculty Note: May occur within two weeks after Academic Affairs office provides written notification of RUSO board decision.				



Policy and Procedures Manual

Application: All Faculty

Section F1.5 Faculty Separation

F1.5 Faculty Separation

F1.5.1 Dismissal or Suspension of Tenured Faculty

F1.5.1.1 Causes for Dismissal of Tenured Faculty

No tenured member of the faculty shall have their appointment terminated in violation of the principles of tenure adopted by the Board except for one or more of the following causes:

1. Bona fide lack of need of one's services in the university.
2. Bona fide necessity for financial retrenchment.
3. Conviction of a felony.
4. Moral turpitude.
5. Insubordination.
6. Professional incompetence or dishonesty.
7. Substantial or repeated failure to fulfill professional duties or responsibilities or substantial or repeated failure to adhere to Board or university policies.
8. Personal behavior preventing the faculty member from satisfactory fulfillment of professional duties or responsibilities.
9. An act or acts which demonstrate unfitness to be a member of the faculty.
10. Falsification of academic credentials.
11. Two consecutive unsatisfactory post-tenure performance evaluations.

F1.5.1.2 Suspension of Tenured Faculty

The university President shall have the authority to suspend any faculty member formally accused of 3, 4, 5, 6, 7, 8, 9, 10, 11 (listed above in section 1.5.1.1). The President shall notify the Board of the terms and conditions of the suspension. A faculty member should be suspended only if harm to the faculty or students is possible or disruption of proper conditions for teaching and learning are threatened by the faculty member's continuance. During the suspension period, compensation for the suspended person should be continued. If during the suspension period the faculty member is convicted of a felony or a crime involving moral turpitude, the institution shall not continue compensation.

F1.5.1.3 Dismissal of Tenured Faculty Member for Cause

Dismissal proceedings shall begin with a conference between the faculty member and the appropriate academic officer. If this conference does not result in mutual agreement, the academic officer will submit a written recommendation with rationale to the faculty member and the Provost/VPAA.

Within fourteen (14) business days, the Provost/VPAA should have a conference with the faculty member. This conference may result in agreement that the dismissal proceedings should be discontinued or that the best interest of the tenured faculty member and the university would be served by the faculty member's resignation. If this conference does not result in mutual agreement, the Provost/VPAA will submit a written recommendation with rationale to the faculty member and to the President. If the President concurs with the recommendations for dismissal, the President shall send written notification to the faculty member and to the Provost/VPAA. Every reasonable effort must be made by the President to ensure that the communication of this action is received by such faculty members without delay.

If dismissal is required for reasons 1 or 2, the same procedures are outlined in the Dismissal of Tenured Faculty for Program Discontinuance or Financial Retrenchment Policy, see RUSO Policy Manual, Section 3.8.

F1.5.1.4 Disciplinary Action Other Than Dismissal or Suspension

Disciplinary action affecting the terms of employment taken by the university against a tenured faculty member must be based upon causes 3 - 11 in section 1.5.1, or any other adequate cause which relates directly and substantially to the fitness of the tenured faculty member to perform professional duties. Disciplinary action shall begin with a conference between the tenured faculty member and the appropriate academic officer. If as a result of the conference, the academic officer finds that disciplinary action is warranted, a written recommendation for action should be forwarded to the appropriate Dean. If, after review, the Dean decides not to proceed with further disciplinary action, both parties should be notified in writing. If the Dean determines that additional action is warranted, then a conference with the tenured faculty member should be arranged. The Dean may determine that no further action is necessary. If, however, additional action is warranted, the faculty member and the Provost/VPAA shall be notified in writing within fourteen (14) business days. The Provost/VPAA should arrange for a conference with the faculty member. The vice President may then determine that no additional action is necessary. However, the Provost/VPAA should notify the faculty member in writing if an additional plan of disciplinary action is made. A copy of the disciplinary action should be placed in the faculty member's personnel file.

F1.5.1.5 Appellate Committee on Dismissal of Tenured Faculty Members

A tenured faculty member who receives a notice of pending dismissal may request and shall be afforded a hearing before the Appellate Committee on Dismissal of Tenured Faculty Members. Failure to make a request in writing to the President within fourteen (14) business days after receipt of notification shall constitute a waiver by such faculty member of his right to a hearing before the Appellate Committee on Dismissal of Tenured Faculty Members.

Each state institution under the jurisdiction of the Board of Regents of the Regional University System of Oklahoma shall institute an Appellate Committee on Dismissal of Tenured Faculty Members. The committee shall not exceed nine (9) tenured faculty members, eight (8) of whom shall be elected by the faculty governing body of the university and one member appointed by the President of the institution. A quorum shall be five (5) members or a majority of qualified members of the committee. Initially, one-half ($\frac{1}{2}$) of the elected members shall be elected for twelve (12) months and one-half ($\frac{1}{2}$) shall be elected for twenty-four (24) months; thereafter, one-half ($\frac{1}{2}$) shall be elected each year. No member may serve more than two (2) consecutive terms. One (1) or more alternate members of the committee shall be elected to serve in the event a regular member is unable to serve. If any member of the committee is an interested party in a case which comes before the Appellate Committee on Dismissal of Tenured Faculty Members, that committee member shall not serve on that case.

The incumbent committee shall serve until the completion of any case pending at the time its term of service expires.

The decision of the committee shall be based on a majority vote. The committee shall elect its own Chair, who will have the right to vote

F1.5.1.6 Appeal Procedures for Tenured Faculty

1. After a faculty member has requested a hearing before the Appellate Committee on Dismissal of Tenured Faculty Members, service of notice of hearing with specific charges in writing will be made at least twenty (20) business days prior to the hearing. The faculty member may reply by requesting a hearing or by waiving the hearing and filing a written brief in their defense. If the faculty member waives hearing, but denies the charge against them or asserts that the charges do not support a finding of adequate cause, the Appellate Committee on Dismissal of Tenured Faculty Members will evaluate all available evidence, including testimony and documentary evidence presented by the university, and make its recommendation upon the evidence in the record.
2. If the faculty member requests a hearing, the Appellate Committee on Dismissal of Tenured Faculty Members shall, with due diligence, and in keeping with the Administrative Procedures Act, considering the interests of both the university and the faculty member affected, hold a hearing and report its findings and

recommendations to the university President and to the involved faculty member.

3. At hearings before the Appellate Committee on Dismissal of Tenured Faculty Members, faculty members and the university shall be permitted academic advisors and/or counsel. A court reporter will be retained by the institution to record the proceedings. In the event of further appeal, each party will pay the entire cost of their copy of the transcript. The committee, after consultation with the President and the involved faculty member, will exercise its judgment as to whether the hearing should be public or private.
4. The faculty member will be afforded an opportunity to obtain necessary witnesses and documentary or other evidence. The administration of the institution will attempt to secure the cooperation of such witnesses and will make available necessary documents and other evidence within its control. No employee of the institution, regardless of position, should be excluded or excused from appearing before the committee if called.
5. The hearing will begin with the Chief Academic Officer presenting the case for dismissal and continue with the faculty member presenting the case against the dismissal. Each side may introduce evidence and/or call witnesses as desired. The faculty member and the university will have the right to cross-examine all witnesses present. Depositions are admissible whenever a witness cannot appear.
6. In all hearings before the committee, the involved faculty member will have appealed an administrative action recommending termination of contract. In order that the committee can fairly judge the merits of the original action, it is evident that the administration must at all times be represented by an administrator who can speak for the administration with authority. It is required that the President, the vice President for academic affairs, or the Dean of the affected college/school act in that capacity and be present, with legal counsel, throughout the entire hearing. In the event that the action to dismiss originates at a higher level than the school, the Dean shall not be the administrative representative.
7. The committee may conclude that adequate cause for dismissal has been established or has not been established, but an academic penalty less than dismissal, including removal of tenure, would be more appropriate. The committee's findings and recommendations shall be made to the university President. The committee shall send a copy of its findings and recommendations to the affected faculty member.
8. The President shall notify the affected faculty member within a reasonable time of the President's recommendation to the Board. The faculty member shall have the right to request the Board to review adverse findings and recommendations of the committee or the President. The request must be in writing and filed within fifteen (15) business days after final notification by the President of the university at the office of the Board of Regents of the Regional University System of Oklahoma. If the affected faculty member does not file a timely request that the Board review the President's findings and recommendations, the President's determinations become final and binding.
9. In the event the faculty member submits a timely request to the Board to review adverse findings and recommendations of the President, the faculty member must indicate whether they desire a hearing of all of the evidence of the case; otherwise, the review will be a review of the record of the case. The Board has the discretion to determine whether the review will be de novo hearing or a review of the record.
10. Public statements and publicity about the case by the university will be avoided until the proceedings, including consideration by the Board, have been concluded.

F1.5.2 Termination Following Two Consecutive Unsatisfactory Tenure Reviews

1. Tenure is an expression of the institution's confidence in and commitment to the faculty member. Tenure is awarded in recognition of the faculty member's excellence in professional, scholarly, and/or creative endeavors, their contributions to the university and the community, and their effective classroom performance. It is expected that the faculty member will continue to develop professionally and to contribute significantly to the university after they have been tenured. The Board has mandated that all tenured faculty shall be reviewed at least every three years. The purpose of the review is to assess and document the professional growth, professional reliability, professional integrity, and classroom effectiveness of the faculty member. The procedure for three-year tenure review is found in Section 1.5.
2. Unsatisfactory Three-Year Tenure Review. In the event that the first three-year tenure review is unsatisfactory, the faculty member shall have a second tenure review by the same procedure the next year. In the event that a faculty member receives an unsatisfactory tenure review for two consecutive years, the procedure for dismissal

of tenured faculty, as outlined in Section 1.5.1.3, shall be implemented. The faculty member shall have the rights of appeal outlined in Section 1.5.1.6.

F1.5.3 Termination of Faculty for Medical Reasons

Termination of an appointment with tenure or of a probationary or special appointment before the end of the period of appointment, for medical reasons, will be based upon clear and convincing medical evidence that the faculty member cannot continue to fulfill the terms and conditions of the appointment. The decision to terminate will be reached only after there has been appropriate consultation and after the faculty member concerned, or someone representing the faculty member, has been informed of the basis of the proposed action and has been afforded an opportunity to present the faculty member's position and to respond to the evidence. If the faculty member so requests, the evidence will be reviewed by the Appellate Committee for Dismissal of Tenured Faculty before a final decision is made.

F1.5.4 Dismissal of Tenured Faculty for Program Discontinuance or Financial Retrenchment

A faculty member with tenure whose position is terminated, based on genuine financial retrenchment, bona fide discontinuance of a program, or lack of need for one's services, will be given five (5) months written notice unless an emergency arises.

Before terminating an appointment because of discontinuance of a program or department, or because of other lack of need of one's services, the university will make reasonable efforts to place affected members in other suitable positions.

If an appointment is terminated due to aforementioned reasons, the released faculty member's position will not be filled by a replacement within a period of two years, unless the released faculty member has been offered reappointment at their previous status.

For complete guidelines and procedures for the current Dismissal of Tenured Faculty for Program Discontinuance or Financial Retrenchment, see RUSO Policy Manual, Section 3.8.

F1.5.5 Termination for Cause or Suspension of Non-Tenured Faculty

The termination of employment for cause or suspension of a non-tenured faculty member within an existing contract period shall follow the same procedures and be limited to the same reasons as provided for tenured faculty members who are terminated for cause or suspended.



Policy and Procedures Manual

Application: All Faculty

Section F1.6 Ethics, Duties, and Responsibilities

F1.6 Ethics, Duties, and Responsibilities

F1.6.1 Professional Ethics

As members of their separate learned societies and of the teaching profession, faculty members are considered to be professionals. As professionals, faculty members exhibit considerable autonomy in their activities and are guided in these activities by codes of ethical conduct.

F1.6.1.1 Ethics in Teaching

Faculty members should be guided by the "Statement on Professional Ethics" of the AAUP.

F1.6.1.2 Ethics in Research

When conducting and reporting research, faculty members should adhere to accepted ethical procedures. Persons performing research on human subjects should abide by the Policy and Procedures for the Protection of Human Subjects in Research Activities, which is on file with the Research and Professional Development Committee.

F1.6.2 Faculty Authority

No faculty member, administrator, or other representative of the university shall make any representations to, or enter into any agreements with, or act toward any student or other person in any manner which is not in conformity with established university policies, practices, and procedures expressed in the Faculty Handbook, the University Catalog, or other published university documents.

F1.6.3 Teaching Responsibilities

The determination of an equitable time and amount of work for university faculty is a complex process. University professors are not required to adhere to a rigid time schedule, yet, they are not self-employed and completely free to set their own work schedules. University professors are expected to have the integrity to devote to their job the amount of time necessary to complete the tasks assigned. This often entails working nights and weekends grading papers, preparing lectures, researching in the library, etc. They are also expected to be available for a fixed amount of time to teach classes, advising and assisting students, meeting with committees, etc. By recognizing both the flexibility and responsibilities of their unique professional status, faculty members can derive much self-esteem from having the freedom to select when they can best prepare for their professional responsibilities as university professors. On the other hand, there is potential for abuse. If faculty were on campus only to teach classes, the students would suffer from the inability to confer with faculty. Faculty members are employed to engage in teaching, research, and public service for an academic year.

F1.6.4 Definition and Philosophy of Advising

Advising is an integral and necessary part of the higher educational process. Although much faculty advising of students does occur spontaneously, it is vital to the overall quality of life and education at East Central University that there be some clear and conscious channels of advising open to students. Evidence suggests that the most effective form of advising in the college setting is a two-way interaction between student and advisor. An expanding literature of research into college advising repeatedly points to faculty members as the most influential and most significant source of advising to students.

Through the advising role, a faculty member can find opportunities to enhance the educational program and individual development of their students. This has special significance in an educational institution like East Central University, since direct experience and contact with faculty members strengthen the relationship between academic preparation and the worlds of work and career. Helping others to develop their potential by acting as coordinator, inspiration, catalyst, partner, or architect of their educational experiences provides not only intrinsic satisfaction, but also enriches a teacher's knowledge of human nature and development, often contributing to a reappraisal of their own intellectual pursuits and growth. It is no accident, therefore, that advising is considered as a vital part of faculty service to the university.

To be most effective, advising must be personal rather than mechanical. Scheduling and honoring mutually convenient office hours is one way to assure at least minimum availability. That faculty members are knowledgeable about their own fields of study is unquestioned; however, students look to faculty members as a source of all knowledge. Providing additional information about some basic institutional and college requirements and sources of information is vital. No person is or can be expected to have all the answers to all the questions they are likely to be asked. What is most important to students, and is likely to influence their attitudes toward East Central University and its educational programs, is evidence of genuine concern.

F1.6.4.1 University Policy on Advising

The academic advisor has the responsibility of helping students plan their academic program in light of their educational and vocational objectives, their special interests and abilities, and the goals and procedures of the university. The primary responsibility for academic advising at East Central University rests with the faculty. Personnel in other offices in Student Development and the Academic Success Center provide academic assistance. The organization and administration of the academic advisement program is the responsibility of the Provost/VPAA. The student is responsible for identifying and completing the degree program requirements.

F1.6.5 Service to Institution

East Central University recognizes its responsibility for educational leadership and service, and for intellectual alertness among its faculty. These concerns are reflected in the criteria for the granting of promotion and tenure. It is the responsibility of every faculty member to contribute to the educational and service interests of the university, and to continue to develop mastery of their professional discipline. Educational leadership within the institution is achieved through faculty excellence in teaching. It is expected that faculty members will be thoroughly prepared for their classes, will meet their classes promptly, and will evaluate their students fairly. Faculty participation in group deliberations on the departmental, college/school, and/or university level is necessary for the improvement of the academic program and smooth operation of the university community. Such participation facilitates the university's attainment of educational leadership and is the responsibility of every faculty member.

Faculty members also have an obligation to the institution in the area of service. This obligation is fulfilled through contributions to professional organizations and community work. Some faculty members may be called upon to serve as advisors to student organizations or to otherwise facilitate the social and scholarly development of the student outside the classroom setting.

The faculty member has an obligation to grow professionally. Unless each faculty member keeps up with recent developments in their field and strengthens their grasp on older materials, they will soon dwindle into ineffectiveness as a scholar and a teacher. Continued development in their professional discipline is expected of every faculty person. Such development may be in the form of formal course work towards a terminal degree, or by attendance at continuing education programs. Continuing mastery of the discipline also is evidenced by research, or creative or scholarly work.

F1.6.6 Faculty Workload

The academic work year is determined by the contract between the university and the individual faculty member. The beginning and ending of each semester and intervening holidays are determined by the approved academic calendar.

The following, and such other days as the board or the university President, on authority of the board, may designate, shall be holidays for employees:

1. New Year's Day
2. Martin Luther King, Jr. Day
3. Memorial Day
4. Independence Day
5. Labor Day
6. Thanksgiving Day
7. Christmas

If any such holiday falls on Sunday, the succeeding Monday shall be a holiday.

F1.6.7 Teaching Load and Compensation

The following is a definition of the faculty teaching load and the factors used to compute the load. The teaching load is defined in terms of Faculty Load Hours (FLH).

F1.6.7.1 Definition of Faculty Load Hour

A faculty load hour is defined as teaching a lecture class that meets one 50-minute period each week for a 16-week semester, i.e., a one-semester credit hour lecture course equals one FLH. Since there is a well-defined statement regarding the equivalence of a semester credit hour lecture course (1 hour = 800 minutes class time), the number of semester credit hours is equivalent to the faculty load hour for lecture courses regardless of the length of class periods or the number of weeks.

F1.6.7.2 Conversion of "non-lecture" instructional assignments to FLHs

1. Class contact hours spent in laboratory courses will be converted as though one 50-minute period equals $\frac{3}{4}$ FLH. For purposes of this definition, laboratory courses are defined as those in which lecture instruction is enriched by laboratory experiences; i.e., the course must have distinct lecture and laboratory periods assigned. This includes courses in biology, chemistry, physics, and nursing, for example.
2. Classes that are held entirely in a laboratory setting, generally those in which students are required to meet two 50-minute periods per week for one semester hour credit, shall be converted as follows: one 50-minute period equals $\frac{2}{3}$ FLH. This includes courses in art and family and consumer sciences, for example.
3. Private music lessons shall be converted as though three 30-minute lessons per week, for the semester, equals one FLH.
4. The FLHs for 5000 level courses are to be converted by multiplying $\frac{5}{4}$ times the FLH that the course is assigned. (Not applicable to the summer term.)
5. The faculty load hours given for supervision of students in internships or practicums, provided they are off-campus, will be one FLH for three half-semester internships, practicums. If the duration of the internship varies from half semester, the faculty workload is pro-rated accordingly, provided the number of trips to supervise the student is extended accordingly. The faculty load hours given for supervision of student teachers will be one FLH for two twelve-week student teachers. It is assumed that during a half-semester internship, practicum or twelve weeks of student teaching, the supervisor will visit the student a minimum of three times.
6. Since individual studies or courses taught by directed readings (to be arranged) are at the discretion of the faculty member, generally no FLHs will be given for this instruction. However, if the number of credit hours being taught in this type of course is nine or more and is being taught in at least three different courses, then the faculty member will receive one FLH. No faculty member may receive more than one FLH per semester for such courses.
7. Residence Year Supervision will not be included in load. Faculty will contract for out-of-load reimbursement.
8. Faculty teaching courses at an off-campus site that requires the faculty member to be at the site will receive

compensation in the amount to equal 1 hour of overload pay for 16 trips during the semester. For courses requiring fewer than 16 trips, the amount of compensation will be prorated (number of trips divided by 16 times the amount of payment for one hour of overload pay). Compensation requires the faculty member to live outside the service area of the off-campus site. Compensation requires prior approval by Dean and Chair.

9. The faculty load hours given for supervision of students who successfully complete Honors Program projects and theses will be one FLH for each successfully completed Honors thesis (two semesters of independent study) and .17 FLH for each successfully completed Honors Project. Compensation will come in the form of a stipend that will be awarded in June for work done in the previous spring and fall semesters.

F1.6.7.3 Normal Load

1. Academic Year. A full teaching load, including conversions and/or assignments, for the academic year for a regular faculty member is defined as 24 FLHs. Each faculty member shall be assigned the equivalent of at least 10 FLHs each semester during the academic year. In order to pursue the goal of increased productivity in all areas of responsibilities (instruction, research, public service), the recognized teaching load for full-time faculty members is 24 (FLH) per academic year. Although 24 hours is the recognized load, there may be years where a person might be assigned as many as 27 hours in a year. This flexibility is necessary because it is not always possible to assign exactly 24 hours to every faculty member. The faculty load hour (FLH) is defined in Section 1.6.7 Teaching Load.
2. The full instructional load for the summer term for regular faculty is defined as 9 FLHs. For summer school salary calculations and determination of other responsibilities, reduced loads will be prorated.

F1.6.7.4 Overload

The university is committed to the goal of not overloading the faculty. The faculty can be more productive in the areas of research, public service, advisement, and curriculum development if teaching loads are within defined limits. However, it is not always possible to meet class needs without assigning additional courses. Since overload is a possibility, the following policies shall be used:

1. Overload pay shall be given for FLHs taught during the academic year that are in excess of 24 to 27 FLHs except in years of financial distress. During such periods, 27 FLHs could be a regular faculty load.
2. No overload shall be paid if faculty has reassigned load without the written approval of the Provost/VPAA.
3. No person can earn more than six (6) hours overload in any one academic year except by prior, written approval of the Provost/VPAA and vice President for academic affairs.

F1.6.7.5 General

In assigning the workload of a faculty member, Chairs take into consideration certain variables:

1. the number of different class preparations required each semester;
2. the number of total student credit hours taught each semester;
3. courses that require an unusually large amount of paper grading by the faculty member.

F1.6.7.6 Reassigned Load

Serving on the Faculty Senate, standing committees, and ad hoc committees is done without a reduction in teaching load. The assignment of non-instructional duties related to the educational functions (instruction, research, public service) is as follows:

1. Some faculty members are assigned to supervise organized activities related to the instruction function, such as forensic teams and directing drama productions and musical groups. Specific faculty loads are assigned below for these various duties. No FLHs will be given for the courses assigned in conjunction with these activities.

Normal reassigned load is:

- | | |
|---------------------------|-----------|
| ● Forensics Director | 3 FLH/SEM |
| ● Drama Director | 3 FLH/SEM |
| ● Band Director | 7 FLH/SEM |
| ● Assistant Band Director | 5 FLH/SEM |
| ● Vocal Music Director | 6 FLH/SEM |

2. Deans and Department Chairs shall receive teaching load credit for their administrative responsibilities according to the following guidelines:

- Deans are considered full-time academic administrators with negotiated teaching assignments.
- Department Chairs will receive the number of FLHs per year designated in the following table:

Number of full-time faculty (including the Chair)	Reassigned Time
1 – 4	0 FLH/YR
5 – 10	3 FLH/YR
11 or more	6 FLH/YR

- Department Chairs receiving zero (0) FLH will earn three (3) FLHs reassigned time in the fall semester in which a program or programs housed in the department are scheduled for program review. No overload salary will be allowed during this year.
 - Department Chairs receiving three (3) FLHs will earn an additional three (3) FLHs of reassigned time for the academic year in which a program or programs housed in the department are scheduled for program review. No overload will be allowed during this year.
 - Faculty serving in unofficial status as “Program Director” or “Program Coordinator” will not earn reassigned time for program review.
3. Faculty members may be assigned FLHs for conducting research. The number of FLHs will be recommended by the Research and Professional Development Committee and approved by the Provost/VPAA.
4. The Provost/VPAA may assign FLH credit for special projects, such as curriculum development, institutional research, accreditation requirements, or other activities related to the educational (instruction, research, or public service) function.

F1.6.7.7 Time and Effort Report

Faculty earning reassigned time under section D above shall submit an annual time and effort report to the Office of Academic Affairs accounting for the reassigned time.

F1.6.7.8 Compensation for Course Development

For various reasons, the university may request the services of a faculty member to create a master course shell. When appropriate, the Administration will enter into an agreement with the faculty member as a coursewriter. Following are the general stipulations inherent in all agreements:

- The coursewriter agrees to create or enhance a master course, including all ancillary course materials, within the designated timeframe as specified by the course development agreement form.
- The coursewriter agrees to follow university policies and procedures as outlined in the relevant ECU Handbooks.
- The coursewriter understands that compensation will be negotiated with faculty prior to entering into the agreement and paid upon course completion as specified above through ECU’s supplemental payroll system.
- The coursewriter understands that personal access to intellectual property is retained after completion of the agreement (i.e., original work including tangible and intangible creations of the human intellect). Should the coursewriter leave the university, the coursewriter will be able to retain a copy of all course materials. *For additional details about intellectual property rights, please refer to Section F8.1*
- The coursewriter understands that signing the agreement and receiving compensation for work conducted over and above the current assigned duties as an ECU employee, releases the employee’s personal intellectual property rights for this course to ECU, giving ECU the ability to assign instructional duties to another faculty member.
- The coursewriter understands that if unable to fulfill the responsibilities of the agreement, said coursewriter will inform the Administration as soon as possible to allow the university to fulfill their program and contractual obligations. The coursewriter further understands that the Administration has the right to dissolve this agreement prior to completion and said coursewriter will be compensated for work done to date.

F1.6.8 Faculty Research

It is the responsibility of East Central University to stimulate research and creative scholarship on the part of its faculty members. In order to facilitate this, the university, when funding is available, provides grants for selected research projects.

In general, these grants are intended to facilitate faculty research at the university level by encouraging the increase of knowledge and understanding of academic and professional areas and instructional processes and products and the development and evaluation of innovative ideas. Research grants may be awarded to regular faculty members for a semester, the academic year, and/or summer term.

F1.6.8.1 Research Support

1. **Reassigned Teaching Load.** Grants may be used for a reduction in the teaching load of a faculty member for a maximum of six hours per academic year subject to approval of the Chair, Dean, and Provost/VPAA. Normally the funds of the research grant will be used to pay part-time and/or overload to faculty teaching those courses from which the researchers have been released.
2. **Other Support.**
 - **Private Rooms.** Private rooms for university research shall be provided for faculty members when available. Otherwise, every attempt will be made to find a suitable space for the research, either by sharing office, laboratory, or other space normally used for other purposes or by requesting space off-campus from private industry.
 - **Secretarial Services.** Secretarial service for university research projects may be provided, as funds allow, through the use of student workers hired for the department under which the research is being conducted. In the event that more experienced skills are needed (for example, in typing final reports), full-time secretaries may be asked to perform the task as time permits, as long as this does not interfere with their other duties.

F1.6.8.2 Required Reports on Research Activities

Reports of research sponsored by the university must be completed as the rules of the Research and Professional Development Committee state. If other sources of funds for research are utilized, copies of the reports of this research that are submitted to the sponsoring organization shall also be filed in the office of the President of the university. In addition, Department Chairs and Deans may request copies of research reports done in their area if they so desire.

In order to accurately track proposal development, submission, and award, Principle Investigators should initiate all grants and contracts only after first contacting the Office of Sponsored Programs and Research (OSPR) and filing the appropriate paperwork.

The first step in the university grant submission process is the completion of a planning sheet which may be obtained from the OSPR. This Planning Sheet contains basic information about the proposal and should be completed prior to actual proposal development. Although the Planning Sheet contains sections requesting financial information, it is clearly understood that data entered on the Planning Sheet are only preliminary estimates. Final figures for a submitted proposal will be taken from the file copy left in the Grants Office for reference.

(NOTE: THE ONLY AUTHORIZED UNIVERSITY REPRESENTATIVE WHO MAY SIGN GRANTS, CONTRACTS AND APPLICATIONS IS THE UNIVERSITY PRESIDENT.)

The following steps should be utilized when initiating a proposal/grant/contract on behalf of East Central University:

1. Print a Proposal Planning Sheet from the OSPR website; secure signatures/approval of the Proposal Planning Sheet PRIOR to writing the proposal.
2. Research and write the proposal.
3. Conduct a proposal budget review with the Compliance Officer of the OSPR. This review should be conducted

when the budget is sufficiently developed to allow for a review and revision, if necessary.

4. Prior to submission, the complete proposal and budget must be reviewed by the Director of OSPR. Once approval has been received, the proposal will be sent to the President for signature. THE DIRECTOR OF OSPR MUST SIGN OFF ON THE PROPOSAL BEFORE THE PRESIDENT WILL SIGN THE DOCUMENT.
5. Submit proposal according to the funding agency's requirements—electronic or paper. When electronic submissions are made via grants.gov, Fastlane, etc., only OSPR has authority to submit the proposal.
6. Submit a copy of the proposal to OSPR.
7. Once the proposal has been submitted, the PI must submit a Certification Memo indicating who was responsible for writing the proposal and if multiple writers, each person's percentage of effort must be indicated.
8. When the notification of award is received, OSPR should be notified and provided a copy of the award letter. Using award letter and information from the funded proposal, OSPR will initiate the process of obtaining an accounting procedure from the controller's office. If the proposal is not funded, the letter should be forwarded to OSPR so the file can be closed.

F1.6.9 Intellectual Property, Ownership, Copyright, Patent, and Revenue

Faculty are encouraged and expected to pursue intellectual inquiry, research, scholarship, and creativity in furtherance of the University's educational and academic mission. The University is committed to an academic tradition that recognizes the intellectual property rights of those who create work, including legally compliant uses of the work of others in the course of scholarly inquiry. Please refer to the East Central University Intellectual Property, Ownership, Copyright, Patent, and Revenue Policy found in the Section F8.1.

F1.6.10 Consulting

The university recognizes the value of professional consulting work in terms of the academic growth of the faculty member as well as the benefit to the community that results from the sharing of knowledge and expertise. Consulting work is encouraged as long as it does not interfere with the adequate performance of teaching contract duties.

F1.6.10.1 Consulting for Other Agencies

The attorney general has given an official opinion that affects those who arrange workshops and seek consultants from among colleagues in other state institutions. Statements 1 and 2 below are taken from page 3 of the Attorney General's Opinion #80-213. It is, therefore, the official opinion of the attorney general that:

1. a state employee of one agency may not enter into a contract with another state agency, either as an individual or through any business enterprise in which the employee holds a substantial financial interest to furnish said agency consultant services;
2. a full-time state employee of one agency may not be paid consultant fees by another state agency; and
3. another state agency may contract with the university for the services of an individual faculty member.

F1.6.11 Outside Employment and/or Business Interests

The person who accepts full-time employment at East Central University thereby assumes a primary professional responsibility to the university that is inherent in their faculty assignment. Such an assignment traditionally includes teaching, research, and service. The individual faculty member is responsible for managing their time in accomplishing these assignments. These arrangements will be subject to evaluation by the appropriate administrators as part of the faculty member's professional assessment for tenure, promotion, and salary. Any other employment that the faculty member engages in for remuneration, or not for remuneration, or any other business interests they pursue, they do with the understanding that these enterprises are secondary to their university work.

Outside employment essentially falls under either of two categories: 1) Consulting, and 2) Other Outside Employment and/or Business Interests. With reference to the first category, the faculty member may wish to, or be requested to, share their professional expertise by doing consulting outside the university. They may do such consulting, for remuneration or not, so long as these activities do not infringe upon the consultant's regular university duties or in other ways conflict with other interests of the university. Consulting that requires their absence from classes, however, will require prior approval from the Department Chair, Dean, and/or the Provost/VPAA. With reference to the second category, the faculty member may engage in other outside employment, of a professional or non-professional nature, and/or business interests only if such activities do not so encroach upon their time and energies to cause neglect of their university duties and only if these activities do not conflict with the policies, purposes, and interests of the university.

F1.6.12 Community Service

The extent to which a faculty member participates in community activities, whether of a civic, religious, governmental or professional nature, is the prerogative of the individual. They should realize, nonetheless, that community service, as ascertained by the faculty member's account of such activities on their Annual Faculty Performance Evaluation Report, section III will be evaluated by appropriate administrators as a part of the faculty member's total professional performance in determining salary.

F1.6.13 Conflict of Interest Policy for East Central University

1. At the time of submission of any grant or contract proposal submitted to the National Science Foundation (NSF), each ECU faculty or staff member listed in the proposal as an investigator must report in writing to the Office of Sponsored Programs and Research Director, a written statement divulging any significant financial interests of the investigator (including those of the investigator's spouse and dependent children) (i) that would reasonably appear to be directly and significantly affected by the research or educational activity funded or proposed for funding by NSF; or (ii) in entities whose financial interests would reasonably appear to be directly and significantly affected by such activities.

The term "significant financial interest" means anything of monetary value, including, but not limited to, salary or other payment for services (e.g., consulting fees or honoraria); equity interests (e.g.; stocks, stock options or other ownership interests); and intellectual property rights (e.g., patents, copyrights and royalties from such rights). The term does not include:

- a. salary, royalties or other remuneration from the institution; or any ownership interests in the institution, if the institution is an applicant under the Small Business Innovation Research Program or Small Business Technology Transfer Program;
 - b. income from seminars, lectures, or teaching engagements sponsored by public or nonprofit entities;
 - c. income from service on advisory committees or review panels for public or nonprofit entities; or
 - d. financial interests in business enterprises or entities of the value of such interests does not exceed \$5,000 or represent more than 5% ownership interest for any one enterprise or entity when aggregated for the investigator and the investigator's spouse and dependent children.
2. The Director of OSPR will be responsible for reviewing any financial disclosure statements to determine whether an actual or potential conflict of interest exists, and determine after consultation with the University President, or their designee, what conditions or restrictions, if any, should be imposed by the institution to manage, reduce or eliminate such conflicts of interest.
 3. Investigators must provide the required financial disclosure statements at the time of submission of the NSF proposal. Further, any changes to the financial status pertinent to the proposal must be updated, if necessary, during the dependency of the award, either on an annual basis, or as new reportable significant financial interests are obtained.

4. Any faculty member found to be in willful violation of this policy will be subject to normal university sanctions as detailed in the personnel policies of the university.
5. The National Science Foundation will be notified in writing of any conflicts of interest not satisfactorily managed by the university. Such notification will be provided by the Director of the Grants Research Information Center to the appropriate NSF Program Chair within 30 days of any determination of potential conflict not agreeably managed by the university as determined by the university President or their designee.
6. Financial Disclosure records will be kept by the university for a minimum of three years following the termination or completion of the award to which they relate, or the resolution of any government action involving those records.

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Policy and Procedures Manual

Application: All Faculty

Section F1.7 External Funding

F1.7 External Funding

F1.7.1 General Statement

The purpose of this policy is to inform the Program Director/Principal Investigator (PD/PI) of the policies and procedures that are involved following receipt of a grant award or contract. One of the primary goals of the Office of Sponsored Programs and Research (OSPR) is to provide the PD/PI with contractual, financial and administrative support. The OSPR will also assist the PD/PI to effectively manage the project and project funds to facilitate a smooth closeout and to prevent any cause for audit investigation.

Note: The president of East Central University (ECU), unless otherwise appointed by the President, is the only person legally allowed to enter into an agreement with other entities.

Refer to the Policies and Procedures Manual for External Grant Management for complete information.



Policy and Procedures Manual

Application: All Faculty

Section F1.8 Faculty Rights and Privileges

F1.8 Faculty Rights and Privileges

F1.8.1 Academic Freedom

1. Non-tenured faculty members shall be afforded the same rights and academic freedom as tenured faculty. Faculty members are entitled to freedom regarding research and in the publication of the results, subject to the adequate performance of instructional and non-instructional duties. Patent and copyright ownership will vest consistent with Board policy.
2. Faculty members are entitled to freedom in the classroom in discussing their subject, but the faculty should be objective in teaching of a controversial matter which has relation to that subject and of controversial topics introduced by students. Faculty members should not introduce controversial matters that have little or no relation to the subject of instruction.
3. University faculty members are individuals, members of a learned profession, and representatives of the university. When the faculty member speaks or writes as an individual, there shall be freedom from institutional censorship or discipline, but faculty position in the community imposes special obligations. As a person of learning and an education representative, the faculty member should remember that the public may judge the profession and the university by faculty utterances. Hence, the faculty member should, at all times, be accurate, should exercise appropriate restraint, should show respect for the opinions of others, and should make every effort to indicate that faculty members do not speak on behalf of the university.
4. Academic freedom should be distinguished clearly from constitutional freedoms, which all citizens enjoy equally under the law. Academic freedom is an additional assurance to those who teach and pursue knowledge and thus, pertains to rights to expression regarding teaching and research within specific areas of recognized professional competencies.
5. Administrators must protect, defend, and promote academic freedom.

F1.8.1.1 Academic Responsibility

1. The concept of academic freedom must be accompanied by an equally demanding concept of academic responsibility. The concern of the university and its members for academic freedom safeguards must extend equally to requiring responsible service, consistent with the objectives of the university.
2. Faculty members have responsibilities to their discipline and to the advancement of knowledge generally. Their primary obligation in this respect is to seek and to state the truth as they see it. To this end, they shall devote their energies to developing and improving their scholarly competence. They shall exercise critical self-discipline and judgment in using, extending, and transmitting knowledge and they shall practice intellectual honesty.
3. Faculty members have responsibility to their students. They shall encourage, in students, the free pursuit of learning and independence of mind, while holding before them the highest scholarly and professional standards. Faculty members shall show respect for the student as an individual and adhere to their proper role as intellectual guides and counselors. They shall endeavor to define the objectives of their courses and to devote their teaching to the realization of those objectives. A proper academic climate can be maintained only when faculty members meet their fundamental responsibilities regularly, such as preparing for and meeting their assignments, conferring with and advising students, evaluating fairly and participating in group deliberations which contribute to the growth and development of students and the university. All faculty members also have the responsibility to accept those reasonable duties assigned to them within their fields of competency, whether curricular, co-curricular, or extra-curricular. Faculty members make every reasonable effort to foster honest

academic conduct and to assure that their evaluations of students reflects their true merit. They do not exploit students for private advantage and acknowledge significant assistance from them. They protect students' academic freedom.

4. Institutions of higher education are committed to open and rational discussion as a principal means for the clarification of issues and the solution of problems. In the solution of certain difficult problems, all members of the academic community must take note of their responsibility to society, to the institution, and to each other, and must recognize that at times the interest of each may vary and will have to be reconciled. The use of physical force, harassment of any kind, or other disruptive acts that interfere with ordinary institutional activities, with freedom of movement from place to place on the campus, or with freedom of all members of the academic community to pursue their rightful goals are the antithesis of academic freedom and responsibility. So, also, are acts that, in effect, deny freedom to speak, to be heard, to study, to teach, to administer and to pursue research. It is incumbent upon each member of the academic community to be acquainted with their individual responsibilities, as delineated by appropriate institutional statements found in the faculty handbook.
5. Faculty members have responsibilities to the educational institution in which they work. While maintaining their right to criticize and to seek revisions, they shall observe the stated regulations of the institution. Faculty members shall determine the amount and character of the work they do outside their institution with due regard to their paramount responsibilities within it. When considering the interruption or termination of their service, the faculty member recognizes the effect of such a decision upon the program of the institution and gives due notice of the decision.
6. Faculty members have responsibilities to their community. As a person engaged in a profession that depends upon freedom for its health and integrity, the faculty members have a particular obligation to promote conditions of free inquiry and to further public understanding of academic freedom.



Policy and Procedures Manual

Application: All Faculty

Section F1.9 Faculty Grievance Policy

F1.9 Faculty Grievance Policy

University employees have the right to express their grievances and seek solutions over disagreements that may result in their working relationships, working conditions, employment practices or differences of interpretation of policy. Excluded from grievance policy are complaints concerning 1) wages and salaries; 2) performance-related dismissals during the initial probationary period of employment; 3) university statements concerning policies and rules; and falsification of application (or resume) for employment and other employment-related documents.

This policy applies to full-time and part-time faculty and is the only formal process for resolving internal employment problems for those employees protected by it. Complaints should be resolved through informal discussions by the parties involved whenever possible. If a complaint cannot be resolved informally, the grievance procedure is available.

F1.9.1 Faculty Grievance

The university recognizes the right of faculty to express their grievances and seek a resolution concerning work-related disagreements that might arise between the university and its faculty such as but not limited to their working relationships, working conditions, employment practices or differences of interpretation of policy. Excluded from grievance policy are complaints concerning 1) wages and salaries; 2) performance-related dismissals during the initial probationary period of employment; 3) university statements concerning policies and rules; and falsification of application (or resume) for employment and other employment-related documents. The purpose of the faculty grievance policy is to provide an avenue for the resolution of informal and formal grievances without fear of coercion, discrimination, or reprisal because of exercising rights under University policy.

This policy applies to all ECU faculty, both full-time and part-time. Complaints should be resolved through informal discussions by the parties involved whenever possible. If a complaint cannot be resolved informally, the grievance procedure is available.

F1.9.1.1 Informal Procedure

Faculty members having complaints are encouraged to seek informal resolution. The university maintains an open-door-policy and administrators encourage faculty to communicate issues of concern to their Department Chair or administrative supervisor. In situations with a potential conflict of interest or when the respondent is also the party to whom the faculty member must report the grievance, the faculty member should begin seeking resolution with the next level up (for example, if the faculty member's grievance is with their Chair, the faculty member should attempt resolution with their dean, if the grievance is with their dean, then the faculty member should enter into discussions with the President). If the grievance cannot be resolved informally, the formal procedure is available. It provides for a prompt and impartial review of all factors involved in the grievance.

F1.9.1.2 Formal Procedure

A formal grievance may be made when informal processes have not resolved a work-related issue and when a faculty member believes that they have been discriminated against on the basis of race, national origin, age, sex, disability or status as a veteran or that a violation of policy has occurred concerning working conditions, employment practices, individual rights, academic freedom, or due process (in matters not related to promotions and tenure). Complaints regarding promotions and tenure are addressed in the Faculty Personnel Policies section of this manual. Issues relating

to salary increases, fringe benefits, and non–renewals of non–tenured track appointments are excluded from the formal grievance definition.

The Faculty Appellate Committee (FAC) is elected by the Faculty Senate and is a standing body that responds to grievances unresolved through administrative or informal procedures. The FAC for East Central University is described in the Committee Handbook.

F1.9.2 Faculty Grievance Procedure

Complaints unresolved administratively solely involving harassment based on race, ethnicity, sex, or discrimination because of race, national origin, sex, sexual identity, sexual orientation, color, age, religion, disability or status as a veteran must be filed with the Affirmative Action Officer (AAO). (See Employee Handbook, University Policies, subsections Sexual Harassment and Racial and Ethnic Policy.) All other grievances must be filed with the President or President's designee in the event that the President or another vice President is the grievant or respondent, who will then notify the Faculty Appellate Committee (FAC).

The grievance must be filed with the FAC Chair (through the President's office or President's designee in the event that the President or another vice President is the grievant or respondent) or Affirmative Action Officer as soon as possible, but not more than one year from the date on which the faculty member knew or reasonably should have known of the violation giving rise to the grievance.

1. The grievant shall state fully in writing the facts upon which the complaint is based. A written complaint must contain the following:
 - A clear and detailed, signed statement of the grievance,
 - The specific remedial action or relief sought,
 - A summary outlining with whom the points of dissatisfaction were discussed and with what results, and
 - A summary of any evidence upon which the charges or complaints are based.
2. Where more than one type of complaint is present (i.e., sexual harassment and violation of due process), a copy of the harassment or discrimination complaint must be sent to the AAO for investigation. A grievance with multiple grounds is heard by one hearing committee. The FAC Chair and AAO will discuss and determine the appropriate appeals process under which such a grievance will be heard.
3. The Chair of the FAC immediately will notify the respondent(s) of the grievance. The respondent will have 15 calendar days from receipt of the complaint to respond in writing to the FAC Chair or AAO.

F1.9.3 Confidentiality of Proceedings and Records

Members of the FAC and other university officials are individually charged individually to preserve confidentiality to the extent appropriate 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.

All records of grievance investigation will be held as confidential records by the President or President's designee in the event that the President or another vice President is the grievant or respondent.

F1.9.4 Selection of the Hearing Committee

1. The FAC Chair will schedule a meeting within 5 classroom days to select three members to serve on the Hearing Committee.
2. Any Hearing Committee member who cannot provide a fair and impartial hearing or consideration shall not serve.

F1.9.5 Formal Hearing Process

All hearings shall follow these procedures:

1. Within 30 calendar days after reviewing the respondent's written response, the Committee shall set a hearing date.

2. The Hearing Committee will evaluate all available evidence provided by the parties and base its recommendation upon the evidence in the record.
3. The hearing shall be closed.
4. Length of hearing sessions may be established in advance, and reasonable rest periods may be allowed for all participants throughout the duration of the hearing.
5. 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.
6. Only evidence relevant to the grievance may be introduced into the hearing. Questions of relevance shall be decided by the Hearing Committee Chair.
7. A confidential recording of the hearing will be made. The recording and transcription, if any, will be arranged by the Hearing Committee Chair. The tape or transcript will be accessible to the faculty members involved, to members of the committee, and to the President (or President's designee in the event the President or another vice President is the grievant or the respondent). The AAO will keep the original recording. The grievant or respondent may request a copy of the recording provided that they supply to the AAO blank media upon which to copy the recording.
8. Either faculty member may request that the Hearing Committee Chair provide a written transcript of the testimony. The cost to prepare the transcript shall be paid by the faculty member making the request.

F1.9.6 Disposition of Charges

The Hearing Committee normally will communicate its findings, conclusions, and recommendations in writing to the grievant and respondent and the President (or President's designee in the event the President or another vice President is the grievant or the respondent) within 15 workdays of the conclusion of the hearing. If the President (or President's designee) concurs with the recommendation of the Hearing Committee, that recommendation shall be put into effect. The President (or President's designee) must report their decision to the grievant, respondent, and the Hearing Committee within 10 workdays of receipt of the Hearing Committee's recommendation.

If the President (or President's designee) does not concur in the recommendation, they must meet with the Hearing Committee to reach a final decision. The work of the Hearing Committee is finished when the President (or President's designee) communicates this joint decision in writing to the grievant and respondent, the Hearing Committee, and necessary university officials.

F1.9.7 Appeal

Either faculty member has the right to appeal this determination. The appeal is made by a written request to the President of the university for review of the decision and must be made within 10 workdays of the date of the final decision. If no appeal is delivered to the President within the 10-workday period, the case is considered closed. The decision of the President shall be delivered to the appellant within 10 workdays and the President's decision shall be considered final and binding.

F1.9.8 Disposition of Records

At the conclusion of the hearing, and after the final report of the Hearing Committee is submitted (and appeal completed), the recordings, and all other relevant material will be maintained by the Office of Employment Services.



Policy and Procedures Manual

Application: All Faculty

Section F1.10 Professional Development Plan

F1.10 Professional Development Plan

This university professional development plan provides the framework for the professional development plans found in the strategic plan of each academic department and academic unit.

F1.10.1 Purpose

1. Promote the pursuit of scholarship, both basic and applied; and
2. Promote individual faculty and staff professional development in the classroom (teaching and learning).

F1.10.2 Scholarship

1. Research and Professional Development Committee--provides support for individual faculty research and instructional development (reassigned time, travel monies, supplies, student wages);
2. Departmental Travel Monies--assistance to individual faculty to participate in discipline/instructional conferences, workshops, and meetings;
3. Grants and Research--assistance to individual faculty and/or departments to write grants that support scholarship and instruction (Office of Sponsored Programs and Research support for proposal writers; matching federal grants with hard dollars; travel to support approved proposal development meetings/workshops/etc.); and
4. Campus-based Scholarship dissemination--sponsored lectures at the institutional level, such as Hedgehog and Fox Faculty Lecture series; department and school level, such as Boswell Annual Lecture, Parker Ethics Lecture, Stokes Lecture, etc.; and departmental/school colloquia and invited lecturers.

F1.10.3 Individual Professional Development

1. Faculty Professional Development Workshops--sponsored by the Office of Academic affairs: policy update workshops, advising update workshops, etc.;
2. Professional Development Opportunities--skills workshops, technology workshops, etc.; and
3. Individual Faculty and Staff--individual professional development goals and objectives in areas of scholarship, teaching, administrative areas, etc.



Policy and Procedures Manual

Application: Full Time Faculty

Section F1.11 Evaluations

F1.11 Evaluations

F1.11.1 Annual Faculty Performance Evaluation

Annual evaluation is a formative and summative process to be used by all full-time faculty to:

1. Gauge and assess performance
2. Provide constructive and informative feedback on goals and activities
3. Develop future plans and provide guidance for improvement.

Performance is primarily based on (1) teaching; (2) scholarly and creative achievements; (3) service contributions to the institution and profession; and (4) relevant non-teaching or administrative duties (if applicable). Positively contributing to ECU's mission, vision, strategic goals and living out the core values shall be evident. The annual Faculty Performance Evaluation (FPE) document is a part of all other forms of evaluation and is therefore a part of, but not the exclusive basis for, the evaluation for reappointment. The FPE will be included in the tenure and promotion and three-year tenure review portfolios. Any suggested improvements regarding faculty performance will be accompanied by specific recommendations, mentoring, and a timeline.

F1.11.2 Definitions

1. **FPE:** Faculty Performance Evaluation
2. **Evaluation Year:** July 1 to June 30. Summer semester classes concluding after July 1 should be included for the following year. (See Section 1.11.4 Implementation Timeline for first year FPE exception to Evaluation Year)
3. **Faculty Responses:** faculty who have concerns about their evaluation may provide a written response that will be included with the FPE. Faculty who wish to meet with the dean may request these meetings as outlined.
4. **Immediate Supervisor:** ECU employee most familiar with the faculty member's field and the day-to-day performance of the faculty member being evaluated (Examples found at ECU in different programs and departments include chairs, site coordinators, and program coordinators). Deans will evaluate all chairs and program coordinators in their college. The director of the library will evaluate librarians and the Provost/VPAA will serve as the next level supervisor in place of a dean.
5. **Performance Ratings:** This will be assigned by the immediate supervisor, with input from the dean and the Provost/VPAA as appropriate. One overall rating will be assigned on the FPE.
 - **Meets Expectations:** the performance rating given to faculty who are fully successful in meeting all the job standards of the current rank by performing up to job standards as stated in their job description and delineated in the faculty handbook.
 - **Meets Expectations with Qualification:** the performance rating given to faculty who are falling just short in one or more of the areas in job standards as stated in the job description and delineated in the faculty handbook. Note: Tenure-track faculty and faculty considering promotion to full professor receiving this rating are not fulfilling expectations in one or more areas.
 - **Does not Meet Expectations:** the performance rating given to faculty who are falling significantly short in more than one area as stated in job description and delineated in the faculty handbook. Note: Tenure-track faculty and faculty considering promotion to full professor should understand that they are not on track and should work with their supervisor and dean to make plans for mentoring and improvement.

6. **Signatures:** Signatures affixed to this document by all parties indicate that they have received a complete evaluation. If there are disagreements, written responses may be included with the evaluation materials as outlined under faculty responses. Faculty should check “Agree” or “Does not Agree” next to their signature.
7. **Additional materials:** Deans may request additional documentation and evidence of activities necessary for institutional reporting purposes to be submitted with the FPE. These documents will be considered independent of the FPE and the annual review process.

F1.11.3 Timeline

Items will be turned in on or before:

1. **First Friday of September:** Faculty turn in electronic copy of FPE to immediate supervisor and any additional materials required by the dean for institutional reporting.
2. **Last Friday of September:** Initial review completed and returned to faculty electronically
3. **Last Friday of October:** Faculty meetings with supervisor completed and all documents with signatures submitted to the dean.
4. **Third Friday of November:** Dean review completed and submitted to Provost/VPAA
5. **Last Friday of January:** Provost/VPAA review completed and returned complete copies to faculty

F1.11.4 Implementation Timeline

The evaluation year will correspond with the fiscal year calendar covering activities concluding between July 1 and June 30 of the preceding academic year.

In 2019 ECU will transition from an evaluation model based on the calendar year (January-December) to one set on the academic year (July-June). In the interest of efficiency and to avoid evaluating one semester alone, for the first year this FPE is used faculty will include information from three semesters (Spring 2019, Fall 2019, and Spring 2020; (initial faculty deadline is September 2020).

Faculty members **hired for the summer or fall semester** will not complete the FPE but will undergo an abbreviated evaluation for the purpose of reappointment.

Faculty members **hired during the spring semester** will complete the FPE with work completed during the spring and summer as appropriate.

Faculty members up for tenure and promotion and/or pre and post tenure review in the spring will complete the FPE in the fall, as it will be used as an artifact in those processes.

F1.11.5 Instructions for Submission of Faculty Performance Evaluation

All regular faculty will submit yearly FPEs. Faculty are responsible for adhering to the set timeline (Section 1.11.3).

1. **Non tenure-track faculty** will submit parts 1, 3, and 5, (non tenure-track faculty complete parts 2 and/or 4 if applicable). Non tenure-track faculty should communicate annually with their immediate supervisor regarding yearly expectations for service, which will be clearly outlined in advance by department and college—with an emphasis on the teaching portion of performance evaluation for instructional faculty, and an emphasis on professional service for librarians and other non-instructional faculty.
2. **Tenure-track and tenured faculty** will complete parts 1-3, and 5 (complete part 4, if applicable). Tenure track faculty submitting either three-year pre-tenure reviews or tenure and promotion portfolios will also complete the performance evaluation, as the FPE will be part of the review/portfolio. (See section 1.5 of Faculty Handbook for more details on the promotion process).

The narrative/summary portions (section A in parts 1, 2, 3, and 4 if applicable) should highlight the most significant contributions and accomplishments in those fields for that evaluation year.

The other examples portions (section B in parts 1, 2, 3, and 4, if applicable) should list achievements (with necessary bibliographic information, if applicable) organized in order of importance based on guidance provided by the supervisor/dean.

Part 5 is the SMART objectives portion. In section A, discuss achievement of and/or progress toward SMART objectives from the previous evaluation. In section B, propose SMART objectives for the upcoming year. Supervisor will comment on these in the initial evaluation. During the evaluation meeting, faculty and supervisor will consult and finalize SMART objectives.

Situations exist where faculty activities span multiple academic years. Summer classes should be included in the following academic year. Projects spanning more than one academic year (for example multi-year grants), should be mentioned by faculty in all years the activity occurred. It is the responsibility of immediate supervisors to ensure recognition of grant activity occurs in the year the grant was initially awarded (and should be noted in section 6).

F1.11.6 Initial Evaluation

Immediate supervisors will initially complete and submit part 6 to the faculty member. Part 6 narratives should endeavor to note accolades and significant achievements, areas where the faculty member is performing as expected in relation to rank/position, and any potential areas of improvement.

If additional information/documentation is needed from the faculty member, this should be noted in the initial evaluation. If the supervisor requests more information/documentation in the initial evaluation, it is the faculty member's responsibility to fulfill the request at least three days prior to the evaluation meeting. Once part 6 has been sent, the supervisor will schedule a meeting with the faculty member.

F1.11.7 Evaluation Meeting

During the evaluation meeting, the supervisor and faculty will discuss the initial evaluation. If at the end of the evaluation portion of the meeting a faculty receives "Meets Expectations with Qualification" or "Does not Meet Expectations" a faculty remediation plan utilizing the SMART objectives must be developed. The plan will be a joint effort of the faculty member and immediate supervisor, outlining specific professional development activities, plans for future scholarly and/or creative activities, and/or plans for increased service to the university. It is also the responsibility of the faculty member's immediate supervisor to find one or more additional appropriate mentors to help the faculty member carry out the remediation plan.

F1.11.8 Signatures

After the meeting, the supervisor will finalize the evaluation, sign it, and send it to the faculty for signing. When received, the faculty will read and sign, checking either "Agree or "Does not Agree" by signature before returning document to supervisor. If "Does not Agree" is checked, see next paragraph.

If the faculty member has **items of concern** about their evaluation and wishes to **give a faculty response**, the faculty member must respond within the allotted time according to the timeline (1.11.3) to do the following:

1. Sign the evaluation and check "Does not Agree";
2. Document the items of concern and gather any other documentation; and
3. Send the signed evaluation and other documentation to supervisor and dean.
4. Note: The faculty member also has the option to schedule a meeting with the dean and supervisor. The documented concerns will be appended to the signed evaluation.

Once supervisor receives signed evaluation from faculty (and additional documentation if “Does not Agree” is marked), the supervisor will send the completed/signed evaluation and any additional documentation to the dean. Any documented faculty response will be appended to the evaluation.

F1.11.9 Immediate Supervisor Responsibilities

Immediate supervisors are responsible for adhering to the deadlines set for supervisors to respond/return items. See Section 1.11.3 Timeline for due dates.

Immediate supervisors will be formally trained to use the faculty performance evaluation tool before using it to evaluate faculty (see Section 1.11.11 Institutional Responsibilities).

F1.11.9.1 Develop/Organize Indicators Appropriate to the Discipline

As described in Section 1.5.17 Indicators of Effectiveness Lists.

F1.11.10 Dean and PROVOST/VPAA Responsibilities

Deans should review the evaluation and send it to the Provost/VPAA based on the established timeline in Section 1.11.3.

In the event a faculty member has items of concern with the evaluation, they will document their concerns, send them to the supervisor and dean, and may set up a meeting with the supervisor and dean within the allotted time given (see Section 1.11.8). Reasonable attempts will be made at this meeting to address the faculty member’s items of concern. Once the meeting concludes, the dean will write a narrative/summary in the dean’s comments section. At the outcome of the meeting, the faculty member’s documented items of concern will be appended to the finalized evaluation and will become part of the faculty member’s permanent file.

The Provost/VPAA should review the evaluation and send an electronic copy of the completed document to the faculty member, supervisor, and dean by the date given in Timeline (1.11.3).

F1.11.10.1 Annual Teaching Observations

The dean’s office is responsible for facilitating the scheduling of teaching observations as part of the mentoring process for new and tenure-track faculty. The dean’s office will ensure tenure-track faculty as well as faculty up for promotion have a minimum of two classroom observation reports per academic year. At least one observation will be completed for new faculty in the first semester. Teaching observations can be conducted by the immediate supervisor or other faculty; the dean’s office will nominate two observers from which the faculty member will choose one as an observer, and the faculty member will choose a second observer.

If a scheduled observation is missed for any reason, the faculty member must notify the dean’s office in order to reschedule the teaching observation. Teaching observations will be conducted utilizing the most current teaching observation rubric(s) developed and approved by faculty senate and the office of academic affairs; all faculty, regardless of rank, are expected to participate as observers. Observers will be formally trained to use the rubric(s) (see Section 1.11.11 Institutional Responsibilities). Any exception(s) to this policy must be approved by the Provost/VPAA.

F1.11.11 Institutional Responsibilities (ECU Academic Affairs & Colleges)

The completed and fully signed document will be returned via email to the individual faculty member yearly at the end of the evaluation process. Faculty should retain this completed document for their tenure and promotion documentation. A copy will also be retained by ECU Academic Affairs office.

The Office of Academic Affairs is responsible for providing training to immediate supervisors on the use of the faculty performance evaluation tool, as well as training on the use of the teaching observation rubric(s) to all faculty observers.

Faculty will have the opportunity to evaluate deans and department chairs every year in April through the survey process, as scheduled on the ECU Academic Affairs calendar.

If Handbook Policy on FPE changes, it will not be retroactively applied.

Yearly expectations for non-tenure-track faculty will be clearly outlined in advance by departments and colleges—with an emphasis on the teaching portion of performance evaluation for instructional faculty and an emphasis on professional service for librarians and non-instructional faculty. (Service and scholarship potentially noted as optional categories based on job description.)

F1.11.12 Faculty Senate Responsibilities

At the beginning of each academic year, Senate will consider convening an ad hoc to revisit/review faculty evaluation. Substantive changes will be made in the fall and finalized in the spring semester for the following academic year. Faculty will have the evaluation criteria for a full year before they must report on it (for example, changes made and announced to faculty-at-large in Spring 2020 will be applied for the evaluation due September 2021).



Policy and Procedures Manual

Application: Full Time Faculty

Section F2.1 Classroom Policies and Procedures

F2.1 Classroom Policies and Procedures

F2.1.1 University Student Attendance Policy

Students are expected to attend the classes in which they are enrolled. It is the responsibility of the faculty to establish specific attendance policies and to include these attendance policies in the course syllabus.

Faculty attendance policies must accommodate a reasonable number of absences. The circumstances which qualify for potential accommodation include the following:

F2.1.1.1 Absences

1. Travel which is a required part of an instructional program of the university, including field trips which are part of an instructor's course syllabus, presentations of research or artistic performances under the supervision of faculty at a conference or sanctioned meeting, etc.;
2. Participation in activities formally sponsored by the university (or an established unit within the university), including but not limited to athletic team travel to games, debate team travel to competitions, dance program travel to official competitions, presentations of research or artistic performances at conferences or sanctioned meetings, official choir performances off-campus, etc.;
3. Military obligations as required by law;
4. Serious illness or injury, which incapacitates the student for a week or more of classes, as documented through the office of academic affairs; and
5. Death or serious illness in immediate family (parent, spouse, child, sibling), which causes the student to be absent a week or more of classes, as documented through the office of the Provost/VPAA and vice President academic affairs.
6. Concussion protocol and temporary injuries for students to return to learning will vary depending upon the severity of the injury. Testing and Accessibility Services will inform and will act as liaison with faculty as to the duration and accommodations needed for student's recovery. Point of contact for Testing and Accessibility Services will be as follows: student-athletes the Head Athletic Trainer; all other students will be the University Health Services. Students are encouraged to remain in contact with faculty.

Note: Documentation of illness or injury requires a physician's statement that includes the day the absence begins and day the student is cleared for regular activities. Documentation of death of an immediate family member may require a death certificate.

Absences are reviewed on a case-by-case basis. There may be instances in which withdrawing is recommended as a reasonable number of absences may not be accommodated.

F2.1.1.2 Official Notices of Approved Absences

The Dean's offices will distribute notices to the faculty informing them of students who are absent on official scheduled activities. If a faculty member desires to have such a notice sent for a group of students participating in an activity sponsored by the faculty member, they should submit a request that contains the student names and student identification numbers to the Dean's office at least one week in advance of the activity. As a courtesy, faculty may also

have a notice sent for students participating in activities that do not qualify as an excused absence under 2.1.1.1 above so that faculty who may want to work with those students also may do so.

It is the student's responsibility to initiate contact with the faculty member to arrange to make-up class work or examinations missed.

F2.1.2 Class Rolls

Final grades are reported electronically via Jenzabar MyECU. The office of records will notify faculty when the grade entry system is available.

F2.1.3 Class Records

Grade books, including electronic grade books, should be maintained by faculty members and retained in either the department or Dean's office when the faculty leaves the employment of the university. State law requires that grade books (including electronic versions) must be maintained for a minimum of five years and then can be destroyed only if there are no pending lawsuits. This policy shall apply to both full-time and part-time faculty.

F2.1.4 Course Syllabus

F2.1.4.1 Distribution and Archiving

All courses: A course syllabus shall be developed for each course. Faculty shall distribute the syllabus to all students in the class, preferably at the first-class session attended by a student but not later than the class session prior to the last date to enroll in the class. Posting the syllabus on the university's learning management system is an acceptable method of distribution.

The faculty is responsible for developing a departmental syllabus for multiple section courses. This syllabus shall insure that all students have access to a "common body of material," but shall allow for individual faculty instructional differences and shall not impinge upon legitimate academic freedom issues.

For each course taught, faculty must submit a syllabus in electronic form to the school/college Dean at the start of each semester, including summer school. The Dean's office will be responsible for forwarding electronic copies of all course syllabi to the Office of Academic Affairs each semester.

Adjunct faculty must use approved syllabi provided by the Department Chair or develop a course syllabus under the supervision of the Chair. Adjunct faculty must submit their course syllabi to the Department Chair each semester they teach. Electronic copies of adjunct faculty syllabi will be submitted to the Office of Academic Affairs according to the rules established in the preceding paragraph.

F2.1.4.2 General Education Curriculum Syllabi

Courses included in the General Education curriculum shall be approved by the General Education Committee. The General Education Committee will conduct periodic reviews of course syllabi for compliance with the Committee's guidelines. This "approved" syllabus must be on file in the Office of Academic Affairs, and in the appropriate Dean's and Department Chair's offices. Any substantive change in the syllabus will require the General Education Committee to conduct another review of the syllabus and the Committee's approval in order for the course to remain in the General Education Curriculum.

F2.1.4.3 Syllabus Components

The course syllabus may contain as much information as the faculty member deems appropriate, but the syllabus shall contain the following information:

1. Title of Course as given in the catalog, course prefix and number, section number, day(s) and time, semester and year in which the course is offered.

2. The instructor's name, office location, office hours, other availability provisions, including office telephone extension, ECU email address.
3. Course/section requirements: textbook(s) and other supplemental readings, tests, papers, readings, other relevant course materials such as articles, pieces of music, or works of art to be viewed, attendance policy or anything else which the student needs to know in order to complete the course. This section could also include a supplementary bibliography.
4. Student Outcomes
 - Student outcomes (for General Education Courses ONLY):
 - Include the appropriate general education learning outcomes,
 - Course competencies (for Council for the Accreditation of Educator Preparation (CAEP) Program Courses ONLY):
 - Identify CAEP competencies to be addressed in the course.
5. A topical outline of how the course will proceed.
6. Grading policy: The method of evaluation and grade calculation (the explanation should be sufficient for a student to estimate their grade at any given time).
7. Students are expected to attend the classes in which they are enrolled. It is the responsibility of the faculty to establish specific attendance policies and to include these attendance policies in the course syllabus.
8. An American Disabilities Act (ADA) statement as follows:
 - East Central University is committed to providing equal access to University programs and services for all students. Under university policy and federal and state laws, students with documented disabilities are entitled to reasonable accommodations to ensure the student has an equal opportunity to perform in class. If any member of the class has such a disability and needs special academic accommodations, they must contact the Office of Testing and Accessibility Services, 580-559-5297, TAS@ecok.edu, or go to room 301 Fentem Hall on the ECU campus, as soon as possible.
 - Students must request accommodations for documented disabilities through the Office of Testing and Accessibility Services. The Office of Testing and Accessibility Services will review documentation of the disability, and make determinations of reasonable accommodations on a case by case basis. Letters of Accommodation will be sent to faculty detailing the accommodations each student will receive. As a faculty member you are not authorized to make disability-related accommodations without prior determination by the Office of Testing and Accessibility Services. Contact the Office of Academic Affairs if any assistance is needed in this process.
9. A statement reiterating the university's commitment to writing across the curriculum, as follows:
 - "In keeping with the university's emphasis on writing proficiency, all student produced writing will be expected to reflect clear content, coherent and organized structure, and adherence to the stylistic and mechanical standards articulated by the professor."
10. The instructor has primary responsibility for classroom behavior management and all faculty are expected to enforce campus policies and policies identified in their syllabus.

Do not reveal student scores or grades by posting according to social security numbers or student IDs, or in the order in which students appear on the class roster, or in any other way students could determine other students' grades. Any technique which assures student confidentiality is satisfactory, such as the assignment of random numbers, or code names.

Many faculty will wish to include much more than the required material, and that is perfectly acceptable. The information required above may be stated on the initial page or interwoven into the syllabus in such manner as the faculty member desires, as long as it is clear and obvious.

Since students tend to overlook such details, it would be helpful to state the last date to drop the course with an automatic "W" in any given semester.

F2.1.5 Writing Proficiency Policy

Becoming a competent writer requires both the development and reinforcement of writing proficiency. Since general education courses should play a significant role in the development and appreciation of good writing skills, a general education course should require written assignments.

Students who need help in upgrading their writing skills, in addition to that provided in the classroom, will have such help made available in the Writing Center. The purpose of this center is to help students satisfactorily complete specific assignments. Students may be referred to the Writing Center by faculty members or by self-referral. An online submission system is available to students in MyECU.

F2.1.6 Evaluation of Student Academic Performance

F2.1.6.1 Academic Performance Evaluation

The number and kinds of evaluation instruments or procedures to be used are determined by the instructor of each course. The instructor's evaluation policy is to be stated in the course syllabus and should be explained to the students at the beginning of the course, as noted in Course Syllabus policy in Section 2.1.4: "The method of evaluation and grade calculation (the explanation should be sufficient for a student to estimate their grade at any given time.)"

F2.1.6.2 Final Examination Rules

The Oklahoma State Regents for Higher Education academic calendar policy requires that "Those institutions which reserve the final week of the semesters as a testing period shall ensure that all classes meet during the testing period" (OSRHE Policy Chapter 3.18.3). Accordingly, it shall be the policy of East Central University that

F2.1.6.2.1

The final examination week is a required part of the semester academic calendar.

F21.6.2.2

All regularly scheduled courses shall schedule a final examination or shall hold class at the time of the regularly scheduled final exam.

F2.1.6.3 Pre-Finals Week Regulations

F2.1.6.3.1 Academic Regulations

Pre-finals week shall be the five days (excluding weekends) prior to the start of final exams. During this period, faculty may

1. Cover new course material;
2. Not make new assignments, examinations, or projects worth more than 10% of the student's grade, unless specified in the course syllabus;
3. Not require submission of assignments, in-class presentations, in-class or take-home examinations, or projects during the last two days of the pre-final's week, unless specified in the course syllabus; and
4. Obtain special permission to deviate from the pre-final's week regulations from the Chair and Dean and only with written justification.

This policy applies only to the fall and spring semesters.

This policy does not apply to laboratory sections in which laboratory examinations are regularly scheduled. Such laboratory examinations may be scheduled during the pre-final's week.

F2.1.6.3.2 Student Organizations and Pre-Finals Week

No student organization may hold meetings, banquets, or receptions or sponsor or participate in any activity, program, or related function that requires student participation during the pre-final's week (weekends excepted).

F2.1.6.3.3 Intercollegiate Athletics and Pre-Finals Week

Although every effort should be undertaken to avoid scheduling athletic events during pre-finals week (weekends excepted), it is recognized that due to conference membership it may not always be possible to avoid pre-finals week. Exceptions to this policy must be approved by the Provost/VPAA.

F2.1.6.4 Finals Week Regulations

F2.1.6.4.1 Student Organizations and Finals Week

No student organization may hold meetings, banquets, or receptions or sponsor or participate in any activity, program, or related function that requires student participation during finals week (weekends excepted).

F2.1.6.4.2 Intercollegiate Athletics and Finals Week

Although every effort should be undertaken to avoid scheduling athletic events during finals week, it is recognized that due to conference membership it may not always be possible to avoid finals week. Exceptions to this policy must be approved by the Provost/VPAA.

F2.1.7 Assessment Policy

East Central University's assessment program is based upon the Oklahoma State Regents for Higher Education's assessment policy requiring all state system colleges and universities to assess entry-level, mid-level, and major field student academic achievement and to assess student satisfaction. East Central University's policy addresses these four areas and is designed to assist faculty and students in promoting student success in achieving their academic goals and to aid the university in the improvement of teaching and learning.

F2.1.7.1 Entry-level Assessment

All students who enroll at East Central University as first-time entering freshmen and transfer students who enter the university with six or fewer semester credit hours attempted are required to participate in entry-level assessment. In addition to complying with published ECU admission standards, participation in entry-level assessment may include other activities such as taking placement tests, completing student surveys, and contributing to other entry-level assessment-related activities.

F2.1.7.2 General Level (Mid-Level) Assessment

All students who enroll at East Central University as freshmen or transfer students without an associate of arts or associate of science degree are required to participate in assessment of general education. Participation in general education assessment may include such activities as completing assignments in general education classes, taking assessment tests, participating in student orientation, developing portfolios, completing student surveys, and contributing to other assessment-related activities.

F2.1.7.3 Assessment of the Major

During their junior and senior years, all students are required to participate in major field assessment. Participation in major field assessment may include such activities as enrolling in capstone courses, taking assessment tests, developing portfolios, completing student surveys, and contributing to other assessment-related activities of one's major.

F2.1.7.4 Assessment of Student Satisfaction

Using surveys, focus groups, and other assessment-related activities, assessment of student satisfaction encompasses three areas: current student and alumni satisfaction with student services, such as housing, food services, financial aid, day care, parking, extra-curricular activities, library, bookstore, advising and counseling, etc.; employer satisfaction with the academic preparation of graduates; and alumni satisfaction with overall quality of their education at East Central University.

F2.1.8 Academic Integrity

Academic integrity is founded upon and encompasses the following five values: honesty, trust, fairness, respect, and responsibility (Oklahoma State Regents for Higher Education, 2003). Integrity in academic work is essential to the success of the university community. Deceit and misrepresentations are incompatible with the fundamental activity of East Central University and shall not be tolerated. Failure to comply with and uphold the standards of integrity will constitute academic misconduct and may result in severe penalties, as listed below. Each student is individually responsible for knowing and upholding academic integrity by scrupulously avoiding any conduct that would lead to violation of the Policy on Academic Integrity.

F2.1.8.1 Definition of Academic Misconduct

In its broadest sense, academic misconduct involves any action on the part of the student that violates academic integrity. Academic Dishonesty is defined as the deception of others about one's own work or about the work of another. These actions include, but are not limited to:

1. **Cheating.** Cheating is the use of unauthorized materials, information, or study aids in academic exercises, experiments and examinations. Cheating includes but is not limited to:
 - Copying the answers of another student on any examination or assignment
 - Using a textbook, notes or other aids during an examination without the permission of the professor
 - Tampering with experimental data to obtain desired results
 - Obtaining copies of examinations by any unauthorized means
 - Receiving or giving unauthorized help on assignments or examinations
 - Accessing computer systems or computer files without authorization
 - Stealing a problem solution from a professor or another student
 - Presenting product of a collaborative effort as one's individual work unless explicitly approved by an instructor. (Note: professors shall grade course group assignments according to criteria outlined in the syllabus)
 - Submitting work as individual work, either implicitly or explicitly, that was completed by another or as a group.
2. **Plagiarism.** Plagiarism is presenting the words, visual images or ideas of another as one's own. Except for what is called "common knowledge", any information taken from another source must be documented in the student's work. When a student interprets another's ideas, credit must be given by an in-text reference. When a student uses an exact copy of another's work, it must be delineated by use of quotations marks or indentation and referenced with the source. Plagiarism includes but is not limited to:
 - Copying and/or presenting words, images or thoughts of others as one's own work
 - Representing any information from the Internet as one's own.
 - Copying content without providing appropriate quotation marks or documentation
 - Copying words with minor changes even if the source is given
 - Expressing another's ideas as one's own
 - Reusing papers or presentations of any previously written papers
 - Submitting the same paper or substantial portions of a paper for multiple courses without the permission of the primary professor
 - Submitting assignments that were completed by another person
 - Allowing another student to submit one's work as their own
3. **Misrepresentation and falsification.** Misrepresentation and falsification are forms of academic dishonesty based on written or spoken lies committed either by a positive action or omission. Misrepresentation and falsification includes, but is not limited to:

- Changing records, logs or other documentation leading to an inaccurate evaluation of the assignment or student performance
- Providing false information or omitting pertinent information on applications, records or other documents
- Tampering with or destroying the work of others
- Creating results for experiments not done (dry-labbing)
- Lying about any and all academic matters

F2.1.8.2 Disciplinary Procedure

Faculty, staff, or students must report violations of the policy to the Office of Academic Affairs. The student with the reported violation and the faculty member must meet to confirm or disallow the reported violation. If the violation is confirmed, the exact disciplinary procedure and grade penalty in the course is left to the discretion of the professor as outlined in the course syllabus. Possible actions that may be taken include but are not limited to the following:

1. Requiring that the assignment be re-done
2. Reducing the grade for the assignment in question
3. Reducing the grade for the course in which the violation occurred
4. Assigning a failing grade for the course
5. Withdrawing the student from the course

A record of the violation is maintained in the Office of Academic Affairs for a period not to exceed five years from the time of the incident.

After the first violation, a student receives notice that the violation has been recorded in the Office of Academic Affairs.

After a second or subsequent violation, a designated representative from the Office of Academic Affairs investigates the incident(s), meets with the student, and makes a recommendation to the Provost/VPAA. The Provost/VPAA sends a letter to the student with the consequences, which may include suspension.

F2.1.8.3 Appeal

The student may appeal the decision to the President. The President's decision is final.

F2.1.9 Guests in the Classroom and Children on Campus

Guests of students, including children, are not permitted to attend regularly scheduled classes without prior written permission of the instructor. Minors are not to be left unattended in the building or on campus. Minors are prohibited from attending classes unless their presence is incorporated into the instruction.

F2.1.10 Classroom Misconduct

The instructor has primary responsibility for classroom behavior management and all faculty are expected to enforce campus policies and policies identified in their syllabus. Disruptive behavior in the classroom may be defined, but is not limited to behavior that obstructs or disrupts the learning environment (e.g., offensive language, harassment of students and professors, repeated outbursts from a student which disrupts the flow of instruction or prevents concentration on the subject being taught, failure to cooperate in maintaining classroom decorum, the presence of non-enrolled visitors in the classroom [see 2.1.9], etc.), and the use of any electronic or other device which disturbs or interrupts the concentration of others (e.g., disturbing noises from beepers, cell phones, laptop computers, handheld games, etc.).

Faculty should resolve the disruptive behavior directly with the student, if possible. Repeated disruption may result in faculty filing an Administrative Withdrawal form with the Office of Academic Affairs, checking the category "disciplinary" as the reason. This action requires consultation with the Office of Academic Affairs prior to submission of the form.



Policy and Procedures Manual

Application: Full Time Faculty

Section F2.2 Grading Policies

F2.2 Grading Policies

The grading policy, including the grades used, remedial course grades, academic reprieve, academic renewal, repeated courses, and grade point average calculation are found in the ECU Catalog.

F2.2.1 Grade Change or Grade Appeal Policy and Procedures

The University believes students must be given the opportunity to meet with instructors and other academic administrators to resolve issues concerning assigned grades. The Grade Appeal Committee was established to make recommendations to the Provost/VPAA concerning unresolved student grade appeals. The Grade Appeal Committee shall review and recommend action on all formal, contested grade appeals referred to the committee. Uncontested grades changes shall be resolved through appropriate administrative channels.

F2.2.1.1 Uncontested Grade Change

Uncontested grade changes must be initiated within one calendar year of the semester in which the grade was issued, (i.e., a fall semester grade must be initiated before the last day of the next fall semester, a spring semester grade must be initiated before the last day of the next spring semester, and a summer term grade must be initiated before the end of the next summer term).

Correction of a Grade Submitted in Error. An instructor who has posted an incorrect grade due to a miscalculation or an error in entering the grade type in the course management system may correct the grade by submitting the Uncontested Grade Change form to the Records office.

Uncontested Grade Change. The Uncontested Grade Change form shall be used for a genuine grade change resulting from a discussion between the student and the faculty member.

Uncontested Grade Change form. The instructor, Department Chair, and Dean must sign approving the change.

F2.2.1.2 Incomplete Grade Change

Students who have been assigned an incomplete grade have one calendar year from the end of the term in which they received the "I" grade, (i.e., a fall semester grade must be changed before the last day of the next fall semester, a spring semester grade must be changed before the last day of the next spring semester, and a summer term grade must be changed before the end of the next summer term,) to complete the course work and have the grade changed. No extension may be granted. The instructor assigning the incomplete grade must make the change in the Registrar's Office by the deadline. "I" grades not changed by the instructor to a credit-bearing grade of "A – F" within the time limit will remain as a permanent "I" and not contribute to the student's GPA.

Incomplete Grade Change form requires only the instructor signature.

F2.2.1.3 Grade Appeals Involving Grades of “F” or “WF”

Using the “F” or “WF” to W Grade Change form, all requests to change a credit-bearing grade to a “W” shall be submitted to the office of academic affairs for administrative review and decision. The form must be signed by the appropriate Dean and Department Chair; signatures do not necessarily imply approval or disapproval. The Provost/VPAA will notify the student, the Registrar and the Chair of the Grade Appeal Committee of the decision. The Registrar will request the instructor to make the grade change in the Records Office, if applicable.

The “F” or “WF” to W Grade Change form. The instructor, Department Chair and Dean must sign acknowledging awareness of the request.

F2.2.2 Contested Grade Appeal Initiated by Student

Student grade appeals are not intended to interfere with the instructor’s right to determine the evaluation process and to perform that evaluation. They are intended for instances that deviate from the basic understanding of how grades are to be assigned.

A disagreement over a grade should be resolved, if possible, by conference between the instructor and student within six weeks from the release of final semester grades. If the student is still dissatisfied and believes there are circumstances that merit an appeal of the grade, the student should begin the formal appeals process.

The student shall file a written appeal with the Office of Academic Affairs (OAA) explaining the reason for challenging the grade. The “Contested Grade Change Appeal” form is available on the ECU website. When a form is issued, OAA will log it into a tracking system and forward the appeal to the instructor.

The instructor has ten business days, after the receipt of the appeal, to address the grade appeal and either submit an Uncontested Grade Change Form or forward the appeal to the Department Chair. If the appeal was filed during a semester break, the instructor will have ten business days from the start of the next semester (Summer/Fall/Spring). If the instructor does not respond to the request from the student within the ten days, the request will be forwarded to the Department Chair.

The Department Chair has ten business days, after the receipt of the appeal, to review and address the grade appeal with the instructor and the student. If the appeal is not resolved, it will be forwarded to the Dean along with a recommendation from the Department Chair. If the Department Chair does not respond to the appeal within 10 business days, the appeal will be forwarded to the Dean.

The Dean has ten business days, after the receipt of the appeal to review and address the grade appeal with the instructor and the student. If the appeal is not resolved, it will be forwarded to the Grade Appeal Committee along with the recommendations from the Department Chair and the Dean.

If the instructor and the student agree at any point in the discussions upon a resolution that requires a grade change, the instructor should undertake the process to complete the “Uncontested Grade Change” form.

If the instructor is employed by the university, the Department Chair and Dean may not change a grade without the instructor’s permission. If the instructor is no longer employed by the university as a faculty member, the Department Chair or Dean may submit a grade change.

The Grade Appeal Committee shall review and recommend action on all contested grade appeals. The Grade Appeal Committee will have a maximum of thirty business days, after receipt from the Dean, to review, hold hearings, and send its recommendation to the Provost/VPAA. The formal appeal procedure outlined below shall be followed.

F2.2.2.1 Formal Hearing

Upon receiving a grade appeal from the Dean, the Chair of the Grade Appeal Committee shall set a date for a formal hearing with the student and/or representatives and any witnesses. No legal counsel may be present. A second formal hearing shall be given the instructor and/or representatives and any witnesses. No legal counsel may be present.

Any Grade Appeal Committee member may abstain from hearing an appeal brought before the Grade Appeal Committee. Any Grade Appeal Committee member who is directly involved in the appeal must abstain. The Provost/VPAA shall name a replacement from the faculty of the university.

F2.2.2.2 Additional Hearing

If needed, a third formal hearing shall be scheduled with the instructor, student, and other persons the Grade Appeal Committee deems necessary. No legal counsel may be present. Also, the Grade Appeal Committee will gather other data it deems necessary and pertinent to the appeal.

F2.2.2.3 Recommendation of Appeal

After reviewing the appeal and rebuttal, the Grade Appeal Committee shall notify the Provost/VPAA of its recommendation. The Provost/VPAA shall notify the instructor and the student of the Grade Appeal Committee's recommendation. Either the instructor or the student may file a written appeal of the Grade Appeal Committee's recommendation with the Provost/VPAA within seven days of the dated letter sent by the Provost/VPAA. If either the instructor or the student appeals the Grade Appeal Committee's recommendation, the Provost/VPAA will review the original appeal and rebuttal, the Grade Appeal Committee's deliberations and recommendations, and may conduct a fourth hearing with the instructor, the student, the Grade Appeal Committee, or any other individuals deemed necessary and pertinent to the appeal. Legal counsel may not be present. If necessary, the Provost/VPAA may review the appeal and materials presented at the fourth hearing with the university President. The Provost/VPAA will have thirty business days to make a decision. Thereafter, the decision of the Provost/VPAA affairs shall be final.

The Provost/VPAA will notify the student, the Registrar and the Chair of the Grade Appeal Committee of the decision. The Registrar will request the instructor to make the grade change in the Records office, if applicable.

F2.2.3 Posting Grades

Faculty members are not required to post final grades publicly. If a faculty member chooses to post grades, safeguards must be taken in order to comply with the Buckley Amendment (Family Education and Privacy Act). Do not reveal student scores or grades by posting according to social security numbers, or in the order in which students appear in the class roster, or in any other way students could learn one another's grades. Any technique which assures student confidentiality is satisfactory, such as the assignment of random numbers, or code names. Students must be given the opportunity to ask that their grades not be posted.

F2.2.4 Confidentiality of Student Records

The academic record of anyone admitted to the university is confidential, subject to the student's examination and the parent's examination if the student has signed a waiver; and to the official use of the university in compliance with the "Family Education Rights and Privacy Act of 1974" (PL 93-380), as amended by Public Law 93-568, and as published in the Schedule of Classes and the East Central University Catalog. It is of utmost importance that faculty respect the confidentiality of a student's academic record. Transcripts, grade reports, or other academic information utilized by faculty for purposes of advisement should be treated accordingly.

At its discretion, the institution may provide directory information in accordance with the provisions of the act to include: student name, address, telephone number, date and place of birth, major field of study, dates of attendance, degrees and awards received, the most recent previous educational agency or institution attended by the student, participation in officially recognized activities and sports, and weight and height of members of athletic teams. Students may withhold directory information by notifying the University Registrar in writing within the time frame established by

the institution, i.e., two weeks after the first day of class for the fall term. Requests for information not consistent with or covered by the guidelines should be referred to the Provost/VPAA.

Archive: AY20-21



Policy and Procedures Manual

Application: All Faculty

Section F2.3 Textbooks and Instructional Materials

F2.3 Textbooks and Instructional Materials

F2.3.1 Textbooks

The basic points of the policy for changing textbooks are as follows:

1. Responsibility for approving all textbook adoptions for a school rests with the dean.
2. A record should be kept on all existing adoptions.
3. Established procedure should be followed in the adoption of texts by using the appropriate adoption forms. Textbook adoption forms are available at the ECU Bookstore in the Student Union Building. Adoption forms for previously offered classes will be sent out by the bookstore approximately one month before textbook adoptions are due. Faculty may also adopt their textbooks using the bookstore's website www.ecubookstore.com.
4. Instructors are expected to use the text adopted for a given course. New instructors who want to change an adopted text should initiate the change through their Department Chair. However, textbook adoption time lines must still be followed.
5. It is the responsibility of the faculty member to check with the bookstore before and after enrollment to ensure that an adequate number of books are in stock.
6. If the instructor wishes to have other books in addition to the basic text available for students to purchase through the bookstore, arrangements must be made with the manager of the bookstore. It is expected that if an instructor requests the bookstore to order books, students will be required to purchase them.
7. Textbooks must be adopted each and every semester by the following deadlines: March 15 for summer books, March 15 for fall books, October 15 for spring books. When a textbook is to be adopted for the last time, notify the bookstore on the adoption form. New editions will not automatically be adopted unless the instructor so decides. The instructor will be notified by the bookstore if an old edition is not available in sufficient quantities to cover estimated enrollment.

F2.3.2 Instructional Material Policy

This policy is to comply with the requirements of the Oklahoma Statute 3241.1 and 3241.2 of Title 70. The following policy is to meet all of the requirements of Oklahoma Statute and shall not be altered unless amendments are made to the law.

1. Contracted provider bookstores shall
 - Provide students with the option of purchasing instructional materials that are unbundled when possible, disclose to faculty and staff the cost to students of purchasing instructional materials and disclose publicly how new editions vary from previous editions.
 - Actively promote and publicize book buyback programs. Information can be obtained on buyback available at www.ecubookstore.com.
 - Disclose retail costs for instructional materials on a per-course basis to faculty and staff and make this information publicly available at the bookstore and on the website www.ecubookstore.com.
2. University faculty and staff are encouraged to use other good practices to keep instructional cost as low as possible including providing online access where students can download material rather than having to purchase printed copies and being careful to require only material that will actually be extensively used during the course of the semester.
3. The university shall work with and seek input from representatives of faculty, students, publishers and

contracted provider bookstores to develop instructional material policies.

4. Each publisher of instructional material used at the university shall make available to the faculty and staff
 - Price at which the publisher will make the instructional materials available to contracted bookstore
 - A list of revisions for the instructional material since the last publication, if any.
5. No employee or department of the university shall demand or receive any payment, loan, subscription, advance, deposit of money, services or anything, present or promised, as an inducement for requiring students to purchase specific instructional material or textbooks for coursework (or instruction).
6. An employee or department may receive:
 - Sample copies of instructional materials or textbooks, instructor copies of textbooks or other instructional material, that are not to be sold by faculty, staff or bookstore;
 - Royalties or other compensation from sales of textbooks or instructional materials that include the writing or work of the employee;
 - Honoraria for academic peer review of instructional materials; and
 - Training in the use of instructional materials and technologies.
7. No instructional material vendor or bookstores which contract with the institution to provide bookstore services shall solicit faculty and staff members for the purpose of selling free review instructional materials that have been provided by a publisher at no charge to the faculty or staff. Bookstore shall not permit wholesalers conducting buybacks on campus to accept review instructional materials from faculty or staff. No bookstore shall engage in any trade of any instructional material marked as or identified as free review instructional materials.
8. Appropriate section(s) of the current edition of the East Central University Faculty Handbook are hereby incorporated into this policy.



Policy and Procedures Manual

Application: All Faculty

Section F2.4 Instructional Software Installation Policy

F2.4 Instructional Software Installation Policy

The Information Technology Department needs to be contacted prior to the purchase of software to ensure compatibility with university technology.

Installation of software should occur no less than 60 days before its intended first classroom use. The installation will primarily be the responsibility of the Information Technology Department. Configuration will be split between the requesting faculty and the Information Technology Department. Testing will be the responsibility of the requesting faculty. Configuration and testing may become a cyclic activity as problems are identified and resolved. The 60-day period specified here presumes that the requestor will be on campus to conduct the testing. If the requestor is unavailable, then the time period should be extended accordingly. Additionally, delegation of responsibility for testing to student workers or other secondary persons is discouraged.

The testing of the programs should include all activities that either the instructor or students are expected to use. Depending on complexity, a check-list of items to be tested may be required. If the requestor expects that several students will be using the programs concurrently, the testing must include the concurrent use of multiple logins to test that activity. Information Technology will provide the requestor with logins and passwords for this testing.

When reporting problems, both during the testing phase and afterwards, please provide enough information to completely replicate the problem. Simply reporting that a certain function does not work is not sufficient. Windows programs may have several ways to access a feature. Information about the access path may expedite the resolution of the problem. When a student reports a problem, a faculty member should attempt to reproduce the problem. Intermittent problems (events that cannot be reproduced on demand) should have as much information as possible collected. Sending an email to the ECU Help Desk at helpdesk@ecok.edu is the preferred method for reporting problems.



Policy and Procedures Manual

Application: All Faculty

Section F2.5 Copyright Law and Policy

F2.5 Copyright Law and Policy

Printed materials (including music, computer programs, motion pictures, and dramatic works) and other audio-visual works are protected under the Copyright Law. The Copyright Law does recognize a judicial doctrine of "fair use" which limits the rights of the copyright owner under certain circumstances. Guidelines have been provided to assist teachers and scholars interested in non-profit research and/or classroom use of copyrighted materials. Infringement of the copyright law involves significant monetary penalties. East Central University expects all faculty to respect the rights of copyright holders. If a faculty member is unsure whether their activities infringe on the rights of copyright holders, they should seek copyright clearance from the owner.

F2.5.1 Exclusive Rights in Copyrighted Works

The owner of copyright under this title has the exclusive rights to do and to authorize any of the following:

1. To reproduce the copyrighted work in copies or phono records;
2. To prepare derivative works based upon the copyrighted work;
3. To distribute copies or phono records of the copyrighted work to the public by sale or other transfer of ownership, or by rental, lease, or lending;
4. In the case of literary, musical, dramatic, and choreographic works, pantomimes, and motion pictures and other audiovisual works, to perform the copyrighted work publicly; and
5. In the case of literary, musical, dramatic, and choreographic works, pantomimes, and pictorial, graphic, or sculptural works, including the individual images of a motion picture or other audiovisual work, to display the copyrighted work publicly.

F2.5.2 Limitations on Exclusive Rights: Computer Programs

Notwithstanding the provisions of "Exclusive Rights in Copyrighted Works," it is not an infringement for the owner of a copy of a computer program to make or authorize the making of another copy or adaptation of that computer program provided:

1. That such a new copy or adaptation is created as an essential step in the utilization of the computer program in conjunction with a machine and that it is used in no other manner, or
2. That such a new copy or adaptation is for archival purposes only and that all archival copies are destroyed in the event that continued possession of the computer program should cease to be rightful.

Any exact copies prepared in accordance with the provisions of this section may be leased, sold, or otherwise transferred, along with the copy from which such copies were prepared, only as part of the lease, sale, or other transfer of all rights in the program. Adaptations so prepared may be transferred only with the authorization of the copyright owner. (As amended by P.L. 96-517, 10, 94 Stat. 3028, December 12, 1980.)

F2.5.3 Guidelines on “Fair Use” of Media for Educational Purpose

§ 107. Limitations on exclusive rights: Fair use

Notwithstanding the provisions of sections [106](#) and [106A](#) of the previously mentioned P.L. 96-157, the fair use of a copyrighted work, including such use by reproduction in copies or phonorecords or by any other means specified by that section, for purposes such as criticism, comment, news reporting, teaching (including multiple copies for classroom use), scholarship, or research, is not an infringement of copyright. In determining whether the use made of a work in any particular case is a fair use the factors to be considered shall include:

1. The purpose and character of the use, including whether such use is of a commercial nature or is for nonprofit educational purposes;
2. The nature of the copyrighted work;
3. The amount and substantiality of the portion used in relation to the copyrighted work as a whole; and
4. The effect of the use upon the potential market for or value of the copyrighted work.

The fact that a work is unpublished shall not itself bar a finding of fair use if such finding is made upon consideration of all the above factors.

F2.5.4 Guidelines for Classroom Photocopying

F2.5.4.1 Single Copying for Teachers

A single copy may be made of any of the following by or for a teacher at their individual request for their scholarly research or use in teaching or preparation to teach a class:

1. A chapter from a book;
2. An article from a periodical or newspaper;
3. A short story, short essay or short poem, whether or not from a collective work;
4. A chart, graph, diagram, drawing, cartoon or picture from a book, periodical, or newspaper.

F2.5.4.2 Multiple Copies for Classroom Use

Multiple copies (not to exceed in any event more than one copy per pupil in a course) may be made by or for the teacher giving the course for classroom use or discussion; provided that:

1. The copying meets the tests of brevity and spontaneity as defined below; and, meets the cumulative effect test as defined below; and,
2. Each copy includes a notice of copyright.

F2.5.4.3 Definition: Brevity

1. Poetry: (a) A complete poem if less than 250 words and if printed on not more than two pages or, (b) from a longer poem, an excerpt of not more than 250 words.
2. Prose: (a) Either a complete article, story or essay of less than 2,500 words, or (b) an excerpt from any prose work of not more than 1,000 words or 10% of the work, whichever is less, but in any event a minimum of 500 words.
 - Each of the numerical limits stated in "1" and "2" above may be expanded to permit the completion of an unfinished line of a poem or of an unfinished prose paragraph.
3. Illustration: One chart, graph, diagram, drawing, cartoon or picture per book or per periodical issue.
4. "Special" works: Certain works in poetry, prose or in "poetic prose" which often combine language with illustrations and which are intended sometimes for children and at other times for a more general audience fall short of 2,500 words in their entirety. Paragraph "B" above notwithstanding such "special works" may not be reproduced in their entirety; however, an excerpt comprising not more than two of the published pages of such special work and containing not more than 10% of the words found in the text thereof, may be produced.

F2.5.4.4 Definition: Spontaneity

1. The copying is at the instance and inspiration of the individual teacher, and
2. the inspiration and decision to use the work and the moment of its use for maximum teaching effectiveness are so close in time that it would be unreasonable to expect a timely reply to a request for permission.

F2.5.4.5 Definition:- Cumulative Effect

1. The copying of the material is for only one course in the school in which the copies are made.
2. Not more than one short poem, article, story, essay or two excerpts may be copied from the same author, nor more than three from the same collective work or periodical volume during one class term.
3. There shall not be more than nine instances of such multiple copying for one course during one class term. (The limitations stated in "2" and "3" above shall not apply to current news periodicals and newspapers and current news sections of other periodicals.)

F2.5.4.6 Prohibitions as to Guidelines Above

Notwithstanding any of the above, the following shall be prohibited:

1. Copying shall not be used to create or to replace or substitute for anthologies, compilations or collective works. Such replacement or substitution may occur whether copies of various works or excerpts therefrom are accumulated or reproduced and used separately.
2. There shall be no copying of or from works intended to be "consumable" in the course of study or of teaching. These include workbooks, exercises, standardized tests and test booklets and answer sheets and like consumable material.
3. Copying shall not:
 - Substitute for the purchase of books, publisher's reprints or periodicals;
 - Be directed by higher authority;
 - Be repeated with respect to the same item by the same teacher from term to term.
 - No charge shall be made to the student beyond the actual cost of the photocopying.



Policy and Procedures Manual
Application: All Faculty
Section F2.6 Online and Blended Course Development Policy

F2.6 Online and Blended Course Development Policy

F2.6.1 Training

The Center for Excellence in Teaching and Learning offers many training opportunities for all online teaching faculty. Faculty members are required to complete training in order to continue teaching online.

1. Required: CETL's Online Training for Faculty (in Blackboard)
 - This online, self-paced training course:
 - Will provide you with the basic tools for designing an effective online and/or blended course using Blackboard.
 - Is competency based.
 - If you are new to Blackboard, review each module and complete assignments.
 - If you have previous experience using Blackboard, go straight to the assignments area in each module and complete those first.
 - After completing the assignments for each module, you will receive a certificate of completion that will enable you to design your course.
2. Required: Quality Matters Improving Your Online Course (IYOC) or Applying the Quality Matters Rubric (APPQMR) training. This training is a two-week course. Faculty must complete and receive their certification.
3. Optional: Quality Matters seminars for online teaching faculty. These seminars were developed by CETL and focus on each of the QM standards within the rubric.

F2.6.2 Quality Matters Course Review

All online courses must be submitted for Internal Quality Matters Course Review.

1. Online teaching faculty will first complete their IYOC or APPQMR training course.
 - Online teaching faculty may also attend the QM seminar training provided by CETL.
2. Faculty must submit a course map for an online course they are currently teaching to CETL.
3. The course will then be submitted for an Internal or Official Quality Matters Course Review.
 - Online faculty will not be allowed to teach the submitted online course again until it has received a "Met" QM status.

Faculty teaching multiple online courses must submit at least one online course for an internal or official review once per year until all of their online courses have been reviewed and received a "Met" QM status or the course is Learning House Approved.

Once a course has received a "Met" status, the course does not need to be submitted for internal review for another 5 years. At this time, the course must be re-submitted and receive a "Met" QM status or go through the Learning House process.

Adjuncts should use Quality Matters course shells that have already received a "Met."

F2.6.3 Blended Courses

1. Blended courses must have at least 15% reduced seat time.
2. Blended courses may be scheduled to meet fewer than the normal number of days during a week or they may be scheduled to meet less than the full time in any single class session (in both instances the reduction in seat time shall be published in the class schedule book or syllabus).

Credit Hour	Total Course Time	Minimum Reduced Seat Time
1	800 min	120 min
2	1600 min	240 min
3	2400 min	360 min
4	3200 min	480 min

3. Blended courses are expected to meet during identified times. If the course meets on a limited basis, it should be considered an online course and be reviewed as such.
4. The online portion of the course must be academically comparable in content and methods of assessment to a traditional face-to-face course.
5. Blended courses must meet all the requirements as online courses. Additionally, blended courses must:
 - Make it clear to learners within the LMS that the course is a blended course.
 - Specify requirements of both the online and face-to-face aspects of the course.
 - Notify students of face-to-face meeting times each week.
 - Provide a course calendar/schedule identifying both online and face-to-face portions of the course.
 - See Quality Matters Rubric for additional requirements.

Synchronous Based Courses using Zoom are not expected to have reduced seat time. If they have reduced seat time, the course(s) should follow the Blended Course policy guidelines in this document



Policy and Procedures Manual

Application: Full Time Faculty

Section F3.1 Sabbatical and Faculty Development Leave

F3.1 Sabbatical and Faculty Development Leave

The Board authorizes the university to grant sabbatical leave. If a university chooses to grant sabbatical leave, the following guidelines will prevail.

F3.1.1 Purpose

The university may grant a sabbatical leave to faculty members to provide an opportunity for continued professional growth and new or renewed intellectual achievement through study, research, writing, and travel. The primary purpose of sabbaticals should be for post-doctoral study. A sabbatical may be used to engage in specialized scholarly activity or to provide a broad cultural experience. Such sabbaticals are intended to take place in off-campus settings. The university views a sabbatical as an investment with the expectation that the sabbatical will significantly enhance the faculty member's capacity to contribute to the objectives of the university. For this reason, sabbatical leave applications are approved only when significant evidence indicates that the individual will achieve this purpose. Also, the approval of such sabbaticals shall be consistent with the appropriate budgetary and faculty arrangements so as not to disrupt the instructional program or other vital operations of the university.

F3.1.2 Conditions of Award

A full sabbatical leave will be for one year at one-half salary. Persons who qualify for less than full sabbatical may be awarded a sabbatical on a proportional basis. Sabbatical leaves shall not be used as a means of augmenting personal income. The sabbatical program requires that persons on sabbatical devote full-time to the scholarly activity for which the sabbatical is granted and will receive no salary or stipend from sources other than the university, except that, with university approval:

1. Persons on sabbatical at less than full salary may engage in other scholarly activity consistent with that for which the sabbatical is granted and receive salary, stipend, or honorarium from other sources in such amounts that total salary stipend, and honorarium do not exceed the annual income normally earned; and
2. Persons on leave may receive grants from other sources for travel and research expenses incident to their scholarly activity.

Individuals receiving sabbatical leave shall enter into the following written agreement to return to the service of the university and remain for a number of months equal to four times the number of months of full-time equivalent salary (example: One half ($\frac{1}{2}$) salary x ten (10) months = five (5) full-time months; the number of months to return to the university is five (5) full-time months x four (4) = twenty (20) months) or to repay the university the amount of salary received while on sabbatical leave, unless released from the obligation by the Board. If the individual leaves the university prior to the end of the required time, whether voluntary or involuntarily, the amount to be paid the university shall be proportionally reduced.

At the termination of the sabbatical, and not later than three months after returning to the campus, the individual shall submit a report of the activities undertaken to the chief academic officer through the Department Chair and Division Chair. The report will be used to evaluate future applications for sabbaticals of faculty members who have been granted one or more sabbaticals.

F3.1.3 Eligibility

Faculty members are eligible for full sabbatical leaves when they have been full-time employees of the university for six academic years. In order to qualify for a prorated sabbatical, the individual must have been a full-time employee of the university for a minimum of two academic years. For the purpose of determining eligibility for a sabbatical leave, time spent on a sabbatical is considered as full-time employment; however, time spent on leave without pay is not considered full-time employment. A faculty member is eligible for a subsequent full sabbatical after six years following any sabbatical leave grant whether full or partial.

F3.1.4 Application

A faculty member shall make formal application for a sabbatical leave which includes the reasons for requesting the sabbatical leave, the activities planned during the sabbatical, and a schedule of the use of time while on the sabbatical leave. The application should be submitted to the President of the university through the appropriate Department Chair, Division Chair or Dean, and Vice President. The Department Chair, Division Chair or Dean, and Vice President shall each include a recommendation regarding the sabbatical leave. The decision for recommendation of a sabbatical leave shall be based on the following criteria:

1. Evidence of the highest critical need in order to maintain academic effectiveness;
2. Total years of academic or professional service at the university;
3. Potential contribution to an academic or professional discipline;
4. Length of remaining service to the university;
5. Possession of a terminal degree in the teaching field assigned; or pursuing a terminal degree in a teaching field in which there is a shortage of qualified faculty.

F3.1.5 Agreement

1. I agree to report in writing to the Chief Academic Officer via my Department Chair or Division Chair within three months of returning to University service a report of the activities I undertook on my sabbatical and I understand that should I fail to do so any future leave application can be denied.
2. I agree to withdraw from all Departmental, college, and University committees for the duration of my leave.
3. I agree to remain in the service of the University at not less than my present salary for a number of months equal to four times the number of months of full-time equivalent salary.
4. I further agree that, in the event I do not return to the University, I will repay the University salary and cost of benefits received from the University during the sabbatical leave, and that, if I do not repay such sums upon demand the University may bring all necessary legal actions to recover this money from me.
5. I have read the section of the Faculty Handbook regarding the official policy of sabbatical leave.
6. I have read and reviewed the rules and regulations of the Oklahoma Teachers Retirement System related to sabbatical leave.



Policy and Procedures Manual

Application: Full Time Faculty

Section F4.1 Procedure for New Faculty

F4.1 Procedure for New Faculty

New faculty should proceed in the following manner:

1. Report a home address and other pertinent information to the Office of Academic Affairs (Room 208 Danley Hall).
2. Before the first payroll period, new faculty employees and other academic administrators must arrange for the Office of Academic Affairs to receive official transcripts of all earned degrees. Failure to provide an official transcript may result in non-continuance.
3. Supply information necessary for payroll and insurance to the Employment Services Office (Room 160 Administration). Immediate attention is requested.
4. Obtain a faculty mailbox assignment from the Mail and Printing Services Office (Room 154 Administration).
5. Obtain a parking permit from the Facilities Coordinator located in the Bill S. Cole University Center.
6. A photo ID card is available from the Facilities Coordinator located in the Bill S. Cole University Center.



Policy and Procedures Manual Application: Full Time Faculty Section F4.2 Commencement

F4.2 Commencement

Commencement exercises are held following the fall semester and following the spring semester. Faculty members are expected to attend the commencement exercises in appropriate academic regalia. Commencement is the ultimate institutional acknowledgement of our students' accomplishments in earning their degrees.

An Honors Ceremony program precedes each commencement to recognize students who are graduating with honors and/or have been members of various academic societies or clubs. Faculty are encouraged to attend.



Policy and Procedures Manual

Application: Full Time Faculty

Section F4.3 Honorary Degrees

F4.3 Honorary Degrees

In accordance with the Oklahoma State Regents for Higher Education policy on the awarding of Honorary Degrees (II-2-21/23), East Central University may request authorization to confer honorary degrees for individuals who have made outstanding contributions to society through intellectual, artistic, scientific, professional, or public service contributions.

The following criteria and procedures apply to the selections of individuals to receive honorary degrees:

1. East Central University will confer honorary degrees at the bachelor and master's degree levels only.
2. Honorary degrees shall be distinguishable from earned degrees and will conform to guidelines in the OSRHE policy on awarding honorary degrees.
3. The Provost/VPAA shall recommend individuals to the university president for consideration.
 - The recommendation shall indicate the proposed honorary degree to be awarded.
 - The recommendation shall identify an individual's contributions/achievements in relation to the criteria used for selection. The criteria shall include but will not necessarily be limited to:
 - exceptional contributions in the field or area in which the honorary degree is to be awarded;
 - the field must be one in which East Central University offers an earned degree; and
 - the individual being considered must have a connection with East Central University.
4. Upon receipt of the recommendation to award an honorary degree, the president, if favorably inclined, shall forward a request to the Oklahoma State Regents for Higher Education.
5. All additional portions of the OSRHE policy on awarding honorary degrees shall be met in recommending and requesting authorization to award an honorary degree.



Policy and Procedures Manual

Application: Full Time Faculty

Section F4.4 Library Services

F4.4 Library Services

F4.4.1 Instruction

The Linscheid Library offers many opportunities for the development and advancement of information literacy skills. Bibliographic instruction is available to faculty in a variety of different forms, including

F4.4.1.1 Library Orientation

The Library can provide a tour and brief introduction to library services.

F4.4.1.2 Course Specific Instruction

Instruction specific to individual courses is available.

F4.4.1.3 Electronic Tutorials

How-to-guides are available online through the library home page, and tutorials for specific classes can be developed upon request.

F4.4.1.4 Research Guides

The liaison librarian for each department maintains subject-specific pages highlighting important resources as well as links to relevant databases and useful online information in that field.

F4.4.1.5 Consultation

Library faculty will consult on library assignments or customizing instruction.

F4.4.1.6 Reference

A professional librarian is available in person and online through chat at the library Reference Desk for a majority of the hours that the library is open.

F4.4.2 Collection

F4.4.2.1 Development

Collection development is a shared responsibility of librarians and the teaching faculty. Faculty provide significant input in their areas of expertise. Materials are selected by librarians based on faculty requests, known needs, the curriculum, and funds available.

F4.4.2.2 Electronic Resources

The Library provides electronic access, both on-campus and remotely, to a large number of databases, most of which are full-text. Electronic resources are collected based on support of the curriculum, remote access availability, and funds available.

F4.4.2.3 Government Documents

The Library became a US Federal Depository in 1914 and a State Depository in 1978. Librarians select materials to support the research and teaching mission of the University, as well as the needs of the citizens of the 3rd Congressional District.

F4.4.2.4 Special Collections

Special Collections, located in the Thompson Room on the 4th floor of the Library, houses rare books, photographs, manuscripts, letters, realia, scrapbooks, and business records. While emphasizing materials of local and regional interest, the collection has a wide-reaching scope.

F4.4.2.5 Curriculum

The Library is a state textbook depository for those materials on the state-approved list for use in public schools. Prior to adoption, teacher and student editions are available to review in the library. Once adopted, editions are housed in the Education Department's Resource Lab.

F4.4.2.6 Donations

The library collection is enriched by the generosity of individuals who donate books and other learning resources. The Library is appreciative of this support, especially in lean budgetary times. For specific criteria, consult the Library's Gift and Exchange Policy.

When materials are offered, we assess the potential readership at ECU through criteria as general educational value, significance in the field, relevance to teaching and research needs, duplication of existing materials, age, and the availability of shelving space. Typically, older textbooks and periodical back files are examples of items that would not be added to the collection, while an updated edition of an older library copy would be very welcome. We encourage the impetus to donate useful, relevant materials to the Library. Although we cannot establish fair value for tax purposes, we will be happy to provide donors with a letter of appreciation listing those items added to the collection. Materials not added to the collection will be disposed of or recycled at the discretion of the Library unless specific arrangements have been made to return them to the donor.

F4.4.3 Electronic Services

F4.4.3.1 Reference

E-mail reference service is available to East Central University faculty, staff, and students. Reference librarians will respond to requests within 48 hours except during holidays, when classes are not in session, and weekends.

F4.4.3.2 Interlibrary Loan

Interlibrary Loan (ILL) is a service by which one can access materials (books, articles, etc.) not owned by the Library. Loan procedures are regulated by the National Interlibrary Loan Code, by United States copyright law, and by the regulations and policies of the lending and borrowing libraries. Most circulating books and photocopies of articles are available. Requests can be made via online web forms.

F4.4.3.3 Document Delivery

Document Delivery services are currently available to distance students (students at established ECU campuses) via courier. Personal delivery may be requested by students enrolled in programs at other satellite locations. This service differs from Interlibrary Loan in that it allows distance students to request articles and/or books owned by the Library.

F4.4.3.4 Electronic Reserves

Electronic reserves are available for materials that a faculty member wants all students within a course to access. Within copyright guidelines, journal articles, chapters of books, tests and other items selected by faculty may be placed on electronic reserve for one semester. Students may access these materials remotely via their ECU login. On occasion, copyright law prohibits providing electronic access. In those instances, the Library provides physical access to reserve materials.

F4.4.3.5 Electronic Resources

The Library provides electronic access, both on-campus and remotely, to a large number of databases, most of which are full-text. Electronic resources are accessible from any Internet connection. A current list of databases and descriptions are available on the Library's webpage. Off-campus access is available via faculty, staff, and student ECU ID login.

F4.4.4 Audiovisual

Audiovisual equipment and materials (videos and DVDs) are available for classroom setups, and materials may also be viewed in the Library. Audiovisual services:

1. Binding (Comb or spiral)
2. Circulating video collection
3. Digital video cameras (must complete training before use is cleared)
4. Equipment setups (VCRs, TVs, projectors, laptops etc.)
5. Laminating
6. Poster printing
7. Scanning
8. VHS to DVD transfer (within physical and copyright restrictions)
9. Video and audio tape duplicating (within physical and copyright restrictions)
10. Videotaping facilities for classroom assignments

F4.4.5 Research

The Library aids with faculty research. Available services include:

1. Free copying of materials that are not available electronically
2. Performing needed literature review searches
3. Providing training of library services and resources



Policy and Procedures Manual

Application: Full Time Faculty

Section F4.5 Other Services

F4.5 Other Services to Faculty

F4.5.1 Academic Year Salary Payment

The academic year salary is payable in twelve (12) equal installments at the end of the month. The first installment is paid on August 31 and monthly thereafter so that the final two (2) installments are paid on June 30.

F4.5.2 Annuity Contracts

Several companies have been authorized to sell annuities to East Central University faculty members. A list of the authorized companies is available from the Business Office.

Annuities are available only to full-time employees of the university. The annuity contract for faculty is restricted to the academic contract year so that the amount to be contributed is deducted as a payroll deduction from the twelve (12) equal installments.

F4.5.3 Salary Payroll Deposits

Payroll deposits are done electronically. For further information on how to receive payroll warrants contact the payroll clerk in the Employment Services Office.

F4.5.4 Check Cashing

The East Central Bookstore or the Bursar's Office will cash personal checks for faculty members. Proper identification is required.

F4.5.5 Bookstore

Discounts of 10% with proper identification (computer software excluded). Cap and gown rentals are processed through the bookstore.

F4.5.6 Recreational Facilities

Faculty and their families are eligible for a fee to use the facilities in the state-of-the-art wellness center. Contact the Wellness Center for more information on enrollment, hours, and schedules.

F4.5.7 Health Services

Health Services provides health care to faculty and staff comparable to that provided for students. Students will be given first priority when faculty/staff schedule appointments. Health Services is located in the Student Union.

Counseling Services is available in the Counseling Office in the Student Union for students. Faculty and staff may refer students.

F4.5.8 Physical Plant

Work orders are to be placed in MyECU through the Maintenance Request Form under the Employee tab.

F4.5.9 Travel

All travel is governed by the Oklahoma Management Enterprise Services (OMES).

The university encourages travel of the faculty for business purposes and professional development. Policy states that the dean of the college/school, or the appropriate academic supervisor, shall make the final determination as to granting permission for travel. It is generally expected that faculty members may receive reimbursements for business purposes and for limited professional development activities subject to justification.

All claims for reimbursement of travel expense incurred on state business shall be made as provided by statute on approved travel claims. Claims shall have itemized receipts attached thereto when submitted to the business office for approval and submission payment.

No claim for first-class air travel will be honored unless a showing has been made by the employee or agency involved that coach travel was unavailable.



Policy and Procedures Manual

Application: Full Time Faculty

Section F5.1 Constitution of the Faculty Senate

F5.1 Constitution of the Faculty Senate

F5.1.1 Preamble

Recognizing the need to involve the faculty as the university progresses toward the solution of problems and accomplishment of goals and in order for East Central University to have a continuing body to represent the faculty, the administration, and the Board of Regents of the Regional University System of Oklahoma, the faculty of East Central University hereby establishes the East Central University Faculty Association and its Senate. The faculty believes that they, together with administrators and the governing board, share the responsibility for creating and maintaining academic excellence.

F5.1.2 Article I: Faculty Association and Faculty Senate

The Faculty Senate is the body elected to represent the Faculty Association. The Faculty Association of East Central University is composed of all full-time professional employees who possess faculty rank.

F5.1.3 Article II: Purposes of the Faculty Senate

F5.1.3.1 Section I: The purposes of the Faculty Senate are

1. To advise the President regarding academic affairs and on matters affecting the welfare of the university;
2. To consider and to make recommendations on matters referred to it by any faculty member or administrator, and to initiate studies and to make recommendations on its own;
3. To recommend faculty members for university standing committees; and
4. To promote efficiency in the functioning of the university as an institution of higher learning.

F5.1.4 Article III: Membership and Representation

F5.1.4.1 Section 1

Eligibility to serve on the Faculty Senate is extended to:

1. Regular faculty members (as defined in the Faculty Handbook) who have served on the instructional faculty for a time of not fewer than two (2) consecutive years; and
2. Librarians who have served on the faculty for a time of not fewer than two (2) consecutive years.

F5.1.4.2 Section 2

Elections will be held during the month of April each year as specified in the bylaws. Terms of office begin in August. Each election unit (the professional library faculty and each school except the Graduate School) shall be represented on the Faculty Senate according to the formula, N/B in which N is the number of full-time instructional or library faculty in the unit (includes department Chairs) and B is the ratio of the number of full-time instructional and library faculty compared to 10% of that total; N and B will be recalculated every three (3) years. However, no election unit shall have fewer than one (1) Senator. The quotient N/B shall be rounded according to the Hamilton Method of Apportionment (Section F5.1.10). A committee of the Faculty Senate, with the approval of the Senate, shall be responsible for applying the formula and informing each election unit of the number of Senators allotted to it.

F5.1.5 Article IV: Election Terms, Succession, Recall, and Replacement of Senators

F5.1.5.1 Section 1

Senators shall serve 3-year terms.

F5.1.5.2 Section 2

Senators shall not serve more than two (2) consecutive terms.

F5.1.5.3 Section 3

One-third of the Senate shall be elected each year, as specified in the bylaws.

F5.1.5.4 Section 4

The procedure for the election of Senators shall be as follows:

1. The Faculty Senate shall notify the Faculty Association of the election and the number of seats to be filled in each election unit. The notification shall be given no fewer than three weeks before the date of the election.
2. The filing period shall begin upon notification of the date of the election and the number of seats to be filled in each election unit. The filing period shall end one week prior to the election. To file for office, faculty members must submit their names, in writing, to the Faculty Senate.
3. Specific rules for the conduct of elections shall be listed in the Bylaws of the Faculty Senate.
4. To be eligible for election from an election unit, candidates must be members of that unit. If a Senator changes election units during the term of office, that seat is vacated and a special election shall be held to fill the seat. The Senator shall continue to serve until a replacement is certified by the Senate.
5. The Faculty Senate shall certify the eligibility of all candidates before their names are placed on the ballot of each election unit.

F5.1.5.5 Section 5

To be elected the candidate must satisfy one of the following as applicable:

1. In the case that the number of candidates in an election unit exceeds the number of seats to be filled, the candidate must receive a majority of the votes cast;
2. In the case that the number of candidates in an election unit is no more than the number of seats to be filled, their election shall be declared.
3. If any seat is not filled in the first election in an election unit, a run-off election shall be held. The candidates in the run-off election shall be those who have received the highest number of votes up to a number of candidates equal to a total of not more than two per open seat. There may be more than two (2) candidates for each seat only if a tie vote in the last possible position results. The run-off election shall be decided by majority vote.

F5.1.5.6 Section 6

Challenges to the procedure, results, or conduct of an election may be initiated by a petition signed by at least three (3) members of the affected election unit. In the event of a challenge in any election unit, the election process shall be suspended in that unit until the challenge is resolved by the Senate.

F5.1.5.7 Section 7

Immediately upon receipt of an election challenge, the Senate President shall appoint a committee of at least four Senators to consider the challenge. One member of the committee shall be a serving Senator designated by the authors of the challenge and, when possible, one member of the committee shall be a serving Senator from the affected election unit. The Senate Vice President shall chair the committee, unless the Vice President is an affected party in the challenge, in which case the Senate President shall Chair the committee.

The committee shall be instructed to invite the authors of the challenge and any other interested parties to a hearing. At the next meeting of the Senate, the committee shall report its recommendations concerning the challenge. Statements by parties to the challenge shall also be presented, if requested by either party.

F5.1.5.8 Section 8

If an election challenge is denied by the Senate, the election shall proceed from the point in the process at which it was suspended. If the challenge preceded balloting, dated notice shall be given of a new election date seven (7) days from the date of the notice, and the election shall be held at that time.

If a challenge is sustained by the Senate, the Senate shall establish guidelines for the election to proceed.

The election of all Senators must be certified by a majority vote of the Senate.

F5.1.5.9 Section 9

Within one month of a vacancy in the Faculty Senate, the Senate shall conduct a special election among members of the affected unit to provide the replacement. The replacement Senator shall serve the remainder of the term.

F5.1.5.10 Section 10

The recall of a Senator shall be initiated for cause by the written petition of more than one-half ($\frac{1}{2}$) of the members of the election unit represented by the Senator and shall become effective upon the secret-ballot concurrence of more than two-thirds ($\frac{2}{3}$) of the unit members (present and voting). The Senator whose recall is being sought shall have the right to a hearing at a called meeting of the election unit prior to the recall vote. This hearing shall be called and presided over by the Senate President and such Senate officers as chosen to assist.

The recall of a Senator may also be initiated by the Senate. The only grounds for this action shall be a Senator's failure to attend Senate meetings and/or Senate committee meetings. Upon Senate majority approval of a motion to initiate recall proceedings (a recall petition), the President of the Senate shall appoint a committee which shall be instructed to invite the Senator whose recall is being sought to a hearing. At the next regular meeting of the Senate, the committee shall recommend either that the recall petition be approved or dismissed. A two-thirds ($\frac{2}{3}$) majority vote is required to declare a seat vacant.

F5.1.5.11 Section 11

All members of the regular faculty who are full-time instructional members of an election unit may vote in Senate elections (this includes librarians holding faculty rank and department Chairs).

F5.1.6 Article V: Organization of the Senate

F5.1.6.1 Section 1

At the May meeting of the Faculty Senate, the Senate shall elect the Vice President and Secretary-Treasurer to serve a term of one year. Terms commence in August. Offices other than those mentioned in this article may be established or abolished as needed.

F5.1.6.2 Section 2

Duties of the officers shall be as follows:

President: To preside over meetings, direct the selection of and/or name committees, call special meetings, represent the Faculty Senate on the Academic Affairs Council, and serve as the spokesperson for the majority opinion of the Senate to the Administration of East Central University;

Vice President: To preside in the absence of the President, assume the office of President in case of a vacancy, Chair election challenge committees as provided in Article IV, Section 7; recommend assignment to committees, and succeed to the Presidency the following year.

Secretary-Treasurer: To record and distribute copies of the minutes and to keep and maintain records of, and report all actions associated with, all funds budgeted for the operation of the Senate.

F5.1.6.3 Section 3

The removal from office for cause of an officer of the Senate shall be initiated by the written petition of more than one-half ($1/2$) of the members of the Senate and shall become effective upon the secret-ballot concurrence of more than two-thirds ($2/3$) of the Senate. However, the petition for removal shall be made at least one (1) month in advance of the vote, and the officer whose removal is being sought shall be entitled to a hearing prior to the vote.

F5.1.6.4 Section 4

The Faculty Senate shall schedule regular meetings at least once a month during the academic year, and as often thereafter as the Senate President may direct. At the request of three members, the Senate President also will be required to call a meeting. The President of East Central University shall be invited to at least one (1) meeting each month. The individuals invited and the time and place of the joint meeting shall be determined by the Faculty Senate and the President of East Central University.

F5.1.6.5 Section 5

A quorum is required to transact business. More than one-half ($1/2$) of the elected Senators shall constitute the quorum necessary for both regular and special meetings.

F5.1.6.6 Section 6

Other organizational and operational provisions are specified in the Bylaws of the Faculty Senate.

F5.1.7 Article VI: Functions, Duties and Responsibilities of the Senate

F5.1.7.1 Section 1

The Faculty Senate shall participate in the academic policy and decision-making process at East Central University by acting as a liaison between the Faculty Association and the administration.

F5.1.7.2 Section 2

The Faculty Senate shall recommend eligible faculty members to sit on East Central University standing committees to the President of East Central University. The structure, membership, and function of each standing committee is listed in the ECU Faculty Handbook.

F5.1.7.3 Section 3

Faculty Senate standing committees appropriate to the areas of concern shall be listed in the Faculty Senate Bylaws, with the selection and/or naming of Chairs and members to be directed by the President of the Faculty Senate. Provision for the creation of special committees shall also be made in the Bylaws.

F5.1.7.4 Section 4

The Faculty Senate shall receive, review, and act upon reports, recommendations, and proposals from Faculty Senate standing and special committees, from individual Senators, and from Faculty Association members. For such reports, recommendations, and proposals to be forwarded as a written recommendation to the President of East Central University, the approval of more than one-half ($1/2$) of those Senators voting in a regular or special meeting shall be required.

F5.1.7.5 Section 5

The Faculty Senate shall submit its written recommendations to the President of East Central University and shall send copies of such recommendations to the Faculty Association.

F5.1.7.6 Section 6

Either the President of East Central University or the Faculty Association upon written petition of more than one-fourth ($1/4$) of its members, may request that a recommendation of the Faculty Senate be submitted to a vote of the Faculty Association.

Vetoed Senate recommendations are to be returned to the Senate after receipt by the President of East Central University, at which time the Senate may refer the matter to the Faculty Association by a three-quarter ($3/4$) vote. The Faculty Senate shall a date and time for the Faculty Association meeting. After hearing the President of East Central University or a representative discuss the basis for the veto, the Association may debate and cast a referendum vote upon the matter for the purpose of reconsideration by the President of East Central University.

F5.1.7.7 Section 7

A Faculty Senate recommendation which has been referred to the Faculty Association shall be resubmitted to the President of East Central University when approved by more than one-half ($1/2$) of the Faculty Association members voting.

F5.1.7.8 Section 8

The Faculty Senate requests that the President of East Central University provide a written response in a timely and appropriate fashion to each recommendation which the Senate submits.

F5.1.8 Article VII: Amendment of the Constitution

F5.1.8.1 Section 1

Amendments to this Constitution may be proposed by any member of the Faculty Association, provided such proposed amendments are presented to all faculty members and to the Senate at least thirty (30) days prior to a scheduled meeting of the entire Faculty Association. For amending the Constitution, a quorum shall consist of one-third ($1/3$) of the Faculty Association. After discussion at said faculty meeting, ratification shall follow if two-thirds ($2/3$) of those members present approve.

F5.1.9 Article VIII: Ratification of the Constitution

F5.1.9.1 Section 1

This constitution will be deemed ratified and binding when it has been approved by a two-thirds ($2/3$) vote of the Faculty Association members assembled in a special meeting called for the announced purpose, by the President of East Central University and by the Board of Regents of the Regional Universities of the State of Oklahoma.

F5.1.10 Apportionment for the ECU Faculty Senate Using the Hamilton Method

The following scheme automatically allows each school one seat, regardless of population of the school. This accounts for five of the available 1F5 Senate seats. The remaining 11 seats will be allocated via the Hamilton Method of Apportionment.

Since each school will have one representative, that one person is removed from the school's population before performing the allocation algorithm. Also, the total population of 1F5F5 is reduced to 1F51 for the same reason.

Thus, the proportion used to derive each school's quota is: $p/1F51 = q/11$

We let: P = school's original population

p = school's adjusted population

q = quota

HAMILTON METHOD WITH ELEVEN SEATS TO BE APPORTIONED							
College/School	P	p	q	Integer Part	Extra Seat	Automatic Seat	Total
College of Liberal Arts and Social Sciences	F51	F50	4.009	4	0	1	5
College of Health and Sciences	55	54	2.938	2	1	1	5
College of Education and Psychology	29	28	2.528	2	1	1	3
Stonecipher School of Business	20	19	1.093	1	0	1	2
Library	F5	5	0.342	0	0	1	1
Total	171	170	11.000	9	2	5	16



Policy and Procedures Manual
Application: Full Time Faculty
Section F6.1 Bylaws of the School of Graduate Studies

F6.1 Bylaws of the School of Graduate Studies

Name: The name of this organization shall be the School of Graduate Studies, East Central University.

Purpose: The purpose of these bylaws is to define the policies and procedures of the Graduate School, and to define the roles and responsibilities of graduate students, the Graduate Faculty, the Graduate Committee and the Graduate Dean.

F6.1.1 Membership in the Graduate Faculty

F6.1.1.1 Section 1

The President of the university, the Provost/VPAA, and the Dean of the Graduate School are ex-officio members of the graduate faculty.

F6.1.1.2 Section 2: Eligibility for Graduate Faculty Status

1. Regular Graduate Faculty (RGF)
 - Regular faculty who are members of departments that offer a master's degree program and who meet the standards for appointment to RGF status are eligible for appointment to the Regular Graduate Faculty.
2. Associate Graduate Faculty (AGF)
 - Regular faculty who are members of departments that offer required support courses for a master's degree program and who meet the standards for appointment to AGF status are eligible for appointment to the Associate Graduate Faculty; or
 - Regular faculty who serve as graduate student advisors for graduate students pursuing the secondary education option in the Master of Education degree program or faculty who teach graduate level courses (5000-level) on a regular basis (at least once every two years), and who meet the standards for appointment to AGF status are eligible for appointment to the Associate Graduate Faculty.
3. Provisional Graduate Faculty (PGF)

Part-time faculty and regular faculty not yet qualified for Graduate Faculty status under F6.1.2.2 who meet the standards for appointment to Provisional Graduate Faculty may be appointed to the Provisional Graduate Faculty.
4. Emeritus Graduate Faculty (EGF)

Faculty holding emeritus faculty appointment at the Assistant Professor level and above are eligible for appointment to the Emeritus Graduate Faculty

F6.1.1.3 Section 3: Standards for Appointment to the Graduate Faculty

1. Regular Graduate Faculty

- Earned doctorate or terminal degree in the field of specialization;
- An outstanding teaching record, including at least three years of full-time university teaching which includes graduate courses (5000-level);
- Evidence of continuing scholarly activity, i.e., active professional involvement in the field of specialization, presentation of papers and other research, publications or other creative products; and
- Hold regular faculty appointment at the Assistant Professor level or above.
- RGF appointments shall be for a period of six (6) years, and will be renewed only upon completion of a six-year review by the Graduate Dean

2. Associate Graduate Faculty

- Earned doctorate or terminal degree in the field of specialization, or master's degree in a field of specialization which qualifies the holder to teach required support courses for master's degree programs, or hold a master's degree in the field of specialization, have passed the general examinations for the doctoral degree, and be working actively toward the completion of the doctoral degree;
- An outstanding teaching record, including at least one year of full-time university teaching which includes graduate courses (5000-level);
- Evidence of promising scholarly productivity, i.e., professional involvement in the field of specialization, presentation of papers and other research, publications or other creative products; and
- Hold regular faculty appointment at the assistant professor level or above.
- AGF appointments shall be for a period of six (6) years. If the faculty member has not qualified for a RGF appointment before the six-year period expires, or if the faculty member is ineligible for RGF status, the faculty member shall reapply for AGF status.

3. Provisional Graduate Faculty

- Earned doctorate or terminal degree in the field of specialization, or master's degree in a field of specialization which qualifies the holder to teach required support courses for master's degree programs, or hold a master's degree in the field of specialization, have passed the general examinations for the doctoral degree, and be working actively toward the completion of the doctoral degree, or possession of validated unique or special qualifications to teach in the area of the specified course(s);
- Dean and Department Chair approval;
- Have at least one year of experience in university teaching or possess expertise or have made major contributions to the field of specialization which may warrant an exemption from this requirement;
- Evidence of promising scholarly productivity, i.e., professional involvement in the field of specialization, presentation of papers and other research, publications or other creative products, or exemption based upon major contributions to the field of specialization; and
- Hold regular faculty appointment at the rank of instructor or above, or adjunct faculty or part-time faculty status.
- All PGF appointments expire at the end of summer term, and must be renewed.
- PGF appointments are valid for specified course(s) only.

4. Emeritus Graduate Faculty

- Earned doctorate or terminal degree in the field of specialization;
- An outstanding teaching record, including at least three years of full-time university teaching which includes graduate courses (5000-level);
- Evidence of continuing scholarly activity, i.e., active professional involvement in the field of specialization, presentation of papers and other research, publications or other creative products; and
- Hold emeritus faculty and have held RGF or AGF status while employed full-time.
- EGF appointments shall be for a period of three years.

F6.1.1.4 Section 4: Procedures for Appointment to the Graduate Faculty

1. Regular Graduate Faculty and Associate Graduate Faculty appointment procedures
 - By January 15 each year, the School of Graduate Studies will notify the program Department Chairs and Deans of faculty who are eligible to apply for RGF or AGF status or are up for renewal.
 - After the Department Chair has notified the faculty member of their eligibility, it is the individual faculty member's responsibility to complete the application form and return it and a current vita to the department Chair by March 1.
 - If the Department Chair and the Dean recommend the appointment, the application and vita will be forwarded to the Graduate Committee by April 1.
 - If a majority of the Graduate Committee approves the appointment, the application will be forwarded to the Dean of the School of Graduate Studies.
 - Administrative review and approval will proceed from the Dean of the School of Graduate Studies to the Provost/VPAA.
 - The application may be disallowed at any point in the appointment procedure and returned to the School of Graduate Studies. The Dean of the School of Graduate Studies will notify the faculty member and discuss the decision with the faculty member.
 - The faculty member may appeal a disapproved application by submitting a written request containing justifications for a review to the graduate Dean. The graduate Dean will appoint a three-member review committee (1 from the Graduate Committee, 1 RGF member, and 1 AGF member). The Graduate Committee member will Chair the review committee, which will investigate the request in whatever manner the committee deems necessary and submit a written recommendation to the graduate Dean within thirty days of receipt of the review request. The graduate Dean will submit the review committee's findings to the Graduate Committee and the faculty member.
2. Provisional Graduate Faculty Appointment Procedures
 - If concurring with the Department Chair's recommendation for PGF appointment, the program Dean will forward the PGF appointment application and vita to the Dean of the School of Graduate Studies for final action; the graduate Dean will approve or disapprove the recommendation; the appointment does not require Graduate Committee or other administrative action.
 - All PGF appointments must be completed before the semester in which the class is taught.
 - The graduate Dean will notify the department and applicant of the decision.
 - In extenuating circumstances, the Dean of the college or school will confer with the Dean of Graduate Studies to determine if the candidate qualifies for provisional status with formal application and approval to follow.

F6.1.2 Responsibilities of the Graduate Faculty

F6.1.2.1 Section 1: Purpose

The purpose of the Graduate Faculty is to teach, advise, and engage in scholarly activity in graduate programs approved by the Oklahoma State Regents for Higher Education.

F6.1.2.2 Section 2: Professional Responsibilities

Members of the graduate faculty teach graduate classes, workshops and seminars, advise students in the program of graduate study and approve said plans.

F6.1.2.3 Section 3: Academic Responsibilities

The graduate faculty in the individual colleges/schools have responsibility for the content and quality of graduate programs offered, for determining when the requirements for a graduate degree have been met and, through the Dean of the Graduate School, to recommend to the President and the Oklahoma State Regents for Higher Education that the degree be conferred.

F6.1.2.4 Section 4: Relationship to Graduate Committee

Members of the graduate faculty may initiate action on any matter of concern pertaining to graduate education by bringing it before the Graduate Committee, and may appear before the committee to debate the item, but may not vote on any motion that may result. Agenda items should be presented to the Chair of the Graduate Committee 10 days before the meeting at which it is to be considered

F6.1.3 Governance

F6.1.3.1 Section 1: Graduate Committee Purpose

The Graduate Committee shall be the Standing Committee for the graduate faculty and the graduate students. Its purpose shall be to enhance the quality of graduate education by providing a forum for broad participation in the formulation of academic policies that govern graduate programs. The Graduate Committee shall recognize the need for shared responsibility in the governance of graduate education. The following are the objectives of the Graduate Committee:

1. Develop and maintain high standards of quality in all graduate programs
2. Formulate general academic policies and procedures relating to graduate programs in the university;
3. Represent the interests of the graduate faculty and graduate students in the university; and
4. Advise the Dean of the School of Graduate Studies concerning the administration of the school.

F6.1.3.2 Section 2: Graduate Committee Duties

The duties of the Graduate Committee shall be to make recommendations in the following areas:

1. Admission and retention standards in graduate programs;
2. Requirements for the graduate degrees, including, but not limited to, areas such as transfer of credit, full-time work required, time limit on applicable work, study load, grade requirements and credit requirements;
3. Certificate programs at the graduate level;
4. Curricular standards and changes in all graduate programs;
5. New graduate degrees and programs; and
6. Qualifications of graduate faculty.

In addition, the Graduate Committee serves as an appellate body for all matters pertaining to graduate programs.

F6.1.3.3 Section 3: Graduate Committee Membership

The Graduate Committee shall be composed of the following:

1. A graduate faculty member from each graduate degree program, to be appointed by the President from a list of recommendations submitted by the Faculty Senate to the President;
2. The Dean of the School of Graduate Studies;
3. One (1) academic administrator representing a school sponsoring a graduate degree appointed by the President upon recommendation of the graduate Dean; and
4. One (1) graduate student (rotating annually among the graduate degrees) recommended by the appropriate department Chair and appointed by the graduate Dean.

F6.1.3.4 Section 4: Graduate Committee Organization

The organization of the Graduate Committee shall be as follows:

1. The Chair shall be elected annually by the Graduate Committee from its faculty members;
2. The Vice-Chair shall be elected annually by the Graduate Committee from its membership.

F6.1.4 Administration of the School of Graduate Studies

F6.1.4.1 Section 1: Chief Administrative Officer

The chief administrative officer of the School of Graduate studies shall be the Dean.

F6.1.4.2 Section 2: Dean of the School of Graduate Studies

The Dean of the School of Graduate Studies shall be responsible for the following:

1. Administration and supervision of the School of Graduate Studies;
2. Serving as secretary for the Graduate Committee;
3. Collaborating with the academic Deans to implement graduate academic policy as developed through the Graduate Committee; and
4. Other assignments and duties as specified by the President or Provost/VPAA.

F6.1.4.3 Section 3: Specific Responsibilities

Other specific responsibilities of the Dean of the School of Graduate Studies shall consist of the following:

1. Matters Affecting Graduate Studies
 - Coordinating the admissions and curricular requirements;
 - Cooperating with the registrar in maintaining a system of academic records for graduate students in Registry and in the School of Graduate Studies;
 - Coordinating programs for the recruitment of graduate students;
 - Seeking additional financial support for graduate students; and
 - Assisting graduate students in matters relating to their general welfare as requested.
2. Graduate Committee
 - Implementing and communicating actions of the Graduate Committee; and
 - Providing staff support for the Graduate Committee.
3. Graduate Publications
 - Producing and distributing the School of Graduate Studies Catalog and other documents.
4. Records and Reporting
 - Developing and maintaining a system of records necessary for reporting to the university administration and state and federal agencies.
5. Long-Range/Strategic Planning
 - Supports, assists and advises the schools and departments in the development of new and existing graduate programs; and
 - Participating in the planning and development of graduate education at the university level, with assistance from the Graduate Committee.
6. Advocate and Spokesperson for Graduate Education
 - Serving as a member of the Academic Affairs Council; and
 - Assisting in the coordination of research and graduate education.

F6.1.5 Article VII: Amendments

F6.1.5.1 Section 1: Amendments

Amendments to these bylaws shall be approved by the Graduate Committee and submitted to the regular and associate graduate faculty for approval. Approval will require a favorable vote of two-thirds of those voting of the entire regular and associate graduate faculty at the time of the vote. Upon recommendation from the Dean of the School of Graduate Studies and the Provost/VPAA, final approval of proposed amendments rests with the President.



Policy and Procedures Manual

Application: Full Time Faculty

Section F7.1 Human Subjects Review Committee (IRB)

Note: This section is being revised. Please contact the Office of Sponsored Programs and Research for the most up-to-date information.

F7.1 Human Subjects Review Committee (IRB)

F7.1.1 Introduction

The major goal of East Central University is to serve the larger community of the state of Oklahoma by providing opportunities for higher education to students as well as broadening the horizons of research. In so doing, the rights and privacy of all people concerned must be protected. The university willingly undertakes this responsibility, while at the same time endeavoring to not infringe upon the academic freedom of the members of the university. As part of this responsibility, the university seeks to protect the rights of individuals involved as subjects in research projects.

F7.1.2 Federal Regulations

The East Central University (ECU) Institutional Review Board (IRB) is governed by the Code of Federal Regulations 45 CFR 46 to protect the rights and privacy of human research subjects. CFR 46.F73(a) requires that institutions conducting research supported by any federal department or agency file an assurance with the United States Department of Health and Human Services (HHS). The university acts in accordance with the Office for Human Research Protections' (OHRP) Terms of Assurance under Federalwide Assurance # FWA00013984.

ECU's ethical principles regarding human research are also guided by the "Belmont Report: Ethical Principles and Guidelines for the Protection of Human Subjects of Research" of the National Commission for the Protection of Human Subjects of Biomedical and Behavioral Research. These principles are applicable when human subjects are involved in research regardless of funding sources

F7.1.3 Committee Structure

The Institutional Review Board (IRB) shall consist of six (6) members, one of which must be a non-scientist; five (5) shall be the current members of the Research and Professional Development Committee. The sixth person, who shall be appointed by the vice President for academic affairs, shall not be affiliated with ECU and shall not a part of an immediate family of a person affiliated with the institution. All members shall have sufficient experience and expertise to provide professional advice and counsel related to the protection of human subjects in research.

The IRB Chair and the administrative liaison will review all research activities involving human subjects and determine the level of review. Any member, who has a conflict of interest with the initial proposal or renewal under review, shall not participate. However, they may provide information requested by other members of the committee. The IRB will notify investigators of any findings or actions conducted in the review process.

F7.1.4 Educational Requirement

The Office for Human Research Protections (OHRP) of the Department of Health and Human Services strongly encourages institutions to develop educational training for all IRB members and those investigators that will be involved in human subject research. OHRP recommends that IRB members complete appropriate educational training prior to

reviewing human subject research as established by the Office of Sponsored Programs and Research (OSPR). Investigators must complete their training prior to submitting application to the IRB for any human research activities.

All ECU investigators, research staff, and key personnel involved in human subject research must complete the initial training at the National Institutes of Health Protection of Human Subject Research educational course at <https://phrptraining.com>. Upon completion of the training, print and submit the Certification of Completion along with the IRB application. Supervising faculty shall certify that research students have knowledge and demonstrate competency of topics and issues related to human subject research.

F7.1.5 Refresher Course

IRB members, investigators, research staff and key personnel are required to complete a refresher course every three (3) years at <https://phrptraining.com>.

F7.1.6 Applications for IRB Review

All members of East Central University (undergraduate and graduate students, faculty, and administrators) who intend to do research employing human subjects, as well as non-university members wishing to conduct research using any members of East Central University, must file a full proposal with the IRB.

The IRB's approval of a research project shall be contingent on the following:

1. Sufficient information will be provided to potential subjects to enable them to make an informed decision, including, but not limited to, an explanation of the purposes of the research and a description of any reasonably foreseeable risks or discomforts,
2. Assurance that any potential risks will be minimized and are reasonably proportional to the expected benefits, and
3. Provision of reasonable estimates of time involved in the study and number of participants.

It is the ultimate responsibility of the individual researcher to file their proposal with the IRB. Students engaging in research with human subjects are responsible for filing their proposals; however, it is the duty of the supervising faculty member to inform students of their responsibility and to review their student's proposal before submission to the Board.

To ensure application review in a timely manner, IRB proposals shall be filed thirty (30) days prior to the proposed start date of the research. (Exception: Applications requesting exempt or expedited status may be filed within fifteen (15) days prior to the proposed start date.) Failure to file proposals and obtain approval prior to administering any research instrument involving human subjects is in violation of Code of Federal Regulations 45 CFR 46 and ECU policy. Noncompliance with the policy and guidelines may result in disciplinary action. Investigator(s) conducting research that is not in accordance to this policy must accept full responsibility for the consequences of their research activities.

The original signed application should be sent to the Office of Sponsored Programs and Research at room 226 of Danley Hall and emailed to IRB@ecok.edu.

F7.1.7 Application Form

APPLICATION TO THE INSTITUTIONAL REVIEW BOARD

The IRB application, IRB related forms and the IRB policy can be found at the East Central University Office of Sponsored Programs and Research website.

F7.1.8 Types of IRB Review

Exempt:

IRB may consider an application exempt if the following criteria are met (45 CFR 46.F71):

1. the research involves at least one of the following:
 - the collection or study of existing unidentifiable data, documents, records, pathological specimens, or diagnostic specimens
 - the use of educational tests, survey procedures, interview procedures, or observation of public behavior,
 - the use of commonly accepted educational settings, involving normal educational practices
2. The subjects involved cannot be directly or indirectly identified, and
3. Disclosure of the subjects' information cannot place them at risk for criminal or civil liability or be damaging to their financial standing, employability, or reputation.

Expedited Review: <http://www.hhs.gov/ohrp/humansubjects/guidance/expedited98.htm>

According to 45 CFR 46.1F7, IRB may review research in an expedited process for the following:

1. Research involving no more than minimal risk to research subjects and others, and/or
2. Research involving minor changes to the previously approved research during the project period (of one (1) year or less) for which approval was authorized.
3. The subjects involved cannot be directly or indirectly identified, and
4. Disclosure of the subjects' information cannot place them at risk for criminal or civil liability or be damaging to their financial standing, employability, or reputation.

Full Review: Application is subject to full IRB review if it meets any of the following:

1. The research involves more than minimal risk to research subjects and others,
 - The research involves public official(s) or candidate(s) for public office,
 - Subjects' personal information can be identified directly or indirectly (through a naming system).
2. Disclosure of the subjects' information may place them at risk for criminal or civil liability or be damaging to their financial standing, employability, or reputation.

Minimal risk: "The probability and magnitude of harm or discomfort anticipated in the research are not greater in and of themselves than those ordinarily encountered in daily life or the performance of routine physical, psychological examinations or tests" (45 CFR 46.F72{i}).

F7.1.9 Consent Forms

Unless waived by the IRB, investigators shall not to employ human research until the subjects (or their legal representative) have given their consent.

The informed consent shall follow the guidelines listed below:

1. It shall contain information explaining the nature of the research, the risks and benefits, the expected duration of the research, and the number of expected participants.
2. The subject (or their legal authorized representative) shall sign the consent form before participation is allowed.
3. The language contained within the form must not be exculpatory.
4. It shall consist of a statement informing the subjects that their participation is voluntary and free of coercion or undue influence.
5. It shall consist of a statement guaranteeing subject information confidentiality.
6. It shall consist of a statement informing the subjects that their refusal or withdrawal to participate will not result in penalty or loss of benefits to which the subject is otherwise entitled.
7. It shall consist of a statement informing the subjects that the investigator may terminate their participation at any given time without prior notice.
8. It shall list the name(s) and number(s) of a contact person(s) for participants to call for further questions or concerns regarding the research and their rights.

The informed consent must be provided by the investigator and approved by the IRB prior to use.

F7.1.10 Changes to the Initial Application

Investigators are required to notify the IRB of any changes to the initial approved proposal. The Board must approve modification(s) prior to the start of the research. The sponsoring department or agency will grant the final approval.

F7.1.11 Change in Initial Status of Human Subject Research

Proposals that did not initially incorporate human studies must inform the IRB and the sponsoring department or agency of the change in human research activities. Immediately after the investigator(s) identifies that the research will involve human subjects within the period of support, they must file an application with the IRB for approval. The certification will be submitted to the department or agency by the institution. However, the sponsoring department or agency shall have the final approval for the proposed change.

F7.1.12 Unanticipated Harm and Non-compliance Report

To protect the welfare of research subjects, the investigator(s) shall immediately notify the IRB of any unforeseen injuries or harm to the research subjects or others. Those that are not in compliance with the institution's IRB policy shall be reported to the committee. Appropriate action will ensue.

F7.1.13 Continuing Review and Final Report

Continuing application shall be renewed annually and submitted thirty (30) days prior to the expiration date to ensure approval in a timely manner.

A final report shall be submitted to the IRB no later than thirty (30) days upon the completion of the study.

F7.1.14 Suspension or Termination of IRB Approved Research

In the case of a termination or suspension of the human research project, the committee shall issue a written statement to the investigator stating the reasons for the action.

F7.1.15 Retention of IRB Records

East Central University shall retain IRB records for five (5) years beyond the end of the completion of the study. They will include all records related to the project, but not limited to, reviewed research proposals, scientific evaluations, approved samples of consent documents (if applicable), copies of correspondence between the committee and the investigators, progress reports, and reports of injuries to subjects.

In addition, records of IRB meetings shall be retained for five (5) years beyond the end of the completion of the study. They will include all records related to the project, but not limited to, details of the minutes of the IRB meetings, attendance, actions taken by the IRB, the voting outcome of the application approval or disapproval, reason(s) for the action, suggestions and comments for modification if disapproved, and a written summary of opposed issues and resolution discussed.

F7.1.16 Questions and Answers

Please contact the IRB committee with any questions at IRB@ecok.edu.

F7.1.17 Links to Additional Resources

1. [Code of Federal Regulations Title 45, Part 46](#)
2. [The Belmont Report - Ethical Codes and Regulations for Human Subjects in Research](#)
3. [Office for Human Research Protections \(OHRP\)](#)



Policy and Procedures Manual

Application: Full Time Faculty

Section F8.1 Faculty Intellectual Property, Ownership, Copyright, Patent, and Revenue Policy

Section F8.1 Faculty Intellectual Property, Ownership, Copyright, Patent, and Revenue Policy

Section F8.1.1 Purpose

The purpose of this Policy is to describe the intellectual property interests, rights, and responsibilities in the work created by members of the East Central University community (University). This policy is a supplement to the Patent Policy and Copyright Policy promulgated by the Board of Regents of the Regional University System of Oklahoma (RUSO) and found in Section 5.13 of Chapter 5 General Policies. To the extent this policy conflicts with the general RUSO Patent Policy and Copyright Policy on issues involving distance learning, the RUSO policy prevails.

The University seeks to encourage intellectual inquiry, research, scholarship, and creativity among the members of its community in furtherance of the University's educational and academic mission. The University is committed to an academic tradition that recognizes the intellectual property rights of those who create work, including legally compliant uses of the work of others in the course of scholarly inquiry. This policy is intended to promote the free exchange of ideas and to advance the University's commitment to academic freedom. Members of the community are encouraged to pursue learning, research, academic inquiry, and other creative endeavors and to distribute, publish, and share their work.

Academic and scholarly work and research created by faculty, researchers, staff, administrators, and/or students is owned by its creator except in those limited circumstances where the work constitutes directed work or involves the use of substantial University resources, or in the case of staff or administrators, where the work is created in the course of their employment.

Section F8.1.2 Scope

This policy is applicable to intellectual property created by faculty, researchers, staff, administrators, students, and contractors of East Central University.

Section F8.1.3 Definitions

As utilized in this Policy, the following terms are defined as follows:

1. **Academic Work** means intellectual property and scholarly, pedagogical, research, or creative or artistic works in any medium developed by faculty members, researchers, or students. Academic work can include, by way of illustration, fiction and nonfiction books, textbooks, articles, dramatic works, works of visual art, musical compositions, scores, scripts, choreography, data sets, or software, as well as course syllabi, tests, problem sets, course websites, and lecture or class notes, whether in paper, electronic (i.e. online courses), or other form.
2. **Chief Academic Officer** is the Vice President for Academic Affairs of the university.
3. **Directed Work** means intellectual property and any work or invention created by staff or administrators in the course of their employment or commissioned by the University as stipulated in an agreement or contract. Directed work may be compensated by the institution or through a state, federal or private grant. It may also include work created by faculty, researchers, or students pursuant to an agreement and when supported by substantial University resources beyond those customarily provided to faculty, researchers, or students in their respective disciplines. In such instances where directed work is compensated by or pursuant to a state, federal,

or private grant, contract, or agreement, the allocation/ownership of intellectual property rights shall be addressed and established prior to final and full execution of the contract/agreement.

4. **Directed Work** includes work created for institutional purposes, such as work created at the request or direction of the University. Examples may include development of course materials, software, digital and/or electronic works, promotional materials, catalogs, alumni communications, enrollment materials, training programs, personnel procedures, departmental or divisional standard operating procedures, policies, internal memoranda, reports, databases, data sets, surveys, designs, processes, and University trade secrets or other products relating to the operations and functions of the University can constitute directed work.
5. **Intellectual Property** refers to creations or works and the rights to those works under law. A variety of federal and state laws protect ownership of creative works, including writing, music, art work, photography, films, trade or service marks, software, and inventions. Depending upon their form, works can be copyrighted by their creator and/or with the government, as in the case of a writing, trademarked as in the case of a logo, or patented, in the case of an invention. In addition, an owner of a work can license or grant legal permission to the institution. Under this policy, the term “Intellectual Property” and associated terms are applied consistent with their legal meaning.
6. **Licensure** is the right to use or market the course materials for educational or institutional purposes.
7. **Substantial University Resources** means the provision of support, facilities, or services, including staff or administrative assistance, over and above the resources made available in the ordinary course of teaching, writing, lecturing, or conducting research. The term does not include incidental support customarily provided to faculty, researchers, or in connection with their work and responsibilities as faculty, or researchers. The University will not construe its provision of offices, library resources, laboratories, sabbatical leaves, computers, or IT support services to faculty in the ordinary course of their faculty responsibilities, including teaching or research, as constituting “substantial University resources” unless that support is furnished by the University for the purpose of supporting directed work, or as otherwise may be agreed upon.

Section F8.1.4 Ownership

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, employees who are authors of academic works own the pedagogical, scholarly, or artistic works, regardless of their form of expression. If a faculty member retains title to copyright in teaching or course materials that are not directed work, such as class notes, curriculum guides and laboratory notebooks, the university and/or the university component shall not retain a royalty-free right to use the materials for educational purposes without the express permission of the copyright owner.

The creator retains ownership of directed work; however, the University maintains a royalty-free exclusive license to use and distribute the material. In cases where the directed work involves trade secrets or other products relating to the operations and functions of the institution, the university retains the right to restrict distribution.

The creator retains ownership of an invention unrelated to creator’s employment responsibilities provided that it is developed on personal time without the use of customary university resources. The invention is not owned by the university in these instances.

Section F8.1.5 For-Profit and Commercial University Uses

University resources shall not be used in connection with for-profit commercial enterprises or other non-academic or non-University purposes unless such arrangements are reviewed and approved by the University administration. However, faculty and students retain the right to publish or display their work in for-profit publications or fora, while being cognizant of their obligation to recognize East Central’s identity and intellectual property interests.

Section F8.1.6 Copyrights/Patents and Royalty Distribution

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

F8.1.6.1 Copyright Ownership

- Under the Copyright Revision Act of 1976, 17 U.S.C. '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.
- Copyrighted works produced by the ECU faculty and staff are the property of the creator of that work. All rights afforded copyright owners under '106 of the Act reside with the creator unless they have assigned or licensed any of the enumerated rights. Decisions relative to registering of these works with the Copyright Office are left to the individual creator.
- Copyright in directed works specifically commissioned by the university under § 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.
- 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.
- Where University service units (such as 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.
- In 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, pursuant to RUSO policy section 5.13.2.

F8.1.6.2 Patents

- *General Statement:* It is in the best interest 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 thereof. 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 service 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.
- *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 through the use of substantial university resources shall be the property of the university; and all rights therein shall be assigned, licensed, or otherwise commercially exploited as directed by the President of the university or by a duly authorized officer of the university, who shall be designated by the President of the university.

Section F8.1.7 Respect for Intellectual Property

While it is in the interest of the university and of faculty members to protect their intellectual property rights, it is also the responsibility of all parties to respect the intellectual property rights of others, both inside and outside the university community. Whenever a member of the faculty uses texts, images, or other creative materials produced by another entity, they should abide by the terms of Title 17 of the U.S. Code or whatever other copyright scheme (Creative Commons, copyleft, etc.) is claimed by the creator. This includes proper citation procedures, image captions giving credit to creators, and links to creator websites where appropriate. Faculty should be aware of the “fair use” doctrine of U.S. copyright law and its limitations, and should obtain permission from the copyright holder when fair use is not applicable.

Section F8.1.8 Conflict Resolution

In case of a dispute arising over the application of this policy and/or the ownership of intellectual property, either party of the dispute (the university or the creator/s) may submit a written request to the chief academic officer for a meeting of an ad-hoc Intellectual Property Committee (IPC) within 30 days of identification of the dispute. Disputes arising over royalty sharing for university-commissioned works shall be referred to the general counsel for the Board as per RUSO policy.

Upon receipt of a request for a meeting, the Chief Academic Officer shall convene the IPC consisting of a minimum of the following:

1. Associate vice President for academic affairs;
2. One representative from the Office of Research & Sponsored Programs;
3. Six faculty members, including at least one Faculty Senator and one representative from the ECU chapter of American Association of University Professors;
4. Legal counsel in an advisory, non-voting capacity.

Faculty should broadly represent undergraduate and graduate programs in a variety of disciplines across the academic colleges and library. Other members may be added by a majority vote of the established IPC as appropriate to the issue in need of resolution and in cases where IPC members need to recuse themselves. The Chair of the IPC will be elected by the committee at the first meeting.

Within 30 days of the chief academic officer's request, the IPC will review the facts in meetings open to observers and formulate a recommendation for resolution of the dispute to the chief academic officer. The decision of the chief academic officer will be final. The chief academic officer will render a determination within 30 days of receipt of the IPC recommendation or the university will relinquish rights to ownership of the disputed copyright.

Section F8.1.9 Need to Memorialize the Allocation of Intellectual Property Rights When Substantial University Resources Are Utilized

When the use of substantial University resources will be involved, the University should be so advised and questions regarding the allocation of intellectual property rights should be addressed prior to the undertaking. The creator of such work is responsible for advising the University in advance in order to ensure that questions of ownership can be mutually addressed at an appropriate point in time.

Section F8.1.10 Update/Revision of Policy

The Research Committee and OSPR shall periodically monitor and review technological and legislative changes affecting intellectual property policy and shall report to relevant faculty and administrative bodies, and propose policy revision, when such changes affect existing policies.