



MEMORANDUM

TO: UAHuntsville Faculty Senate Executive Committee
UAHuntsville Faculty Senate
UAHuntsville Faculty

FROM: David B. Williams, President

RE: Response to Faculty Senate Executive Committee
September 22 Memo and Questions

DATE: October 6, 2009

I wish to thank the Faculty Senate Executive Committee for their memo and detailed questions. I appreciate the multiple concerns expressed in the document and the opportunity to respond to the 23 questions that conclude the memo. It is clear that the Faculty Senate Executive Committee members have spent considerable time and effort in putting the document together, and for that I commend them.

Given the stated intent to post this response on the Faculty Senate website, I have also copied every member of the faculty so that the communication issue, which is rightfully highlighted, is minimized. I apologize up front for this extraordinarily long document, but the content and queries of the Executive Committee memo require such detail in order that there can be no ambiguity. For this same reason, a copy of the Executive Committee memo follows this response.

Let me start by addressing the thorny topic of communication.

Communication

As stated in the memo: *“The administration must respond to our concerns by implementing a new communication strategy”*

Effective and efficient communication is arguably the most difficult personnel problem facing any organization. The researcher who invents the method of ensuring that everyone receives (and reads, listens, comprehends and retains) all the information they need to know, from everyone who needs to communicate that specific information to them, will rightfully be recognized as having solved one of the greatest sociological, psychological and technological problems that exists.

That being said, communications issues will continue to enmesh us all. Nevertheless, while taking responsibility for not communicating the university’s strategies and decisions clearly to everyone, I wish to point out that I do endeavor to make myself available to answer questions and try to solve individual problems that any one brings to my attention.

The curse and benefits of email are known to most of us. As many of you have found out, I read and often answer my email. Since I arrived here, I have received almost 21,000 emails from faculty, staff and students with a 'uah.edu' domain address. I have responded to over 6500.

My office is open to any faculty, staff or student who wishes to meet with me, so long as I am the person best suited to answer their specific concerns. I meet with any *Exponent* reporter/free-lancer who requests an interview (with that same caveat in place) because I hope such meetings are educational for the students and the *Exponent* appears to be one of the best ways to distribute information on campus.

Over the last couple of years, I have visited every department but one, every research center, met several times with college faculty groups and conducted several Town Hall meetings. The Provost has been even more assiduous in meeting with faculty in various venues.

I attend every possible event to which I am invited. At Club H, I intermingle with hundreds of staff, faculty and alumni. I am getting to be a regular at "The Nook" with groups of faculty. Margie and I invite *everyone* on campus to the Lowe House for occasional festivities. Over the last year we have entertained over 600 students, a similar number of faculty and staff, and numerous community guests – over 1800 in total.

I meet with many student groups regularly, I have visited several Greek houses and living organizations, taught a few classes and turned up at the UC for lunch with whomever sits at the table I choose. I have played occasional golf in faculty and staff foursomes, and I go to the Fitness Center (far less often than I need).

The Provost and I attend almost every meeting of the Faculty Senate and the Faculty Senate Executive Committee. We make our presentations as required, and *always* end our presentations by asking for questions. The last two such meetings were in the last two weeks.

The point of articulating all these points is not to make a list of communications accomplishments but simply to show that, while our University communication structure may not be fully successful, we are trying. I know that the Faculty Senate and the Faculty Senate Executive Committee are trying too. It will take efforts on all our parts to make our communication environment more successful. I believe that communication challenges are never fully solved. They can always be improved. No matter how good or poor our communications are, we will always have the ability to make them better.

Much of the information sought by the Executive Committee is available and has been communicated to various levels of the University. Most of the problems are the direct responsibility of individuals who are far better equipped than I to answer these questions. To my knowledge, the individuals whose responsibility is identified in the responses that I give (below) have not received direct requests for the pertinent information from the Faculty Senate. Many of these colleagues have provided the data that are in this response, and I would like to thank them in turn for the time they have taken to help me put this document together.

As indicated in several places in this response, I urge anyone with a question or concern to contact those administrators, faculty and staff who are responsible for the specific arms of the University wherein the concern is located. Every member of the administration is willing to come and address the Faculty Senate, the Faculty Senate Executive Committee, or indeed any group of faculty, on any issues for which they are responsible.

The members of the administration responsible for different areas of the University are the experts, and they should answer the appropriate questions. In this first response, however, I have collated the input of

several faculty and administrative colleagues so that the faculty as a whole receives a single response to this single memo from their representatives.

So, I will at least make the observation that communication is a collaborative effort and I, in turn, would ask you to help me understand how I can communicate more effectively. Specifically:

- How I can communicate more effectively with you and the faculty?
- How do you communicate to your colleagues the information that I communicate to you?

The Budget Situation

Many of the comments and concerns reflect the difficult economic times that we face which, as you note, are certainly “challenging.” In particular, it is clear that the budget is the focus of many of the questions. Therefore, before I address the specific budgetary questions, I would like to share with you my thoughts on the overall issues underlying many of those questions.

Mr. Ray Pinner, Vice President for Finance and Administration, is responsible for the construction and oversight of the budget. We are fortunate that VP Pinner is an accomplished, yet cautious, leader with decades of experience in public university operations. As you are all aware from the recent memo sent out by VP Pinner, Governor Riley has announced that the state appropriation part of our budget has again been pro-rated because of the ongoing financial crisis within the state and the nation. The plans to cope with this latest pro-ration are indicated in VP Pinner’s memo and discussion is ongoing across campus.

Last year, for the first time in the University’s history, I asked VP Pinner to post the entire budget on the web. The budget for 2009-10, approved recently by the Board of Trustees, is posted on the web at:

<http://www.uah.edu/admin/Budget/budgetinfo.php>

As you can see from that web site, despite the severe cuts in state appropriations that we have suffered in the two years since I came to UAHuntsville, our total budget is \$158M. This is a testament to the shared work that many on campus have done to increase the various revenue streams that we control, and also the willingness to mitigate the cuts across campus, to which VP Pinner alluded in his memo.

The budget summarizes the money that *can be spent* over the next fiscal year and this is money that we intend to spend to ensure that we fulfill the University’s three primary responsibilities: to educate students, to carry out scholarly research and to serve the academic and surrounding communities. I stress “*can be spent*” because aspects of the memo and specific questions indicate serious concerns that money is being spent in some areas while we are also cutting in other areas. Money will continue to be spent because we have the money in the budget for the purpose of running the university.

Prioritizing and Decision Making

Extending the quote from the original memo given at the start of this response, requires further discussion:

“The administration must respond to our concerns by implementing a new communication strategy that both informs faculty of priorities and decisions and seeks significant faculty input regarding these priorities and decisions.”

The prioritizing of all budgetary decisions is *not* the responsibility of the President. Decisions on prioritizing, spending and cutting budgets are made by many members of the administration, staff and faculty members who have the defined budgetary authority, including Vice Presidents, Deans,

Department Chairs and Directors of the various arms of our academic and research enterprises. I am indeed responsible for the budget of my own office, but not that of the Vice Presidents and other direct reports. I give each of those individuals that responsibility and will re-emphasize this point several times throughout this response.

Again, I would be happy to try and improve the levels of communication about the budget, but communication problems go both ways. If I do not know there is an issue, then it is difficult to pre-empt it by communicating to the campus. I am not always aware of the detailed priorities and budgetary decisions made, for example, by a Dean or Center Director. Even if I am aware, there is no particular reason why those decisions should be communicated (by me or anyone else) campus wide, so long as they are known by those whom they affect directly.

The Budget Construction

Prior to presentation to the Board of Trustees, the budget is constructed by VP Pinner in consultation with me, the Provost and the other Vice Presidents, each of whom brings input collected from and discussed with their direct reports in preparation for presentation to the Board of Trustees. I understand that the Faculty Senate has a Finance Committee and I understand that VP Pinner has, in the past, addressed the members of this committee. We would welcome relevant input from this committee to the budget-construction process and I encourage all faculty and their representatives to become more involved through their Chairs, Deans and Center Directors.

Budgetary Responsibilities.

The way that responsibility for the university budget is distributed across campus has changed significantly since I came to UAHuntsville. It is clear from the Executive Committee memo that this change is not understood and the responsibility for that misunderstanding is mine. I am sorry for not making my budgetary philosophy clearer. I hope to rectify this and I will reiterate that philosophy now.

Many of you have heard me say, “The bank of the President is closed.” This means that methods of addressing budget needs and shortfalls by coming to the President (or the Provost) and asking for money is not the way we operate.

As already stated, the responsibility for managing the different parts of the budget belongs to the Vice Presidents, Deans, Chairs, Directors, etc. These leaders now know their *total* budgets in advance for the whole financial year, and everyone else can see their budgets on the web page to which I referred above.

At the end of the fiscal year, if money is left in any part of the budget, it is kept in that part of the budget *and added to that unit's budget for the following year*. Conversely, if some part of the budget is in the red, it is the responsibility of the particular budget director to find the extra funds. I subscribe to this distributed responsibility because I believe that neither I, nor VP Pinner, know best how to spend the money allocated to the various areas of the University. I believe that those with budgetary authority know best how to prioritize and spend the money allocated in their areas of responsibility.

It is neither my prerogative, nor the prerogative of any other person on campus, to “second guess” the spending of budgeted funds in another area for which they themselves are not responsible. For example, any individual faculty member may see money being spent by Facilities, by Student Affairs, by a Center Director, etc., and may feel that that the money would be better spent in the Colleges. However, that money was not allocated to Academic Affairs during the budget construction and will not be transferred there - no matter how strongly that particular individual feels.

I encourage you to work through your Senate representatives, your Chairs, Deans and the Provost and get more involved in the initial phases of construction of next year's budget.

Shared Sacrifice

In the Executive Committee memo, concern is expressed that the administration is not sharing the pain of budgetary cuts that have been suffered by the faculty.

“Our concern, however, is that we do not see “shared sacrifice” across the university. In particular, we are concerned that budgetary priorities are not focused on the core elements of the university’s mission.”

I know well that such feelings exist. But because shared sacrifice is not seen, does not mean it is not there. To help everyone see the shared sacrifice is one reason why the budget is on the web. It is also a reason why both VP Pinner and I are ready and willing to respond to individual or collective concerns about the budget at any time. This is also why we have sent out several memos over the past year and given detailed budget presentations at Town Hall meetings and meetings of the Expanded Executive Council, attended by all Deans, representative Faculty Chairs, the Faculty and Staff Senate Presidents and many others.

However, while the perception that an unfair share of the sacrifice is being borne “in the core elements of the university,” this is not reflected either in the budget cuts or the investments in new personnel.

The Office of Human Resources has conducted a detailed analysis of the many cuts, replacements, title changes and new positions that have occurred among the staff in primary areas of the university since July 2007. In some cases, these changes reflect changes in priorities. I stress again that any decision to change priorities, e.g. to replace a technician with a staff assistant in a particular unit, college, etc. is a decision made within that unit, college, etc. I personally have made specific decisions and prioritized budget cuts, but only in my office and in conjunction with the VPs and the Athletics Director who all report directly to me.

This summary data from HR shows that there are now more staff positions in Academic Affairs than were present in July 2007 when I arrived. More cuts have been taken outside of academic affairs than within. Through these truly challenging years, we have added 13 more staff positions across the university than we had before the economic collapse.

Certain details, if stated in such a public document as this, would reflect on individual personnel, and so cannot be communicated. Nevertheless, if any of you have any questions on the details of these data, please address them to the AVP of Human Resources, Laurel Long, at longl@uah.edu.

Furthermore, we have not just invested in new staff, but we also have added new faculty positions.

The Provost and others worked very hard to preserve faculty positions despite facing a 22% state appropriation cut from FY 2008 – FY 2010. During the same two year period, the number of full-time faculty actually increased, with new hiring in all five colleges.

The state-funded portion of academic colleges' budgets also increased from \$37.9 million in FY 2008-09 to \$39.7 million in FY 2009-10. The increase of \$1.8 million or 4.7% represents additional operating expenses generated from lab fee revenues, decentralizing previously budgeted expenditures such as part-time lecturers, and funding for new faculty. The base budget for each college in FY 2009-10 is higher than it was in the previous year.

Part of the reason for this increase in faculty and staff in Academic Affairs is that Provost Radonovich invested an extra \$160,000 in the College of Liberal Arts for FY 08-09 and Provost Karbhari made a similar additional investment. In addition, the reconstructed Academic Affairs budget model developed by Provost Karbhari and Dr. Bill Killingsworth resulted in more funding for several colleges. It should also be noted that each College chose to use one-time stimulus funds to reduce its budget cut for FY 09-10 to 3.5%. The rest of the University chose not to do this and is carrying forward total cuts of over 8% (09-10 pro-rationing not included).

So, we have protected the academic heart of the University from the worst of the budget cuts inflicted by the state. We have cut significantly more outside Academic Affairs than we have cut inside, and we have invested more in Academic Affairs personnel than in non-Academic Affairs personnel.

I believe that the preservation of faculty positions at our University when many across the country are not hiring, or even worse, are cutting faculty positions, reflects our firm commitment to protecting the core teaching and scholarly roles of the university.

I also state unequivocally that this philosophy will continue to dominate as we face yet another year of financial challenges, with perhaps several more years to come. The pain is indeed shared, but it is shared more by those *supporting* Academic Affairs than by Academic Affairs, as indeed it should be.

VP Pinner and I remain willing to answer any specific questions that anyone on campus has relating to the budgetary process, the budgetary responsibilities and budgetary cuts at future Faculty Senate meetings. We will continue to communicate with the campus as a whole as we progress with shared decision making on budgetary matters.

The budget cuts we have managed so far are proportionately greater than the cuts suffered by the University of California System which endured a 20% reduction in state appropriations last year. In managing that cut, the UC System reduced instructional budgets by \$139M, laid off 1,900 employees, eliminated 3,800 positions and deferred the hiring of nearly 1,600 positions, many of them faculty. Furloughs from 11 to 26 days were instituted amounting to a salary reduction for all employees ranging from 4% to 10%. In contrast, we continue to hire great faculty, staff and, yes, even administrators. And we keep everyone on campus employed every day.

I welcome the Executive Committee's statement in the memo that "*The faculty senate wants to work with the administration to achieve UAHuntsville's mission and goals.*" In turn, I commit the administration to continued conversations with the Executive Committee and the Faculty Senate to achieve our mission and goals.

It is now time to address the specific points raised in the memo. I will repeat each question in case individuals who read this do not have the original memo in hand.

Answers to specific questions:

1. As faculty, our role is to provide excellence in instruction, scholarly and creative pursuits, and service. Further, we believe that faculty should set the tone and direction for academic and research endeavors at the university. We believe that, as president, you are in the position to facilitate faculty success and, thus enable the university to achieve the Powers of Ten goals. We believe shared governance requires that faculty and the administration work together in setting priorities and policies that support the university's goals and mission.

If you disagree with any part of this philosophy, please explain why.

I agree almost completely with this statement with the caveat that the second sentence is not quite consistent with the statement in the faculty handbook that states, “*The content and conduct of research is primarily the responsibility of the faculty and research staff*”. If that sentence is substituted appropriately into question #1, I agree completely.

2. *It is our understanding that a new research center has been established at UAHuntsville.*
 - a. *What is the source of funding for this Center? Is this funding coming from UAHuntsville state appropriations or some other outside source? What is this new center’s operating budget? What are the salary amounts and operating costs?*
 - b. *What is the justification for the establishment of this new center given cuts elsewhere in the university?*
 - c. *What steps were taken to review and establish this new center?*

New research centers are established periodically at the university following the procedures laid down by the Board of Trustees. The sources of funding for the new Center for System Studies are private donations from individuals and corporations. Many people in our community and across the State are excited by Professor Griffin’s vision for that Center, which he presented to the Board of Trustees. Dr. Griffin spoke across the campus and to the Research Council on August 17 at length, about his ideas, research directions, and the emergence of this Research Center. Information about the Center was sent to the campus via email on September 29. That announcement is on the President’s page on the UAHuntsville website. The presentation that Professor Griffin made to the Board of Trustees may be found at:

<http://www.uah.edu/BOT909SystemStudies.pdf>

This coming year, part of the recent State appropriation for robotics will be allocated to the Center and the rest to the College of Engineering in agreement with discussions held recently with Governor Riley and senior members of the North Alabama delegation.

3. *It is our understanding that a new position of Director for Space Policy has been created at UAHuntsville.*
 - a. *To whom does this new director report?*
 - b. *What is the source of funds for this new position?*
 - c. *The advertised salary for this position was \$175,000-\$200,000. What is the justification for this salary which is three times the average UAHuntsville faculty salary?*
 - d. *We have information that the job advertisement was posted on August 19, 2009 and closed the following Monday. How can a thorough search for qualified candidates occur in such a short window of time?*

At first glance, this hire presents an obvious ethical problem. Please address this.

As noted in my recent email to the campus community, the Center for System Studies’ Director for Space Policy reports to the Center Director, Professor Griffin. As with any appointment in any unit of the university, personnel decisions are the budgetary and HR responsibility of the leader of that unit. I cannot comment on personnel decisions in a public document. I understand, however, that Professor Griffin would be more than happy to address the Faculty Senate, the Faculty Senate Executive Committee or any Department or group of faculty who wish to learn more about his Center. At the Research Council meeting on August 17 many faculty and all College Deans except one heard Professor Griffin’s ideas. I encourage you to contact him directly at michael.griffin@uah.edu.

4. *Issues have been raised regarding fiscal management and expenditure priorities. Given the assumption of shared sacrifice, we request clarification and justification of the following:*
- a. *We understand that the Faculty lounge of the Shelby Center, arguably a brand new building, has recently been refurbished/redecorated at a cost of over \$100,000. What is the justification for this expenditure, especially when other classrooms in university buildings lack sufficient A/V equipment, chalk, markers, and erasers?*
 - b. *We understand that several hundred thousand dollars were spent on the campus master plan activity. How much was actually spent? Was it possible to delay this activity given the financial constraints at this time?*
 - c. *The faculty are happy with the direction you have taken with convocation. However, we are concerned about the expenses associated with it. What funds were used for the 2008 and the 2009 convocations? Did this money come strictly from the foundation or were state appropriations used?*

Shelby Center 301 has rapidly become the most popular meeting room on campus. While originally designed simply as a faculty lounge, it soon became the case that many A/V presentations were being made in the room that required bringing up a portable projector and screen. In conjunction with CNS and Facilities, A/V improvements were made so that anyone can use the room with the best view on campus to impress guests while conducting business and making presentations. In accordance with the lengthy introduction to this memo, those funds were allocated from within the Facilities budget. Money from the Academic Affairs' budget was not spent on this room, although many faculty are users of the facility.

A campus master plan is required on a five year cycle by the Board of Trustees for all three Universities within the UA System. The budget for this plan was allocated to Facilities and is incorporated as a matter of course as the time comes to revise/upgrade that plan, in order to satisfy Trustee requirements. No money from Academic Affairs is being spent on the master plan.

I agree with the statement that freshman convocation is a great way to start the year. It makes our new students feel welcome and part of the campus community and is an attempt to enhance retention and to grow campus spirit and identity. No money from the colleges' portion of the Academic Affairs' budget was spent on either convocation, which in the first year cost approximately \$50/ freshman when we featured professional entertainment (budgeted in 2008 before the first major budget cuts and pro-rationing were imposed). The most recent convocation was budgeted in these more austere times and cost less than \$20/student. In the future the convocation will be supported by student fees.

5. *It's critical that faculty have the primary role in establishing the criteria and qualifications for the selection of new academic faculty and administrators. We are concerned that the Business Administration faculty's standards and qualifications for their dean candidates were dismissed by the search committee chair. For example, we have been told that neither academic experience nor a terminal degree is required for this position. Why are faculty standards being ignored in this search?*

I agree completely that faculty members have the primary role in establishing the criteria and qualifications for new academic faculty. That is why we follow the time-honored tradition of having search committees that are largely made up of faculty members, when searching for academic positions. In the case of the search for the Dean of the College of Business Administration, the committee has 11 members, all faculty, including two eminent scholars. Of the 11 members, seven are from the College of Business Administration itself.

Provost Karbhari is the administrator who is ultimately responsible for both forming that committee and deciding who will be the next Dean. Dr. Karbhari confirms that there was intense debate and

disagreements within the committee during the initial stages of the search process. This is not unusual in any search committee as various groups attempt to influence their colleagues to share their opinions - and this, of course, is why we have committees for all searches.

I understand from Provost Karbhari that the search committee developed a consensus on the job description. The formal announcement of the position was approved by *every* member of the search committee. The relevant wording is:

"We seek a dean with a distinguished record of scholarship that demonstrates a commitment to academic research, teaching, and service, and we are open to candidates who also have experience in business, government, or research foundations and have kept abreast of academia. For a dean to be concurrently appointed as a professor with tenure, his or her academic record will be commensurate with the standards of the college."

I do not see how this wording can be interpreted as dismissing faculty standards or that qualifications were dismissed. This document can be found on the web at:

<http://www.uah.edu/deansearch/businessprofile.htm>

6. *At a recent address to the faculty senate, you advised us that Dr. Killingsworth has generated various reports regarding certain support offices whose efficiency is a major concern of the faculty.*

- a. *What are the results of these reports? We request that these reports be delivered to us for review.*
- b. *What actions will be taken to address issues raised in the reports?*

Dr. Killingsworth was appointed Associate Vice President for Business Transformation Processes, reporting in this role to VP Pinner for a period of one year, after which the appointment will be reviewed. He completed an extensive study on classroom utilization (the summary report was made available to the senate last year) which also provides an analysis of future usage and capacity.

Dr. Killingsworth also completed a very extensive study of expenditures in each of the Colleges. This study is the basis for the new model that has been used to set budgets for Colleges for the FY 09-10. The results were made available in May 2009 to all faculty through their Deans in the form of detailed College budgets.

Dr Killingsworth and his team, partnering with VP Pinner and his staff, are continuing to apply their combined expertise in supply-chain management and lean/six-sigma business processes to enhance operations across several areas of campus. Dr. Killingsworth is currently assisting the Purchasing Department in studying processes and operations with a view to increasing efficiencies and identifying areas where changes in procedures are needed. Specifically, he has worked with Purchasing to streamline the process for small requisitions and to reducing the average processing time by approximately 50% for requisitions of \$500 and under. He is working with ITSolutions to assess processes and procedures being used in that department with similar aims. He is also working with the Dean of Graduate Studies to assess processes and the budget in Graduate Studies.

These latter exercises are ongoing and formal reports will not be ready for some considerable time. Nevertheless, Dr. Killingsworth would be more than happy to address the Faculty Senate, the Faculty Senate Executive Committee or any Department or group of faculty who wish to learn more about his business-process transformations. If there are other areas of campus operations that the Faculty Senate or the Executive Committee would wish Dr. Killingsworth to study, then I encourage you to contact him directly at: killingsw@email.uah.edu.

7. *Regarding the Powers of Ten goals:*

- a. *The goals of increased student enrollment, Ph.D. graduates, and degree programs require significant faculty effort. What is your plan to enable the academic units to achieve these goals? What resources are necessary to reach these goals and from where will these resources come?*
- b. *Webpages dedicated to the Powers of Ten indicate that committees have been formed. Some faculty have participated on these committees. What is the status on the committees' activities? Faculty senate would appreciate the opportunity to review any reports or strategic plans generated by these committees. When will these be available?*

The plan to enable academic and research units to achieve the Power of Ten goals is to fund the growth in Academic Affairs through growth in enrollment and retention, thus generating greater tuition revenues. The growth in PhDs will be funded through growth in external research funds.

Responsibilities for increased enrollment rests with AVP Rick Barth and his team. Retention is the purview of everyone in academic affairs and indeed any member of the university who interacts with students. External research funds are the responsibility of VP Horack, all our research staff and all faculty members whose fields of expertise are amenable to writing proposals for external funding.

As noted in the memo, the progress towards these goals is driven by various committees and is documented on the web. Further progress is awaiting the strategic plans for growth being developed by the Deans and Chairs of all the Colleges, which will be ready for the visiting review committee by the beginning of November. These plans will influence the strategic plans of many other areas. The effect of pro-rationing on our growth plans is obviously significant, but I remain convinced that we must continue to strive for all these Power of Ten goals which emphasize increased revenue streams from sources other than State appropriations. When we achieve these goals, we will have built a stronger university, better positioned to grow even further when the good economic times return.

8. *The apparent addition of a significant number of upper level executive positions in the last two years seems unjustifiable given the budget cuts.*

- a. *Please provide a list of all the executive, associate and assistant vice-presidents their full title/department.*
- b. *Please comment on how these positions have led to a more successful university.*
- c. *Given that highly qualified people have filled these positions, why are outside consultants being hired to consider issues like realignment, recruitment, and retention?*
- d. *It is our understanding that a new VP position has been created, whose duties include ceremonies and special events? How is this justified?*

Only one new full-time, upper-level executive position has been created in the last two years, and that was the movement of former Provost Radonovich to be my Chief of Staff. I considered this move essential to maintain a strong "corporate" memory for myself and for other new members of the upper administration. Dr. Radonovich will be taking a well-deserved leave of absence in the new year and will retire from the administration in summer 2010, having completed ten years of invaluable service to the Faculty, Deans and two Presidents. He will not be replaced. Dr. Radonovich is currently supported by the administrative staff within my office.

One other significant change in responsibilities was the re-assignment of the VP for Student Affairs, Delois Smith, who is now responsible for Diversity across campus and for Student Support Services including Counseling Services and the Student Health Center. Many of VP Smith's former responsibilities have been assumed by Scott Walter, Dean of Students (as planned in his original appointment). VP Smith is supported by the administrative staff within my office, thus saving one staff

position that was eliminated from Student Affairs. Lastly, Ray Garner was appointed to fill Gary Smith's position as Director of Government Relations, in which role he reports to the UA System Office. Ray continues in his role as spokesperson for external relations with the Office of University Advancement. Ray is mainly supported by the staff within my office, as is Athletics Director, Jim Harris who reports directly to me, as mandated by the NCAA.

The organizational charts for all administrative arms of the university are on the web at the following sites:

Office of the President: <http://www.uah.edu/president/presoffice.ppt>

Academic Affairs: <http://www.uah.edu/provost/Academic%20Affairs%20Organizational%20Chart.pdf>

VP Finance: <http://www.uah.edu/president/VPOrgCharts/VPFinance.ppt>

VP Diversity: <http://www.uah.edu/president/VPOrgCharts/VPDiversity.ppt>

VP Advancement: <http://www.uah.edu/president/VPOrgCharts/VPAdvancement.ppt>

VP Research: <http://www.uah.edu/president/VPOrgCharts/VPResearch.ppt>

External consultants are routinely used throughout academia to provide objective assessments on critical issues. It is my opinion and that of VP Pinner that UAHuntsville employs consultants less extensively than do most universities. We have employed Huron Consulting Group on several projects in which outside expertise was extremely valuable. In all cases, a tangible benefit was added to complement University expertise, the most visible of which is the successful negotiation of substantial increases in the Facilities and Administrative cost rate over the past 12 years.

We are fortunate to benefit from the external expertise of many wise and experienced academicians as they will be reviewing strategic plans and initiatives developed by the Colleges. As previously communicated, the external review committee will be on campus November 2. We anticipate that the report generated by this group will add perspective and value to the plans that are generated internally.

No new VP position has been created and no new VP positions are being contemplated. The special-events position referred to in the question refers to a re-assignment of Associate VP April Harris from her former primary responsibilities in the alumni office to take on more responsibilities for special events. There has been no increase in salary. In agreement with the philosophy laid out at the start of this memo, the President and the Vice Presidents have budget authority within their respective arms of the University and also retain the responsibility to assign or re-assign their direct reports to take on new or different responsibilities. This is a standard Human Resources practice at any institution and has been done for many other direct reports, in addition to AVP Harris, who is eminently well qualified to oversee major university events and whose expertise is often sought by other universities.

9. Faculty are concerned about the change in the housing policy requiring all freshman and sophomores to live on campus regardless of their residency status. We understand that an appeal is required to escape this requirement.

- a. Did the administration consider the effects of this policy on recruitment and enrollment?*
- b. Did the administration seek input from faculty and students regarding this policy?*

The University has been moving to a more residential campus for many years, while retaining a strong commitment to non-traditional students. The initial on-campus proposal to start the required freshman housing policy was developed by AVP Maxon and submitted to VP Pinner in Spring 2001.

The short answer to both of these questions is "yes." AVP John Maxon is responsible for campus housing and for all decisions within that arena. He has almost two decades of experience in this area, works closely with Dean Walter, Provost Karbhari and VP Pinner in the academic, financial and

student-life aspects of housing. He has researched a wealth of information from studies across the nation and across campus on the role of on-campus housing on retention, GPA etc. Some general data over the last five years show that on-campus students have a GPA varying from 0.02 to 0.13 greater than off-campus students. Retention likewise improves between 6% and 17%. Most importantly, for those students whom we are in danger of losing for academic reasons, on-campus housing is invaluable:

- In Fall 2008, 183 students who had 30 credit hours or less in the Fall of 2008 had a 1.6 GPA or below; of those, 53 lived in campus housing, 130 lived off campus.
- In Fall 2008, 243 students who had 30 credit hours or less in the Fall of 2008 had a 1.9 GPA or below; of those, 84 lived on campus and 159 lived off campus.

AVP Maxon is more than willing to share this and more data with anyone who asks. I encourage you to contact him directly at maxonj@uah.edu.

Summary

I trust that it is now clearer that I, as President, lead the University; but UAHuntsville is *run* by many highly competent and well-qualified individuals in positions of administrative responsibility and budgetary authority. This is consistent with my philosophy of leadership: hire the best, and let them help to do the rest.

The consequence of this philosophy is that budgetary decisions, prioritization of spending and of making cuts are the responsibility of those many administrators, faculty and staff across the whole campus. No individual is either charged with, or responsible for, making *all* such decisions. I urge the faculty to work with their Chairs and Deans to understand the budgets within their own Departments and Colleges and get involved in those decisions within their own areas of influence and responsibility.

I hope also that the data reassure faculty members that Academic Affairs, which indeed is primarily responsible for the core mission of the university, has not only been spared the bulk of the budget cuts, but has received substantial investment in new faculty and staff. The rest of the University is taking a greater share of the cuts in order to protect the high quality education that we give to our students.

I thank you for reading this long document. I look forward to ongoing dialog and, more importantly, to the continued growth of UAHuntsville as the intellectual center of Huntsville and far beyond.





To: Dr. David Williams, UAHuntsville President

From: UAHuntsville Faculty Senate Executive Committee

RE: Concerns and Questions about Policies and Procedures

This is a time of challenges. All aspects of UAHuntsville have been affected, particularly its core functions of high-quality education and academic research. While the most recent challenges are due, in part, to the downturn in the state and national economies, we are concerned that they are being exacerbated by strategic decisions made within the university administration.

These challenging times require sacrifice. Our concern, however, is that we do not see “shared sacrifice” across the university. In particular, we are concerned that budgetary priorities are not focused on the core elements of the university’s mission. Nor do we feel that the faculty has been consulted in setting these priorities as might be expected as a part of shared governance. These impressions are driven by a lack of open and honest communication and are counterproductive to developing a thriving academic environment. Let us be clear: we understand that you and your executive administrators must be empowered to make strategic decisions related to university operations. However, we strongly believe that faculty must have a significant role in any decisions related to academics and/or scholarly research activities, including relevant hiring decisions.

We hereby respectfully request a written response to the questions that follow. We request that the written response be delivered to the Faculty Senate President, Dr. Letha Etzkorn, by October 6, 2009. Your written response will be forwarded in its entirety to the Faculty Senate and will be posted on the Faculty Senate webpage.

We feel strongly that the following questions are representative of symptoms of a serious systemic problem at UAHuntsville. You have told us, time and time again, that you cannot succeed without the support of the faculty. Yet, the faculty continue to feel marginalized. We have experienced severe budget cuts, while the number of administrators grows and research centers and personnel become priorities. The administration must respond to our concerns by implementing a new communication strategy that both informs faculty of priorities and decisions and seeks significant faculty input regarding these priorities and decisions. We might not always agree with your vision. However, the faculty is much more likely to support you if you a) clarify your goals, b) explain how you intend to reach those goals, c) seek faculty input on the methods to reach those goals, and d) seriously consider that input in implementing decisions. Please help us forge a new cooperative and productive partnership between the administration and the faculty. The faculty senate wants to work with the administration to achieve UAHuntsville’s mission and goals.

Questions

1. As faculty, our role is to provide excellence in instruction, scholarly and creative pursuits, and service. Further, we believe that faculty should set the tone and direction for academic and research endeavors at the university. We believe that, as president, you are in the position to facilitate faculty success and, thus enable the university to achieve the Powers of Ten goals. We believe shared governance requires that faculty and the administration work together in setting priorities and policies that support the university’s goals and mission.

If you disagree with any part of this philosophy, please explain why.

2. It is our understanding that a new research center has been established at UAHuntsville.

- d. What is the source of funding for this Center? Is this funding coming from UAHuntsville state appropriations or some other outside source? What is this new center’s operating budget? What are the salary amounts and operating costs?
- e. What is the justification for the establishment of this new center given cuts elsewhere in the university?

- f. What steps were taken to review and establish this new center?
3. It is our understanding that a new position of Director for Space Policy has been created at UAHuntsville.
 - e. To whom does this new director report?
 - f. What is the source of funds for this new position?
 - g. The advertised salary for this position was \$175,000-\$200,000. What is the justification for this salary which is three times the average UAHuntsville faculty salary?
 - h. We have information that the job advertisement was posted on August 19, 2009 and closed the following Monday. How can a thorough search for qualified candidates occur in such a short window of time?
 - i. At first glance, this hire presents an obvious ethical problem. Please address this.
 4. Issues have been raised regarding fiscal management and expenditure priorities. Given the assumption of shared sacrifice, we request clarification and justification of the following:
 - d. We understand that the Faculty lounge of the Shelby Center, arguably a brand new building, has recently been refurbished/redecorated at a cost of over \$100,000. What is the justification for this expenditure, especially when other classrooms in university buildings lack sufficient A/V equipment, chalk, markers, and erasers?
 - e. We understand that several hundred thousand dollars were spent on the campus master plan activity. How much was actually spent? Was it possible to delay this activity given the financial constraints at this time?
 - f. The faculty are happy with the direction you have taken with convocation. However, we are concerned about the expenses associated with it. What funds were used for the 2008 and the 2009 convocations? Did this money come strictly from the foundation or were state appropriations used?
 5. It's critical that faculty have the primary role in establishing the criteria and qualifications for the selection of new academic faculty and administrators. We are concerned that the Business Administration faculty's standards and qualifications for their dean candidates were dismissed by the search committee chair. For example, we have been told that neither academic experience nor a terminal degree is required for this position. Why are faculty standards being ignored in this search?
 6. At a recent address to the faculty senate, you advised us that Dr. Killingsworth has generated various reports regarding certain support offices whose efficiency is a major concern of the faculty.
 - a. What are the results of these reports? We request that these reports be delivered to us for review.
 - b. What actions will be taken to address issues raised in the reports?
 7. Regarding the Powers of Ten goals:
 - c. The goals of increased student enrollment, Ph.D. graduates, and degree programs require significant faculty effort. What is your plan to enable the academic units to achieve these goals? What resources are necessary to reach these goals and from where will these resources come?
 - d. Webpages dedicated to the Powers of Ten indicate that committees have been formed. Some faculty have participated on these committees. What is the status on the committees' activities? Faculty senate would appreciate the opportunity to review any reports or strategic plans generated by these committees. When will these be available?
 8. The apparent addition of a significant number of upper level executive positions in the last two years seems unjustifiable given the budget cuts.
 - e. Please provide a list of all the executive, associate and assistant vice-presidents their full title/department.
 - f. Please comment on how these positions have led to a more successful university.
 - g. Given that highly qualified people have filled these positions, why are outside consultants being hired to consider issues like realignment, recruitment, and retention?
 - h. It is our understanding that a new VP position has been created, whose duties include ceremonies and special events? How is this justified?
 9. Faculty are concerned about the change in the housing policy requiring all freshman and sophomores to live on campus regardless of their residency status. We understand that an appeal is required to escape this requirement.
 - a. Did the administration consider the effects of this policy on recruitment and enrollment?
 - b. Did the administration seek input from faculty and students regarding this policy?