

# **FACULTY SENATE**

**MEETING #554 AGENDA**

**THURSDAY, January 8, 2015**

**12:45 PM to 2:15 PM**

**BUSINESS ADMINISTRATION BUILDING, ROOM 114**

## **Call to Order**

- 1. Approve Faculty Senate Meeting #553 Minutes from November 20, 2014**
- 2. Acceptance of the November 13, 2014 FSEC Report and December 18, 2014 FSEC Report**
- 3. Administration Reports**
- 4. Committee Reports**
- 5. Smoking Policy**
- 6. Policy on Policies**
- 7. Any additional business**

## **Adjourn**

Proxies for Senate meetings must be a Senate-eligible individual from the same academic unit. No individual may carry more than one proxy.

PLEASE SEND PROXIES TO KALA BURSON: [facsen@uah.edu](mailto:facsen@uah.edu)

**FACULTY SENATE MEETING #553**

**November 20, 2014**

**12:45 P.M. in BAB 114**

**Present:** *Wai Mok, Charles Hickman, Jack Schnell, Tim Landry, Xiaotong Li, Jill Johnson, Joe Conway, Joe Taylor, Linda Maier, John Kvach, Carolyn Sanders, Deborah Heikes, Eric Seemann, Anne Marie Choup, Kyle Knight, R. Michael Banish, Richard Fork, Kader Frendi, Babak Shotorban, Ellise Adams, Azita Amiri, Marlena Primeau, Monica Beck, Luciano Matzkin, Debra Moriarity, Letha Etzkorn, Mark Pekker, Lingze Duan, Seyed Sadeghi*

**Absent with proxy:** *Eric Fong, Nick Jones, Junpeng Guo, James Swain, Ken Zuo, Kristen Herrin, Cheryl Emich, Lenora Smith, Peter Slater*

**Absent without proxy:** *Derrick Smith, Ying-Cheng Lin, B. Earl Wells, Mark Lin, Larry Carey, Udaysankar Nair, Carmen Scholz, Jeff Weimer, Nikolai Pogorelov*

**Guests:** *Provost Christine Curtis*

- Faculty Senate President Wai Mok called the meeting to order at 12:48 pm.
- Kader Frendi **motions** to suspend the rules. Michael Banish seconds.
- Administration Reports
- ❖ President Altenkirch is on a recruiting trip.

❖ Provost Curtis

**Recruiting**

We've been to Louisville, Knoxville, Jackson, MS and the north shore of Louisiana, as well as Baton Rouge. Also been to Houston. Our admissions counselors are working hard with guidance counselors. Every guidance counselor in the state has been invited to a counselor event. They then meet with them in the schools, and then they meet with the students. Doing the same thing in other states. We are finding that students who come are interested in our university, particularly our size, programs that we offer, and our environment. The numbers aren't great but we hope they will grow next year when we go back.

We are hitting cities that students can get here by interstate. We are looking for a particular type of student. I showed this information to the Leadership workshop back in August. It includes the set that the committee came up with as well as Suzanne's set. We've looked at 50 institutions and the data doesn't vary much. The data selected by the faculty committee is representative. The Educational Advisory Board is part of the Student Success Collaborative. We are working with advisors and the leadership group. We are getting all the data that we have for the last 10 years into the system. The next leadership workshop will be in January. I will share that information with you, too.

What do we need to focus on? What is the message? We are reading "Completing College: Rethinking Institutional Actions" by Vincent Tinto in the Deans Council. Dean Wilkerson is

leading the discussion. The main thesis is that the one place we touch all of these students [first-time full-time freshmen, transfer students, and part-time students (the 3 main types of students)] and truly impact academic success is in the classroom. Many of us have done things peripheral to classroom to help students succeed, and we need to continue doing those things, but we need to focus on the classroom. That's where we provide academic support. Raise our expectations—have high expectations. Give them frequent feedback and assess what they do. Get them involved. Engage them with their classmates and with their instructor.

### **“Expanding Horizons: Focus on Student Success”**

The strategic plan states that we need to grow our student population to 10,000 by 2020.

Number of reasons to do so:

1. Ensure all disciplines have a competitive number of students.
2. Make campus very vital and rich with bright students.
3. It's fiscal.

The competition is unbelievable. Alabama this year had over 6,500 freshmen—so they're up by several hundred. South Carolina had 5,000 freshmen in 2013, and 6,700 this year. We can't raise tuition in this economy, so what do we do? We get more students.

High school diplomas are flat, no matter what state you're in. Associate's Degree awarded by state is flat, except it's rising in Florida.

The big challenge is to keep the students we get. Admissions counselors are very enthusiastic and adequate. They paint a realistic picture in a very positive light.

### *Undergraduate Profile*

57% male, 43% female. That's different than the national trends.

21% live on campus.

Average high school GPA for freshmen is 3.94.

### *Aspirants*

The committee came up with near-term peer aspirants and long-term peer aspirants.

Near Term Peer Aspirants:

Clemson, University of Massachusetts, Colorado State University, University of New Mexico, University of Tennessee, University of California Santa Barbara.

Long Term Peer Aspirants:

Georgia Tech, University of Maryland, Texas A&M, Virginia Tech, NC State, Purdue, University of Utah

### *Strategies for Increasing Undergraduate Enrollment*

- Block Tuition will happen in 2016. It's getting there now.
- Scholarship matrix, which is so good for the good student, and parents are looking for this.
- We increased Nursing capacity
- We made the Honors College an actual college
- We have a number of new programs over the last several years
  - Aerospace has a major. There are students who come here using the academic common market where they pay in-state tuition because their state doesn't have Aerospace.
  - We are building the College of Education.
  - The proposal for the Theater major was passed by the Board this last time.

- We are taking some additional Bachelors degrees to the Board—Early Childhood and Early Childhood Special Education—to go with our UAH RISE School.
- A Writing degree is in the process of being proposed.
- Vice President of Student Affairs has experience in enrollment management and she will be here December 1.

#### *Strategies for Graduate Enrollment*

- We had an increase in enrollment this year, so it has been successful.
- New programs
  - Business (Fall 2015)
  - Education, Masters
  - Space Science, Masters and Ph.D.
- Proposed Program for Masters in Teaching for Education
- David Berkowitz has been on the road most of this Fall, in-state and out of state.

#### *ACT and SAT scores*

We are primarily ACT. How do we stack up? There are institutions lower than us. We are on the higher end. We are competitive with our near-term aspirants.

We have your college scores. They vary by college. They're good. They are the scores for first-time full-time freshmen. We are working on a study for transfer students, and we will talk about that in the spring.

#### *Student-Faculty Ratio*

We are at 16. We are competitive with our peer institutions.

#### **Retention**

We went down from last year. All but one of our peers is above us.

*U.S. News and World Report* says we should be retaining more. This is Year-1 to Year-2.

#### *Current strategies for retention*

Students who participate typically get a letter grade higher in their course. We need to figure out a way to change this in classrooms and to encourage more participation. There is a stronger student life now than there was a few years ago. Now we have a Vice President of Student Affairs. FYE will be in the colleges as of 2015. There will still be a core curriculum throughout. The rest of it can be more focused around skills and fundamentals needed in the college. We also have to consider that students jump colleges. So there does need to be some broadness.

- Jill Johnson: Where will students who are undecided be?
- Provost Curtis: We will find a place for them. We are thinking about having certain sections for them.

#### **Graduation Rates**

We went down from 48% in 2013 to 46% in 2014. *U.S. News and World Report* says we should be at 63%. I have seen the national average at 57 or 58%.

I recommend that everyone read Tinto. Tinto says that if we bring students in, we have a moral obligation to help them succeed. We need to give students feedback. They haven't built a mechanism for self-assessment. Maybe that's something we need to be teaching them in FYE.

Out of contacts and open houses and orientations, we get 8 applicants, out of which we get 6 admits, then 2 new freshmen, but only 1 graduate. If we don't keep those that we have, we will never make it to the 10,000 we need.

The QEP Committee is contemplating student retention and student success as our QEP. Keep their expectations high and support them through academic support. Provide frequent assessment and feedback and get the students involved. This is our responsibility. We need to work on this together. Everyone's ideas are valuable. This doesn't just take one person or a small group.

- Joe Conway: Have there been any thoughts about why the male to female ratio is so skewed? Female enrollment is generally higher.
- Provost Curtis: The other thing is females tend to be more successful as students. I'm guessing it's because of our Engineering, whose enrollment tends to be male, which is also true of the Sciences. Nationwide, Liberal Arts tends to be dropping and that's where enrollment is female. We are building Education and Nursing, which is dominantly female, so that might help. By and large the majority are saying it's Engineering—not Biology or Chemistry.
- Kader Frendi: For the graduation rates, our location is part of the equation because our students work. They claim to be full-time but they work 30 hours. When a student in my class fails, I bring them in and ask why and they say because they're working 60-hour weeks. How do you make them succeed with that?
- Provost Curtis: That's what we need to figure out. We need to find out how to reach them.
- Letha Etzkorn: Most of our senior students were accidentally given an alumni survey and we found out that over 70% of them were over half-time employees.
- Provost Curtis: That's something, particularly in the fields where there is employment available, that we have to figure out. It's separate from what the Student Success Collaborative is going to look at. There are key things we will have to work on.
- Kader Frendi: But the problem is that it is affecting our graduation rate.
- Provost Curtis: If they're first-time, full-time freshmen then it will.
- Charles Hickman: Do you have ACT and SAT scores broken down by discipline?
- Provost Curtis: No, but I'm sure I can get it.
- Carolyn Sanders: How much influence does our Board of Trustees have? I've heard for years that Alabama is the Liberal Arts school, UAB is the medical school, and we are the Engineering school. So how much sway do they hold over that?
- Provost Curtis: I have submitted about 4 to 5 Education proposals and 2 Science proposals, and now Bryant is backing this Nursing scholarship, so I feel like they are fully supportive. The Chancellor has been; he pushes us too.
- Eric Seemann: In terms of recruiting, do we participate in the academic common market?
- Provost Curtis: Yes.
- Jill Johnson: What is the retention rate on our transfer students?

- Provost Curtis: We don't have that data yet. We are working on it. Almost all of the students at orientation today were transfer students.
- Approval of Faculty Senate Meeting #552 minutes.  
Deborah Heikes **motions** to approve Faculty Senate Meeting 552 minutes. Kader Frendi seconds.  
Ayes carry the motion  
*Motion to approve Faculty Senate Meeting #552 minutes **passes***
- Acceptance of the October 23, 2014 Faculty Senate Executive Committee Report.
- Signage Committee, Deborah Heikes  
Deborah Heikes updated the Senate on the Signage Committee's progress. She showed examples of the inside-building signs. Deb Moriarity asked if they are going to put signs inside of the buildings that will point students in the right direction to get to rooms. Deborah Heikes responded that they will, and that they might even be re-numbering the rooms.
- Climate Survey  
Wai Mok: I'm in the process of finding people to sit on the Ad-Hoc Committee. Currently the committee members are Lenora Smith, Suzanna Simpson, and Mike Banish, as Chair of the Personnel Committee. I contacted several other people who declined or didn't get back to me.
  - Kader Frendi: Do you want representatives from all colleges? That way questions will be distributed.
  - Wai Mok: I'm just worried about getting enough people right now.
- Bill 378  
We are going to have a private discussion with the Provost before we continue with this.
- Additional Business

#### **IRF Committee**

I've had 2 people come forward to sit on this committee. I cannot disclose their names because they are supposed to be anonymous. One will sit on the IRF Committee and one will sit on the New Faculty Research Program. These 2 and the IIDR are the 3 major internal grant programs.

#### **IIDR**

I advise you to write to a layman who wouldn't understand your proposal, but put in some technical details. IIDR hasn't asked me for any names, yet.

I talked with Ray Vaughn and he said as long as he is VPR, we will have one representative from this body sit on the review board.

- Kader Frendi: It would be very useful to give feedback to the people who were turned down. That way they know why they were turned down.
- Wai Mok: I will pass that along to the member on the review committee.

The New Faculty Research was cancelled before by Dean Smith. We wrote a bill and he turned that down, but Ray Vaughn resurrected this.

Deb Moriarity: Please go back and remind your departments that if they have any course changes or department forms that they want to appear in the new catalogue that those need to go in very soon.

- Jill Johnson: Isn't the point of having an electronic catalogue that we can add things as they needed to be added?
- Deb Moriarity: This is a new format and software. But that's a very good question because I was under that impression; however, this is a legal document so we can't change too many things without this.
- Jill Johnson: The new software is better, right?
- Deb Moriarity: I believe so.

Faculty Senate Meeting #553 adjourned  
November 20, 2014, 1:53 P.M.

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**SENATE EXECUTIVE COMMITTEE MEETING**

**November 13, 2014  
12:45 P.M. in SKH 369**

***Present: Wai Mok, Kader Frendi, Mitch Berbrier, Deborah Heikes, Carolyn Sanders, Michael Banish, Debra Moriarity, Azita Amiri, Charles Hickman, Eric Seemann***

***Guests: President Altenkirch***

***Provost Curtis was not present.***

- Wai Mok called the meeting to order at 12:50 pm
- Administration Reports
- ❖ President Altenkirch  
The **Shelby Center** lot will close probably sometime next week. Facilities will send out a notice.

**University Park**

We started talking about this with the city in the summer. We both got appraisals over the summer and came to an agreement on the price. We were working on what needed to be done but then they decided that they wanted it to be done as soon as possible—they didn't want to wait until November or February when the next Board meetings are because they wanted the money in order to shift it to this other park where the athletic teams are moving to. So they tried to slide it into the city council agenda without telling anyone. I had a meeting with the neighborhood association, not to talk about University Park, but to talk about our long-term plans and buying houses, etc. On October 13, I met with the two leaders of the association and we talked about the logistics. I nonchalantly said that we were purchasing this park and got no reaction, so I figured the city had told everyone, but they hadn't. The city slipped it on the October 23 agenda and didn't tell anyone until the day before, so there was a big issue about it in the newspaper. There was a 5-0 vote.

The Board of Trustees approved it and now we are in the process of closing. We had a community meeting on November 10. 170 people were there and we fed them dinner. There weren't any questions, complaints, or issues about the park. They were concerned with where our next buildings were going, signage, and buying buildings in the neighborhood, what events we have on campus. The only thing anyone complained about was the noise from Charger Park during the game because we play music in between periods. So we will have to turn the volume down.

We purchased the park for safety purposes. We will use it as a buffer to keep drugs out. Too much drug sales going on there. Also, we will use it for intramurals and summer camps for kids,



departmental gatherings and picnics, etc. It's 10 acres. We will close the entrance from the neighborhood. There is a pedestrian access. We will patrol the park, as well. The facilities are in good shape. There will be some upgrade on parking surfaces.

### **Smoking Policy**

Smoking Policy says no smoking in buildings and no smoking within 25 feet of entrances. Several people want us to amend this policy to add electronic cigarettes to this. The main concern was that from far away, electronic cigarettes appear to be real cigarettes. I have worked with Bob Reider to amend the policy to include electronic cigarettes. I'm proposing to put it in place on an interim basis and send to you and other two groups to look at it.

- Carolyn Sanders: What about cigarette butts? And people don't follow the "within 25 feet policy."
- President Altenkirch: It's like a speed limit sign. Don't see many people following it. Tuscaloosa just passed a smoke free campus policy.
- Carolyn Sanders: Are we going to go to that policy?
- President Altenkirch: It's up to us.
- Carolyn Sanders: What about the butts?

Charles Hickman pointed out that in Business, they don't put the ashtray receptacles within 25 feet of the building, so if a person finishes their cigarette close to the building, they just throw it on the ground.

- Mitch Berbrier: We can encourage people smoking farther away by placing ashtrays in certain areas.
- President Altenkirch: I think A&M went smoke-free too a while back.

### **Policy on Postdocs**

Ray Vaughn drafted another policy that I would like to put in place now and have you look at. The Deans and Christine have looked at it. It redefines what a postdoc is—making a postdoc a student. Right now they're an employee, so they're paying into the retirement system, but the majority might not be here in 10 years. So they're putting money in and when they leave they will get that money out. It just doesn't make sense for them to put it in. We looked around. Tuscaloosa treats postdocs as students—so they don't pay into the retirement system. This policy mirrors what they do in Tuscaloosa.

Deb Moriarity asked about the benefits. President Altenkirch said he thinks it only impacts the retirement system.

Another aspect of this is that payments into the retirement system are matched, and we don't get those back.

Michael Banish said with postdocs comes researchers at centers, and there is the idea here

to integrate centers with academic departments. He also mentioned the possibility of seeing less equality of postdocs if we start to take away the retirement and TIAA-CREF because they might begin going to other institutions, i.e. those that offer these. He's worried it will give off the impression that UAH is saying to the student that they are only here temporarily so not to think of this as a permanent home. Deb Moriarity said that's what a postdoc is by definition. Michael Banish agreed, but made the point that UAH has a much stronger center structure than most universities do.

- President Altenkirch: This causes postdocs not to have to pay into the retirement system. That's all this does.
- Kader Frendi: Can they elect to pay into it?
- President Altenkirch: No. If they aren't here 10 years, then they aren't vested. They leave and get their money back, but grants and contracts that are paying into the retirement system are getting no benefits out of it.
- Carolyn Sanders: If they get TIAA-CREF, then does the university match that? And will they get it back?
- President Altenkirch: I will check to see if they get TIAA-CREF, but whatever we do with that, that's what they get.
- Michael Banish: So it's just the state retirement?
- President Altenkirch: As far as I understand it. The retirement system is out of our control. You're either an employee in it, or a student who's not.

We talked about a 4-day workweek over the summer. Originally, the staff wasn't in favor of it. The Staff Senate passed a resolution in favor of it recently. I'm not sure what is in the resolution because I just received it. It will be longer workdays with shorter workweeks. My experience is that there will be a group, i.e., faculty, who will complain. But they will complain based on the principle that they should complain because if they don't complain then it won't look good because they're supposed to be working hard. Another group has a complaint about facilities, specifically labs. And in the beginning, people were there, but as time went on, there weren't any people there. I know that because I had people take attendance.

Special accommodations will be made when justified and this is only for the summer, not the whole academic year.

- Deb Moriarity: Does this come to the Faculty Senate?
- Wai Mok: It does affect us.
  
- Kader Frendi: One issue my colleagues had is how does it sound to the local sponsors such as NASA and Army that we are only working 4-day weeks?
- President Altenkirch: There's nothing sacred about 5 days per week.

## Recruiting and Retention/Graduation Rates

On the recruiting trips, retention rate and graduation rate always comes up with the parents. Our retention rate from freshmen to sophomore and graduation rate comes up in popularity rankings that parents look at.

- Deb Moriarity: Haven't all of the Deans been told to go back to their departments and start working on questions that we need answers to in order to figure out why our retention rate was lower, why the DFW rate was so high, etc.
- President Altenkirch: On the recruiting side, it's going well. We are spreading out. We've hit more counties in Alabama. We have received double the applications this year compared to last year. 83 students already accepted admission for next fall. Last year at the same time it was 0.
- Deb Moriarity: There has been no deposit for that, though, right? Just a verbal acceptance?
- President Altenkirch: Right. The only deposit is if they come to summer school. 35 students did that this past year—came in the summer and transferred that into the fall. There was an increase in freshmen numbers this year. The ACT went up nine-tenths of a point. Out-of-state has the high ACT students. In-state students have lower, but in state students will bring the numbers. There will be an open house next Saturday, the 22<sup>nd</sup>. It will be the biggest we've ever had. It's so big that we can't accommodate it in one place. We have to split it into 2 locations: in the Theater in Charger Union and in the Exhibit Hall.

### ➤ Discussion Items

#### ❖ Climate Survey

I talked with Christine. She said Lenora Smith will be on the committee, plus Suzanne Simpson.

- Carolyn Sanders: I thought the plan was to go to an outside source.
- Wai Mok: Yes, but we will still have a committee.

The discussion of anonymity and confidentiality being maintained was discussed. Mitch Berbrier said that that's based on one interpretation of the law. He also stated that who wrote answers won't be released, but the actual answers will be. So if names are included in the answers, then the author is compromising their own anonymity. Eric Seemann mentioned that the collection of certain demographic information reduces anonymity. Deborah Heikes brought up the issue of the survey being linked to certain email addresses.

- Deborah Heikes: It needs to be made clear to people that anything they say can be used against them.
- Mitch Berbrier: It can also be said that from our perspective, we will maintain your confidentiality.
- Deb Moriarity: We can take all reasonable steps to protect.

- Carolyn Sanders: I have to believe that this has been done before at other universities and they've gone through all of this and have solved these issues and have done this successfully.
- Deborah Heikes: We started with the University of Michigan survey, which is much more complicated, and it asked for a lot more demographic information. But since we aren't the University of Michigan, we had to get rid of a lot of things—almost all of the demographic information—and so in the end it wasn't really usable. There aren't any women in some colleges.
- Wai Mok: To get the ball moving, I need members for the committee.
- Michael Banish: I'm about to be finished with SACS so I can sit on it.
- Wai Mok: As Chair of Personnel, you should sit on it. Anyone else?

Charles Hickman voiced his disagreement about conducting another survey. He said he would be happy to help out with research if anyone had a question, but he does not want to sit on the committee. Carolyn Sanders said she was surprised at the vote at the last Senate meeting.

- Michael Banish: The Provost said something very interesting. She wants this done to influence new hires—not to get rid of people. She's looking for a survey result.
- Wai Mok: She said we have so many opening positions that we need to improve the climate.
- Carolyn Sanders: I posed the question to the President and he said there's little worth.
- Deb Moriarity: What was the objective, what was the mechanism for the objective? If the objective is to complain, then this is a bad idea. If the objective is to truly find out the climate, then there is a good reason to do it.
- Deborah Heikes: It was never supposed to be what it became. It was supposed to be to take the temp of what is going on. I suggest another recommendation: that there are no open-ended questions.
- Michael Banish: I will be on the committee as part of my duty as the Chairman of the Personnel Committee.
- Wai Mok: Lenora Smith wanted to do something about affirmative action.
- Deborah Heikes: When you do that, you begin identifying people easily.
- Wai Mok: Suzanne Simpson has the skill for this. I think I need more than 3 people.
- Carolyn Sanders: Mitch, you mentioned the possibility of an outside firm. Have you done research into this?
- Mitch Berbrier: I mentioned Alabama has a research center, so they would be better to use than a private one. Wai, I sent you some names for the committee.
- Wai Mok: They aren't senators.

- Mitch Berbrier: They don't need to be senators. It's routed through the Senate.
- Deborah Heikes: It's generally interpreted that the Senate recommends, but it doesn't need to be a senator.

❖ Governance and Operations Committee Chair

There is still no Chair for the Governance and Operations Committee. I'm going to email the members on this committee and ask for a volunteer. The committee also still needs a representative from the College of Science. If no one volunteers to be Chair, then I will add someone from Science and they will be the Chair.

❖ Student Affairs Advisory Board

Need one more volunteer

- Eric Seemann: What does that committee do?
- Mitch Berbrier: We have a new VP of Student Affairs so maybe it's to advise that unit.
- Eric Seemann: I'll volunteer for that given my involvement with the veterans.

Mitch got the charge from Joy. Wai Mok read the charge to the Executive Committee

❖ RIF Committee / IIDR Committee

I sent out an email earlier this week asking for volunteers to sit on the RIF committee. I sat on this committee last year, as well as the IIDR Committee. I asked Ray Vaughn what all I could disclose to the Faculty Senate—with one specific thing being the identity of the committee members. He said I could not disclose their identities to you. Finally, I agreed with him that the panelists should not be disclosed because of possible harassment, prior to or after submission of the proposal—and it has happened before.

Carolyn Sanders said it was surprising that we would be disclosing the panelists' names. Michael Banish said NASA and NSF don't disclose. People always deal with a program manager, not a panel member. He brought up the point that in the past, scores and/or reviewers' commenters haven't been sent out, but that they should be sent back with the proposal. Deb Moriarity agreed and said some faculty in her department were confused why they weren't funded.

The IIDR is another internal grant program. Names of people on this committee should not be disclosed.

I was planning on reporting the full process to the full Senate. For example, we received 72 proposals and initially we cut that down to 36.

- Deb Moriarity: Immediately?
- Wai Mok: After about a week or two.

There are 8-9 people on the committee and we have to cut the proposals to 50% within one week. Then each proposal is given to 2 reviewers—one primary and one secondary. The primary reviewer will speak on behalf of the proposal. If either one gives a negative review, it's pretty

much dead. The Call for Proposals says it should be written for the layperson; however, in my opinion based on past reviews, it should have some substance to convince experts, or else it will be shot down at the meeting.

- Deb Moriarity: A person of your education level, not necessarily in your discipline.
- Michael Banish: Not a specialist in your field.
- Deb Moriarity: But someone of similar education should be able to read it and understand it. So you can have some technical in it, but it needs explanation in it.
  
- Kader Frendi: You mentioned 72 proposals and then cut it in half. So there were 36 reviewed?
- Wai Mok: Yes, 36 reviewed by 2 reviewers.
- Kader Frendi: How did you get from 72 to 36?
- Wai Mok: In the beginning, each one of us was assigned 8 and we ranked our top 4.
- Kader Frendi: Did you review and rank them in the same fashion? Just making sure there is due process.
- Wai Mok: Yes.

❖ Bill 378

Deb Moriarity: We had the Bill that was to define the accelerated review process for tenure, time at first appointment.

*“Instead of a sequential review process from the departmental committee on up the chain described above to the Provost, the application file and curriculum vita shall be distributed simultaneously to all committees and individuals in the chain concerns. And that in addition to sending recommendations to the next committee or individual in the chain described above, recommendations shall also be submitted directly to the Provost. And that all recommendations shall be submitted within 5 business days after distribution of the file and vita.”*

As I recall, the 2 concerns were (1) the Provost was getting the recommendations at each step, and that’s not a part of the normal process, and (2) the 5-day time limit. Why not, when it’s down to 2 to 3 finalists on campus, we start the deliberations and the tenure process at that point. That way, when we hire a person, tenure is already set.

Mitch Berbrier thinks this idea of Kader’s was a brilliant idea.

Now that I’m looking at it, we are going to do a sequential review process, so the first part (*“Instead of a sequential review process from the departmental committee...”*) should be taken out. And it should say, “The application file and curriculum vita for all finalists for the position shall be distributed simultaneously to all committees and individuals in the chain prior to the campus visit of the candidates.” And that *“In addition to sending recommendations to the next committee or individual in the chain, the recommendation should be submitted directly to the Provost,”* should be taken out. “The recommendations would be sent up the chain—”

- Mitch Berbrier: “—at a very accelerated rate”
- Deb Moriarity: Do we want to put times in right there? “And that all reviews shall be

completed and recommendations shall be submitted no more than 7 business days after the campus visit of the final candidate.” The reason for 7 is because 5 is sometimes a weird time to turn things around if it’s Monday to Friday. In most cases, they could if it’s a summer. Unless we start the 5 working days on that Monday. It used to say, “*within 5 business days after distribution of the file and vita.*” So you only had those 5 days, but now if you get it before their visit, we will have the time of their visit.

- Michael Banish: 5 working days after the last visit, the departmental committee or everyone owes it?
- Deb Moriarity: Well do we want it after the last visit, or after each?
  
- Carolyn Sanders: I worked on the original bill and the main concern of the administration was the turnaround. With this, we are increasing the work from just one final candidate to all finalists.
- Deb Moriarity: But it will be the department that they will be tenured in, their Dean, and PTAC, and the URB. The reason I said wait until the end is because you only have to meet once, instead of three times or however many candidates there are.

The purpose of the visit was discussed—its role as a simple time marker in the tenure process versus its role as a candidate’s evaluation in the tenure process. There was a discussion if the candidate’s visit should play a role in this accelerated review process for tenure, since the candidate might not be known to campus faculty and administration.

- Deb Moriarity: The idea is that they will say all three are tenurable on paper, but this one is more favorable in person. What you want to be able to say is that you can give input on the hire. That is what I wanted to bring to this committee. That’s why I left the visit as a time marker.
- Mitch Berbrier: At the moment that all finalists are announced and CVs are given out. Because they visit at different times, it gives the review boards more time to review. So there’s no issue about rushing to hire a person without tenure.
- Deb Moriarity: Everyone gets the packet at the same time so they are only waiting on the letters. So should they be done in parallel?
- Kader Frendi: Especially if they are from different colleges.
- Deborah Heikes: It might be harder for a Dean search.
- Mitch Berbrier: Most of these people are going to be tenured elsewhere. You’re looking at an application and letters of recommendation, not a dossier.
  
- Deb Moriarity: So in that case, “The review shall be completed and recommendations shall be submitted” within how many days?
- Mitch Berbrier: “to the next level within 5 business days.” The idea being that those 3-4 weeks should be plenty of time.
- Carolyn Sanders: Otherwise it could kill the upper levels.
- Deb Moriarity: There are 5 levels before it gets to the Provost: Department Committee,

- Department Chair, PTAC, Dean, and then URB.
- Michael Banish: The Chair doesn't get 5 days.
  - Deborah Heikes: The Chair doesn't need 5 days because they'll have it immediately.
  - Michael Banish: The Department gets 1 week, PTAC gets 1 week, Dean gets 1 week, and the URB.
  - Deb Moriarity: As a Department Chair, there are letters that need to be written.
- 
- Carolyn Sanders: From a practical standpoint, candidates could be brought onto campus before that month is even over.
  - Deb Moriarity: It shouldn't take any of them more than one meeting, one day.
  - Michael Banish: You could say that the department process could take up to 2 weeks. If you're looking at candidates all within one department, or most within one department, and they all submit dossiers, then it could take a while.
  - Mitch Berbrier: You are ratifying or not-ratifying their tenure from their home institutions.
  - Carolyn Sanders: Is it a full-fledged letter?
  - Deborah Heikes: When I was on PTAC, it was an up/down thing, not a full justification.
- 
- Mitch Berbrier: It might be useful to go back the last 3 to 4 tenured upon hires, to see how much time there was before the announcement of the finalists was made and the tenure decision was made.
  - Kader Frendi: If you think back to the Provost search, all 4 finalists were on myuah. Therefore, that's the time you want to look at them.
  - Mitch Berbrier: The issue is going to be that this person got tenure at an institution that isn't an "aspirant" institution, or they received tenure and haven't been published in 6 years. There should be some due diligence done.
  - Carolyn Sanders: At URB there's just a form. They just recommend, although they have the letters from all of the other committees.
  - Kader Frendi: The 5 working days we are talking about here will be just the decision.
  - Carolyn Sanders: Do we want consistency?
  - Michael Banish: The Dean doesn't need 5 days. The department, in order to get everyone together, to get a committee together, needs time.
  - Deb Moriarity: You can use electronic means.
  - Michael Banish: I'm for 10 days for this reason. If people in the department aren't available, 5 days isn't enough.
  - Mitch Berbrier: That sounds good to me.
- 
- Deborah Heikes: URB gets a certain amount of time but no one else because the President can put pressure on a department.
  - Deb Moriarity: Is it okay procedure-wise for me to go talk to the Provost?
  - Mitch Berbrier: Yes. We also need to pay attention to the pre-ambler statements.



- Michael Banish: Another argument, too: if we take a month to do this, they better have ported this over to us ahead of time.
- Deborah Heikes: Are we asking for dossiers or CVs? If the former, that's a little much.
- Deb Moriarity: Just the CV and application.

❖ SIEs

SIEs are turning electronic.

- Carolyn Sanders: We depend so much on those SIEs for reappointment and tenured reviews.
- Deb Moriarity: The committee met and all of these issues were brought up. We are looking at ways to encourage participation. There are a variety of ways to do this—up to not releasing grades until it's done.
- Carolyn Sanders: What's the plan for this semester?
- Deb Moriarity: It will be the paper ones. We just met 2 weeks ago for the first time.

❖ Agenda for Faculty Senate Meeting #553, November 20, 2014

Approved

Meeting adjourned at 2:20 pm

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**SENATE EXECUTIVE COMMITTEE MEETING**  
**December 18, 2014**  
**12:45 P.M. in SKH 369**

***Present: Wai Mok, Kader Frendi, Deborah Heikes, James Swain, Debra Moriarity, Azita Amiri, Charles Hickman, Eric Seemann***

***Guests: Provost Curtis***  
***President Altenkirch was not present.***

- Faculty Senate President Wai Mok called the meeting to order at 12:45 pm
- Administration Reports
- ❖ Provost Curtis

**Travel Scholarship Program**

It's the same program as before but with some changes. The first change is instead of applying the scholarship every two years, it can now be applied every year. We match the funds from the college, department, or the humanities center, but the money comes from the department or the college. Startup funds come from contracts and grants. What if the department or college doesn't have money? Those are the ones who put in the most requests. So it's being used. If money isn't being used, we try to call and make sure they don't want to use it.

Kader Frendi asked about the amount of the scholarship. Provost Curtis said it's \$500. If the department only has \$300, then they will match it.

**College of Education**

We have a Dean of College of Education, Beth Quick. She's been working as the Department Chair—first in Liberal Arts and then in the Curriculum and Instruction.

Kader Frendi asked if there can be a differentiation made between the College of Engineering and College of Education in regards to the initialism "COE." Deb Moriarity suggested College of Education use COEd. Provost Curtis agreed.

**5<sup>th</sup> Year Reviews**

There are two 5<sup>th</sup> year reviews going on. One in Business Administration and one in College of Engineering. The Senate worked with me in terms of the survey to go out. It's with the committees now. The committees are seeking external review letters as is required in the Faculty Handbook. I believe the surveys are going out by mid-January.

- Charles Hickman: That's our target. Dean Adams asked for our response by the 19<sup>th</sup>. It seems to be moving.

**FYE Program**

South Carolina was the birthplace of the First Year Learning Experience. It started at Auburn in the 1990s. It's been proven around the country to work. I made the decision this past Fall that it would be mandatory, but for 25 students instead of 50, and they would work with Student Life

to develop the curriculum. They are assessing it at this point. Several focus points of students and faculty. It has gone through this process. I haven't seen the results. Retention is our main concern. After listening to the Deans, I decided it might be more of an experiment to put the FYE in the colleges. Put the core curriculum in the colleges.

- Wai Mok: What do you mean by core?
- Provost Curtis: All FYEs have to have a certain core. And then within the colleges, they become more specific. So each discipline's study skills vary. Each discipline's faculty knows what they are.

I have visions of this not working, so how do we make sure it will work? I've asked a faculty member to take on the leadership of this and take on the teaching of the general studies students who haven't declared. The Deans will be responsible. Some will want to call upon certain staff. Some will want to do the whole thing themselves. I won't tell them how to do it. Faculty stipends will remain the same.

There's an issue of the clickers to check attendance. Provost Curtis said she doesn't know much about them. Deb Moriarity said she used them in her large classes. Charles Hickman said he is going to start using them in his classes. Azita Amiri said she uses them.

Provost Curtis continued to talk about this being a work in progress and the experiment lasting for several years.

- Charles Hickman: There's been some discussion about transfer students because a lot of students in the College of Business come from Junior Colleges.

### **SACSCOC**

We went to a regional meeting in Nashville. Reports are due January 20. We've engaged with a person who is an expert on assessment and SACSCOC requirements and we are about to work with another individual who does a lot of the reading, he's read Alabama's. We will be talking with him about ours and he will help us with clarifications. We should have started a year before we actually started so we are trying to get help. Because we don't have all of the career documentation in many areas, like ABET, Business, and Nursing, our consultant, who is from Mississippi State, is coming January 5<sup>th</sup> through 8<sup>th</sup>. She says we need to have 2 assessment cycles done before March 2016, which is why we are doing this the first week of January, and those cycles are Spring 2015 semester and Fall 2015 semester.

- Kader Frendi: Our main problem is data.
- Deb Moriarity: Yes, it's going to be a big rush with the workshops and the data not coming in until next Fall.
- Provost Curtis: We now have Suzanne Simpson who is our Institutional Research and Assessment Director. We are trying to build a foundation so we don't go through this again.

## **Board Proposals**

MA in Professional Communication

BA in Writing

Two proposals in Education:

MA Teaching (various disciplines with no background in Teaching)

Bachelor's Early Childhood and Early Childhood Special Education (Samford, Auburn, and Alabama are only other 3 that offer this in Alabama)

## **Community College Agreements**

We are working with community colleges on three agreements: Articulation Agreement; Reverse Articulation Agreement, which means that if the student comes here before they finish their Associates degree then they can ask that the courses they take here that would go towards an Associates degree be articulated back and that they be awarded an Associates degree at a community college and count them as being successful; Pathways Course (there are courses taught in the freshmen and sophomore year that once articulated after 64 hours, they lose; our goal is to be teaching our courses at a community college so the students are jointly enrolled. They will be our courses, we will be teaching them, either online or on campus, jointly with the community college courses). Drake State, Calhoun, Wallace State, Rainsville Northeast Alabama Community College, Gadsden (hopefully), and Motlow State (hopefully).

- Deb Moriarity: How will we work on which courses to teach?
- Provost Curtis: Email Brent so we can gather that information.
  
- Eric Seemann: Do we need to look at reverse courses that they offer there that we don't accept here because they are offered on a different level? So they teach the same course at a 200-level there but we don't accept here because we teach it at a 400-level.
- Provost Curtis: Talk to your Dean and then have them email Brent.

## ❖ **President Altenkirch's Report (delivered via Wai Mok)**

### **University Park**

City asked for \$1.2 mill. Talked down to \$900,000. Rec'd a 5-0 vote.

### **Smoking Policy**

Wai asked if this was a stepping-stone for a full campus ban. The President didn't really answer. We can tell him that's what we want if that's what we want.

- Deb Moriarity: There were emails pro and con.
- James Swain: Several faculty asked if this would include chewing tobacco.
- Charles Hickman: The policy mentions that.
- Kader Frendi: I think we should bring this to the full Senate.
- Deb Moriarity: And let them go back to their faculty and discuss.

### **Postdocs**

He doesn't want them to contribute to the pension system. The postdocs would get their money back, but the university would not. So he already made that move.

## **ID Badges**

This is coming out from the Staff Senate.

- Deborah Heikes: Why do we need these?
- Eric Seemann: It makes the place less welcoming.
- Kader Frendi: I see the benefit on the staff side, but not the faculty side.
- Deb Moriarity: I don't see it at all except for maintenance guys.
- Deborah Heikes: And IT guys.
- Kader Frendi: I see it being good for Staff. If a student is lost in the hallway they know who to ask for directions.
- Eric Seemann: If we ask staff to wear them, and not faculty, then there will be hard feelings.
- Deb Moriarity: And what do you do if someone isn't wearing a badge?
- Eric Seemann: It will be the same with someone smoking in front of the door. It also makes sense for maintenance or IT who ask for access to locked doors and sensitive materials.

Everyone was in general agreement that this idea came from the Staff Senate so it seems the staff wants the badges. The faculty is not opposing the staff having ID badges, but the faculty does not want them, and they do not want the badges forced upon them. If there are criticisms about faculty not having ID badges, then the response will be that faculty did not request them—only staff did, so only staff got them. The faculty will not oppose staff getting ID badges.

## **4-days Workweek**

The Staff Senate passed this 21-2, so it will happen. He said there are some buildings that won't shutdown. There will be no salary reduction for the staff. It's about 10 weeks.

- Charles Hickman: 40 hours still?
- Deb Moriarity: Four 10-hour days?
- Kader Frendi: He mentioned that the core hours will be 9:00am to 4:00pm, and then the extra hours can be individually adjusted. I suggested this be done on a trial basis for one summer.
- Eric Seemann: We also want to make sure we aren't setting up a bad environment where some people come in and get all their work done quickly in the beginning, but others are pushing it.

### ➤ Discussion Items

#### ❖ Ad Hoc Committee on Research Faculty/Staff

- Ray Vaughn's email re: the Committee and the Charter

Ray Vaughn sent me an email about the Ad Hoc Committee for the RCEU program and Research Faculty/Staff being included. That Committee, as far as Vaughn knows, never met, and there were never any recommendations.

- Charles Hickman: The committee's charge was broader than that. It was to look at the role that research centers play at the university. He sent me an email over the summer and I forwarded it on, who told me they would have their work finished. My perception was that Ray wanted there to be a closer relationship between the centers and the university. He's a get it done kind of guy and this isn't getting done. His funding wasn't contingent on this committee; it was on them being included. That may have changed now.
- Deb Moriarity: That's only item 4 on this Charter. Is he looking for them to have specific designations within departments?
- Charles Hickman: The ones who are affiliated with departments are research faculty; the ones who aren't are research scientists, right?
- Wai Mok: There are 4 things on the Charter and the last one includes the RCEU. Can we remove the RCEU so there's no issue of funding?
- Charles Hickman thinks we should keep the RCEU. Deb Moriarity said it's only a concern to review the RCEU, not fund it.
- Wai Mok: Should we form another Ad Hoc Committee? Or talk to Ng first?  
Charles Hickman said they should talk to Ng first and find out what happened. Everyone agreed. Wai Mok will get in touch with Ng.

❖ Policy on Policies

Everything is the same except item 9 on page 3. Now he has 2 councils: Executive Council, footnote 1 on page 2, and Advisory Council, footnote 2 on page 3.

There was discussion of the Faculty Senate being separate from the Staff Senate and the SGA due to shared governance, which is laid out in the Handbook. Faculty Senate is ahead of SGA and Staff Senate in that it has shared governance and it isn't just a group organized for a specific purpose. The point isn't to exclude Staff Senate and SGA, but to formally recognize that the Faculty Senate has shared governance, and they can do so in this policy by putting us in the Executive Council.

- Deb Moriarity: Part of the problem is logistics. The Executive Council meets and discusses other things not related to Faculty Senate, so the Faculty Senate representative would have to be in and out of the meeting. At this point, I'm in favor of taking this and moving forward because it incorporates most of what we've asked for, and they're putting out policies left and right that aren't going through this.
- Deborah Heikes: I think when it comes to academic policies we could ask for a specific role.
- Charles Hickman: Have the Faculty Senate President be a voting member on the Executive Council. Do they vote?
- Wai Mok: I think they vote.

- Charles Hickman: Get rid of the rest of it and only put the Faculty Senate President in the Executive Council.
- Deborah Heikes: He explicitly rejected that.
- Charles Hickman: When it concerns university governance affecting the faculty. If this is going to generate controversy, which he doesn't want, then that is a compromise. That seems to me like the biggest step towards shared governance that we could have.
- Kader Frendi: That was the intent of the modifications we made.
- Charles Hickman: I found the changes we made to be very precatory. What if we simply ask him to include the Faculty Senate President in the Executive Council, and do away with this other stuff?
  
- Wai Mok: When did we give this back to him?
- Deborah Heikes: By September 30.
- Wai Mok: It's been on his desk for 3 months. But this is what we asked for.
  
- Deborah Heikes: I didn't think we would get everything, but the gist of the point we were making is that we aren't equal to Staff Senate and SGA, and that wasn't incorporated. We need a track changes document on this.
- Charles Hickman: I would ask you to ask him if that is in the realm of possibility—to have the Faculty Senate President sit on the Executive Council.
- Eric Seemann: If it did, I think that would solve a lot of our problem.
- Charles Hickman: If we frame this the right way—that the issue is about shared governance and faculty are concerned about this—then we can ask for it.
  
- Eric Seemann: The only real problem I can see with this from his point of view is that the Faculty Senate President changes yearly and if they're working on something that takes longer than that, then there's a problem with continuity.
- Kader Frendi: There will also be issues that the Faculty Senate President won't be invited.
- Charles Hickman: I don't see why. I don't know what other universities do, though.
- Wai Mok: I heard that you'll find an example of everything everywhere else.
- Charles Hickman: One of the biggest objections might come from the Deans.
  
- Kader Frendi: The drawback from item 9 is that he is putting us with the SGA and that is a disillusion of our power.
- Eric Seemann: It's also limiting us from serving our departments and doing our job.
  
- Deborah Heikes: It's important this be written down.
- Wai Mok: I have expressed this concern to him.

- Deborah Heikes: It needs to be communicated that we aren't happy with this. I have a major objection with Item 9. If we are talking about academic policies, most of them don't concern Staff Senate and they shouldn't be going to SGA as a whole.
- Kader Frendi: I think the first version is better than this one.
- Deborah Heikes: I agree.

❖ Agenda for Faculty Senate Meeting #554, January 8, 2015  
Approved

Meeting adjourned at 2:10 pm



# THE UNIVERSITY OF ALABAMA IN HUNTSVILLE

## POLICY ON POLICIES

**Number** 01.01

**Division** Office of the President

**Date** XXX XX, XXXX

**Purpose** To standardize UAH policies and establish policies and procedures for the creation, formatting, review and approval process, implementation, publication and renewal cycle of policies.

**Policy** All University of Alabama in Huntsville university-wide policies are expected to comply with the guidance, formatting, approval process and review procedures that are set forth in this document. A UAH policy is a written statement that has been approved by the President and describes the university's stance on a particular subject and/or its response to a specific situation.

**A. Format.** The format of all UAH policies will include a heading with the title of the policy and will have the following sections:

1. *Policy Number:* assigned by the Senior Vice President for Finance and Administration
2. *Division:* the Division at UAH responsible for creation and review of the policy
3. *Date:* date that the policy was created or revised
4. *Purpose:* a succinct statement providing a rationale for the policy
5. *Policy:* a description of the policy
6. *Procedures:* when appropriate, a description of the procedures to be followed to carry out the policy
7. *Review:* the UAH office responsible for periodically reviewing the policy
8. *Approval:* provide signature lines for those individuals responsible for the policy recommendation, review, and approval. The policy should be signed by the responsible Vice President who is recommending the policy, other Vice Presidents affected by the policy, Chief University Counsel, and the President.

**B. Development of UAH Policy.** A policy can be proposed by anyone at UAH by routing the suggested policy or revision to an existing policy (in the proper format) through the appropriate Division's administrative

channels for review and approval. Administrative channels refer to the appropriate chain of supervisors and the administrative Vice President overseeing the activities of the proposing individual or organization.

The flow for the creation of a new university-wide policy is illustrated below:

1. The individual developing the proposal submits the proposal to his/her supervisor.
2. The supervisor reviews the policy, comments on it and forwards the proposal to the next higher level within the Division's administrative organization. This process is continued until the proposal reaches the responsible Vice President.
3. The responsible Vice President reviews the proposal and requests that a draft policy be developed by the appropriate person(s) or decides against making the proposal into a draft policy.
4. Upon completion of the draft policy, the responsible Vice President discusses the draft policy with the President's Executive Council and, after taking into account the Council's comments, submits the draft policy to the Office of Counsel for legal review.
5. When the finalized draft policy has been approved by the Chief University Counsel, the responsible Vice President requests that the draft policy be placed on the President's Executive Council's agenda for discussion.
6. Simultaneously, the draft policy will be sent to the entities impacted by the policy for review.
7. All reviewers have two weeks to consider the policy with their respective constituencies and to submit comments and suggested changes in writing to the responsible Vice President. Substantive changes must be accompanied by a justification or rationale for the change. No response from a reviewer within two weeks will be considered an acceptance of the draft.
8. The responsible Vice President will determine which changes, if any, to include in the draft policy. If the revised draft policy has been changed substantively, then a second review of the revised draft policy will be conducted with the aforementioned entities. After a two week review is conducted and comments are received, the draft policy is finalized by the responsible Vice President. The final draft policy along with an explanation of any changes received from the reviewers and not accepted will be submitted to the President for review and approval.

9. The policy will be numbered appropriately, announced to the UAH community and posted to the UAH web site by the Senior Vice President for Finance and Administration.

Area-specific policies, i.e., applicable to a single administrative or organizational unit, need not follow the creation process of a university-wide policy but may be put in place by the responsible administrative or organizational unit officer following consultation with those in his or her administrative chain up through the responsible Vice President to the President. Interim policies, i.e., those that must be in place but time does not permit the normal approval process of a university-wide policy to be carried out, may be approved by the responsible Vice President and the President and remain in effect for up to six months. Interim policies must be labelled as such.

**C. Review and Revision of a UAH Policy.** To maintain an up-to-date and relevant set of policies, a regular schedule of review and revision must be scheduled. The responsible Vice President shall be responsible for insuring all policies within their purview are reviewed within 90 days of the policy's five year anniversary. The President may approve revised policies or may rescind policies at any time.

Recommended revisions to policies should be forwarded as written suggestions through appropriate channels to the responsible Vice President for consideration. If a revision is deemed necessary, the responsible Vice President will follow the policy outlined in B. above. When a policy is revised, it will be reissued with a notation "Revised (date)" placed in the lower right corner of each page of the policy. Technical revisions, i.e., non-substantive or editorial revisions, may be made by the responsible Vice President following consultation with the President.

When a policy is reviewed and requires no substantive revision, the responsible Vice President will, within ninety days of the specified review date, forward a signed copy of the reviewed policy with a notation "Reviewed (date)" placed in the lower right corner of each page to the Office of Counsel for legal review. Once the policy has been reviewed and signed by the Chief University Counsel it will be forwarded to the President for review and approval. Upon approval by the President, the policy will be posted to the UAH web site by the Senior Vice President for Finance and Administration.

The Internal Auditor shall be responsible for auditing compliance with this policy and that timely review processes are taking place.

**D. Conflicts with Higher Authority.** Should there be or should there occur at any time a conflict between a UAH policy and a document of a higher authority (e.g., applicable federal or Alabama law or regulations, or

policies, by-laws or Board Rules of the Board of Trustees of the University of Alabama) the document of higher authority will prevail. Should there occur at any time a conflict between two UAH policies, the most recently approved policy will prevail. Should there occur at any time a conflict between a UAH policy and any other written or oral statement developed by an operating unit at the university, the UAH policy will prevail.

**E. Policy Numbering Plan.** UAH policies will be classified and numbered according to the following plan for the first two numbers followed by a period (.) and consecutive numbering within that category. For example, this UAH Policy on Policies is numbered 01.01 as the first policy within the category of policies issued by the President.

<u>Policy Number</u>	<u>Issuing Office</u>
01.xx	President
01.01.xx	Athletics
02.xx	Provost and Executive Vice President for Academic Affairs
03.xx	Vice President for Student Affairs
04.xx	Vice President for University Advancement
05.xx	Vice President for Diversity
06.xx	Senior Vice President for Administration and Finance
06.01.xx	Human Resources Management
06.02.xx	Budget and Planning
07.xx	Vice President for Research
07.01.xx	Office of Sponsored Programs
07.02.xx	Office of Technology and Commercialization
07.03.xx	Office of Research Security
07.04.xx	Regulatory Compliance

**F. Policy Retention and Access.** The Senior Vice President for Administration and Finance will be responsible for maintaining a file of all original policies signed by the President. UAH policies will be made available to all students, faculty and staff through the UAH Policy web page.

**Review** The Office of the President is responsible for the review of this policy every five years (or whenever circumstances require).

**Approval**

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Chief University Counsel

Date

---

Provost and Executive Vice President for Academic Affairs Date

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Senior Vice President for Administration and Finance Date

---

Vice President for Advancement Date

---

Vice President for Diversity Date

---

Vice President for Research Date

**APPROVED:**

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President Date

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5. When the finalized draft policy has been approved by the Chief University Counsel, the responsible Vice President requests that the draft policy be placed on the President's Executive Council's agenda for discussion.
6. Simultaneously, the draft policy will be sent to the Faculty Senate, Staff Senate, Student Government Association, and the Research Directors, and any other entities impacted by the policy for review. In addition to being transmitted to the several organizations, the draft policy will be posted on myUAH.
7. All reviewers have one month, two weeks to consider the policy with their respective constituencies and to submit comments and suggested changes in writing to the responsible Vice President. Extension of review time may be requested by any of the organizations to which the draft policy was transmitted. Substantive changes must be accompanied by a justification or rationale for the change. No response from a reviewer within two weeks will be considered an acceptance of the draft.
8. The responsible Vice President will determine which changes, if any, to include in the draft policy. If the revised draft policy has been changed substantively, then a second review of the revised draft policy will be conducted following with the aforementioned process/entities. After a two week review is



conducted and comments are received, the draft policy is finalized by the responsible Vice President. The final draft policy along with an explanation of any changes received from the reviewers and not accepted will be submitted to the President for review and approval.

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Area-specific policies, i.e., applicable to a single administrative or organizational unit, need not follow the creation process of a university-wide policy but may be put in place by the responsible administrative or organizational unit officer following consultation with those in his or her administrative chain up through the responsible Vice President to the President. Interim policies, i.e., those that must be in place but time does not permit the normal approval process of a university-wide policy to be carried out, may be approved by the responsible Vice President and the President and remain in effect for up to six months. Interim policies must be labelled as such.

**C. Review and Revision of a UAH Policy.** To maintain an up-to-date and relevant set of policies, a regular schedule of review and revision must be scheduled. The responsible Vice President shall be responsible for insuring all policies within their purview are reviewed within 90 days of the policy's five year anniversary. The President may approve revised policies or may rescind policies at any time.

Recommended revisions to policies should be forwarded as written suggestions through appropriate channels to the responsible Vice President for consideration. If a revision is deemed necessary, the responsible Vice President will follow the policy [development process](#) outlined in B. above. When a policy is revised, it will be reissued with a notation "Revised (date)" placed in the lower right corner of each page of the policy. Technical revisions, i.e., non-substantive or editorial revisions, may be made by the responsible Vice President following consultation with the President.

When a policy is reviewed and requires no substantive revision, the responsible Vice President will, within ninety days of the specified review date, forward a signed copy of the reviewed policy with a notation "Reviewed (date)" placed in the lower right corner of each page to the Office of Counsel for legal review. Once the policy has been reviewed and signed by the Chief University Counsel it will be forwarded to the President for review and approval. Upon approval by the President, the policy will be posted to the UAH web site by the Senior Vice President for Finance and Administration.

The Internal Auditor shall be responsible for auditing compliance with this policy and that timely review processes are taking place.

**D. Conflicts with Higher Authority.** Should there be or should there occur at any time a conflict between a UAH policy and a document of a higher authority (e.g., applicable federal or Alabama law or regulations, or policies, by-laws or Board Rules of the Board of Trustees of the University of Alabama) the document of higher authority will prevail. Should there occur at any time a conflict between two UAH policies, the most recently approved policy will prevail. Should there occur at any time a conflict between a UAH policy and any other written or oral statement developed by an operating unit at the university, the UAH policy will prevail.

**E. Policy Numbering Plan.** UAH policies will be classified and numbered according to the following plan for the first two numbers followed by a period (.) and consecutive numbering within that category. For example, this UAH Policy on Policies is numbered 01.01 as the first policy within the category of policies issued by the President.

<u>Policy Number</u>	<u>Issuing Office</u>
01.xx	President
01.01.xx	Athletics
02.xx	Provost and Executive Vice President for Academic Affairs
03.xx	Vice President for Student Affairs
04.xx	Vice President for University Advancement
05.xx	Vice President for Diversity
06.xx	Senior Vice President for Administration and Finance
06.01.xx	Human Resources Management
06.02.xx	Budget and Planning
07.xx	Vice President for Research
07.01.xx	Office of Sponsored Programs
07.02.xx	Office of Technology and Commercialization
07.03.xx	Office of Research Security
07.04.xx	Regulatory Compliance

**F. Policy Retention and Access.** The Senior Vice President for Administration and Finance will be responsible for maintaining a file of all original policies signed by the President. UAH policies will be made available to all students, faculty and staff through the UAH Policy web page.

**Review** The Office of the President is responsible for the review of this policy every five years (or whenever circumstances require).

**Approval**

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Chief University Counsel

Date

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Provost and Executive Vice President for Academic Affairs Date

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Senior Vice President for Administration and Finance Date

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Vice President for Advancement Date

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Vice President for Diversity Date

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Vice President for Research Date

**APPROVED:**

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President Date

# THE UNIVERSITY OF ALABAMA IN HUNTSVILLE

## POLICY ON POLICIES

**Number** 01.01

**Division** Office of the President

**Date** XXX XX, XXXX

**Purpose** To standardize UAH policies and establish policies and procedures for the creation, formatting, review and approval process, implementation, publication and renewal cycle of policies.

**Policy** All University of Alabama in Huntsville university-wide policies are expected to comply with the guidance, formatting, approval process and review procedures that are set forth in this document. A UAH policy is a written statement that has been approved by the President and describes the university's stance on a particular subject and/or its response to a specific situation.

**A. Format.** The format of all UAH policies will include a heading with the title of the policy and will have the following sections:

1. *Policy Number:* assigned by the Senior Vice President for Finance and Administration
2. *Division:* the Division at UAH responsible for creation and review of the policy
3. *Date:* date that the policy was created or revised
4. *Purpose:* a succinct statement providing a rationale for the policy
5. *Policy:* a description of the policy
6. *Procedures:* when appropriate, a description of the procedures to be followed to carry out the policy
7. *Review:* the UAH office responsible for periodically reviewing the policy
8. *Approval:* provide signature lines for those individuals responsible for the policy recommendation, review, and approval. The policy should be signed by the responsible Vice President who is recommending the policy, other Vice Presidents affected by the policy, Chief University Counsel, and the President.

**B. Development of UAH Policy.** A policy can be proposed by anyone at UAH by routing the suggested policy or revision to an existing policy (in the proper format) through the appropriate Division's administrative

channels for review and approval. Administrative channels refer to the appropriate chain of supervisors and the administrative Vice President overseeing the activities of the proposing individual or organization.

The flow for the creation of a new university-wide policy is illustrated below:

1. The individual developing the proposal submits the proposal to his/her supervisor.
2. The supervisor reviews the policy, comments on it and forwards the proposal to the next higher level within the Division's administrative organization. This process is continued until the proposal reaches the responsible Vice President.
3. The responsible Vice President reviews the proposal and requests that a draft policy be developed by the appropriate person(s) or decides against making the proposal into a draft policy.
4. Upon completion of the draft policy, the responsible Vice President discusses the draft policy with the President's Executive Council and, after taking into account the Council's comments, submits the draft policy to the Office of Counsel for legal review.
5. When the finalized draft policy has been approved by the Chief University Counsel, the responsible Vice President requests that the draft policy be placed on the President's Executive Council's agenda for discussion.
6. Simultaneously, the draft policy will be sent to the Faculty Senate, Staff Senate, Student Government Association, and the Research Directors, and any other entities impacted by the policy for review. In addition to being transmitted to the several organizations, the draft policy will be posted on myUAH.
7. All reviewers have one month to consider the policy with their respective constituencies and to submit comments and suggested changes in writing to the responsible Vice President. Extension of review time may be requested by any of the organizations to which the draft policy was transmitted. Substantive changes must be accompanied by a justification or rationale for the change. No response from a reviewer within two weeks will be considered an acceptance of the draft.
8. The responsible Vice President will determine which changes, if any, to include in the draft policy. If the revised draft policy has been changed substantively, then a second review of the revised draft policy will be conducted following the aforementioned process. After ~~the a two week~~ review is

conducted and comments are received, the draft policy is finalized by the responsible Vice President. The final draft policy along with an explanation of any changes received from the reviewers and not accepted will be submitted to the President for review and approval.

9. The policy will be numbered appropriately, announced to the UAH community and posted to the UAH web site by the Senior Vice President for Finance and Administration.

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**C. Review and Revision of a UAH Policy.** To maintain an up-to-date and relevant set of policies, a regular schedule of review and revision must be scheduled. The responsible Vice President shall be responsible for insuring all policies within their purview are reviewed within 90 days of the policy's five year anniversary. The President may approve revised policies or may rescind policies at any time.

Recommended revisions to policies should be forwarded as written suggestions through appropriate channels to the responsible Vice President for consideration. If a revision is deemed necessary, the responsible Vice President will follow the policy development process outlined in B. above. When a policy is revised, it will be reissued with a notation "Revised (date)" placed in the lower right corner of each page of the policy. Technical revisions, i.e., non-substantive or editorial revisions, may be made by the responsible Vice President following consultation with the President.

When a policy is reviewed and requires no substantive revision, the responsible Vice President will, within ninety days of the specified review date, forward a signed copy of the reviewed policy with a notation "Reviewed (date)" placed in the lower right corner of each page to the Office of Counsel for legal review. Once the policy has been reviewed and signed by the Chief University Counsel it will be forwarded to the President for review and approval. Upon approval by the President, the policy will be posted to the UAH web site by the Senior Vice President for Finance and Administration.

The Internal Auditor shall be responsible for auditing compliance with this policy and that timely review processes are taking place.

**D. Conflicts with Higher Authority.** Should there be or should there occur at any time a conflict between a UAH policy and a document of a higher authority (e.g., applicable federal or Alabama law or regulations, or policies, by-laws or Board Rules of the Board of Trustees of the University of Alabama) the document of higher authority will prevail. Should there occur at any time a conflict between two UAH policies, the most recently approved policy will prevail. Should there occur at any time a conflict between a UAH policy and any other written or oral statement developed by an operating unit at the university, the UAH policy will prevail.

**E. Policy Numbering Plan.** UAH policies will be classified and numbered according to the following plan for the first two numbers followed by a period (.) and consecutive numbering within that category. For example, this UAH Policy on Policies is numbered 01.01 as the first policy within the category of policies issued by the President.



<b><u>Policy Number</u></b>	<b><u>Issuing Office</u></b>
<b>01.xx</b>	<b>President</b>
<b>01.01.xx</b>	<b>Athletics</b>
<b>02.xx</b>	<b>Provost and Executive Vice President for Academic Affairs</b>
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<b>05.xx</b>	<b>Vice President for Diversity</b>
<b>06.xx</b>	<b>Senior Vice President for Administration and Finance</b>
<b>06.01.xx</b>	<b>Human Resources Management</b>
<b>06.02.xx</b>	<b>Budget and Planning</b>
<b>07.xx</b>	<b>Vice President for Research</b>
<b>07.01.xx</b>	<b>Office of Sponsored Programs</b>
<b>07.02.xx</b>	<b>Office of Technology and Commercialization</b>
<b>07.03.xx</b>	<b>Office of Research Security</b>
<b>07.04.xx</b>	<b>Regulatory Compliance</b>

**F. Policy Retention and Access.** The Senior Vice President for Administration and Finance will be responsible for maintaining a file of all original policies signed by the President. UAH policies will be made available to all students, faculty and staff through the UAH Policy web page.

**Review** The Office of the President is responsible for the review of this policy every five years (or whenever circumstances require).

**Approval**

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Chief University Counsel

Date

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Provost and Executive Vice President for Academic Affairs Date

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Senior Vice President for Administration and Finance Date

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Vice President for Advancement Date

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Vice President for Diversity Date

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Vice President for Research Date

**APPROVED:**

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President Date

# THE UNIVERSITY OF ALABAMA IN HUNTSVILLE

## POLICY ON POLICIES

**Number** 01.01

**Division** Office of the President

**Date** XXX XX, XXXX

**Purpose** To standardize UAH policies and establish policies and procedures for the creation, formatting, review and approval process, implementation, publication and renewal cycle of policies.

**Policy** All University of Alabama in Huntsville university-wide policies are expected to comply with the guidance, formatting, approval process and review procedures that are set forth in this document. A UAH policy is a written statement that has been approved by the President and describes the university's stance on a particular subject and/or its response to a specific situation.

**A. Format.** The format of all UAH policies will include a heading with the title of the policy and will have the following sections:

1. *Policy Number:* assigned by the Senior Vice President for Finance and Administration
2. *Division:* the Division at UAH responsible for creation and review of the policy
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8. *Approval:* provide signature lines for those individuals responsible for the policy recommendation, review, and approval. The policy should be signed by the responsible Vice President who is recommending the policy, other Vice Presidents affected by the policy, Chief University Counsel, and the President.

**B. Development of UAH Policy.** A policy can be proposed by anyone at UAH by routing the suggested policy or revision to an existing policy (in the proper format) through the appropriate Division's administrative

channels for review and approval. Administrative channels refer to the appropriate chain of supervisors and the administrative Vice President overseeing the activities of the proposing individual or organization.

The flow for the creation of a new university-wide policy is illustrated below:

1. The individual or organization developing the proposal submits the proposal to his/her supervisor or appropriate authority for the proposing organization.
2. The supervisor or appropriate authority reviews the policy, comments on it and forwards the proposal to the next higher level within the Division's administrative organization. This process is continued until the proposal reaches the responsible Vice President.
3. The responsible Vice President reviews the proposal and requests that a draft policy be developed by the appropriate person(s) or decides against making the proposal into a draft policy.
4. Upon completion of the draft policy, the responsible Vice President discusses the draft policy with the President's Executive Council<sup>1</sup> and, after taking into account the Council's comments, submits the draft policy to the Office of Counsel for legal review.
5. When the finalized draft policy has been approved by the Chief University Counsel, the responsible Vice President requests that the draft policy be placed on the President's Executive Council's agenda for discussion.
6. Simultaneously, the draft policy will be sent to the Faculty Senate, Staff Senate, and Student Government Association, and any other entities impacted by the policy for review. In addition to being transmitted to the several organizations, the draft policy will be posted on myUAH.
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<sup>1</sup> The President's Executive Council consists of the President, all Vice Presidents, and Chief of Staff to the President.

has been changed substantively, then a second review of the revised draft policy will be conducted following the aforementioned process. After the review is conducted and comments are received, the draft policy is finalized by the responsible Vice President. The final draft policy along with an explanation of any changes received from the reviewers and not accepted will be submitted to the President.

9. The final draft policy will be placed on the President's Policy Advisory Council<sup>2</sup> agenda for discussion. Final approval of new policies or revision of existing policies is made by the President.
10. The policy will be numbered appropriately, announced to the UAH community and posted to the UAH web site by the Senior Vice President for Finance and Administration.

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<sup>2</sup> The President's Policy Advisory Council consists of all members of the President's Executive Council plus the Presidents, or their designees, of the Faculty Senate, the Staff Senate, and the Student Government Association.

When a policy is reviewed and requires no substantive revision, the responsible Vice President will, within ninety days of the specified review date, forward a signed copy of the reviewed policy with a notation "Reviewed (date)" placed in the lower right corner of each page to the Office of Counsel for legal review. Once the policy has been reviewed and signed by the Chief University Counsel it will be forwarded to the President for review and approval. Upon approval by the President, the policy will be posted to the UAH web site by the Senior Vice President for Finance and Administration.

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**Review** The Office of the President is responsible for the review of this policy every five years (or whenever circumstances require).

**Approval**

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Chief University Counsel

Date

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Provost and Executive Vice President for Academic Affairs Date

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Senior Vice President for Administration and Finance Date

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Vice President for Advancement Date

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Vice President for Diversity Date

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Vice President for Research Date

**APPROVED:**

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President Date





<b>Topic: Policy on Policy Development and Management</b>		
<b>Administrative Division: All</b>	<b>Responsible Department:</b>	<b>Effective Date: 2/3/14</b>
<b>Supersedes and Revision History:</b>		

**Purpose:** The purpose of this policy is to further delineate authority for development and adoption of policies at the University.

**Policy Statement:** This Policy applies to all policies created by administrative divisions within The University of Alabama.

### Definitions

**Responsible Office:** Responsible Office is the university office or department that is responsible for the creation, promulgation, revision, interpretation and monitoring for adherence of the policy and related procedures.

**University Policy:** A policy or practice adopted that has broad applicability beyond the internal operating procedures of a single office, department or division. Policies created shall: ensure coordinated compliance with applicable laws and regulations, promote operational efficiencies, enhance the University's mission, be enforceable and/or reduce institutional risk.

**Administrative Divisions:** The primary administrative divisions of the University include the President's Office, Office of the Provost and Academic Affairs, Student Affairs, Financial Affairs, University Advancement, Research, Community Affairs, and Athletics.

**Divisional Policy:** A policy or practice adopted that has applicability only within a single office, department or division. Policies created shall: ensure coordinated compliance with applicable laws and regulations, promote operational efficiencies, enhance the University's mission, be enforceable and/or reduce institutional risk.

### \* **Delegation of Policy-Making Authority**

The Board of Trustees of The University of Alabama has delegated authority to the President of the University to administer campus affairs and to formulate and issue regulations and orders not inconsistent with the Bylaws, rules, policies and procedures of the Board and the Chancellor of the UA System.

The President of the University further delegates authority to the appropriate and responsible vice presidents of the administrative divisions within The University of Alabama to initiate, develop, and revise discrete categories of University Policies. Prior to implementation of a new policy or revision to an existing policy, the vice presidents should solicit input from appropriate university boards, committees, councils, or senates.

The adoption and revision of University and Divisional policies may also be initiated by appropriate university boards, committees, councils, or senates. Policies or revisions coming from these sources should be forwarded to the Provost for assignment to the appropriate vice-president.

Upon collection of input from proper groups and appropriate modifications of the policy, the draft policy should be submitted to the President and Executive Staff for review, discussion, and determination of whether the policy must be submitted to the Board of Trustees for approval. Final approval of new policies or revision of existing policies is made by the President.

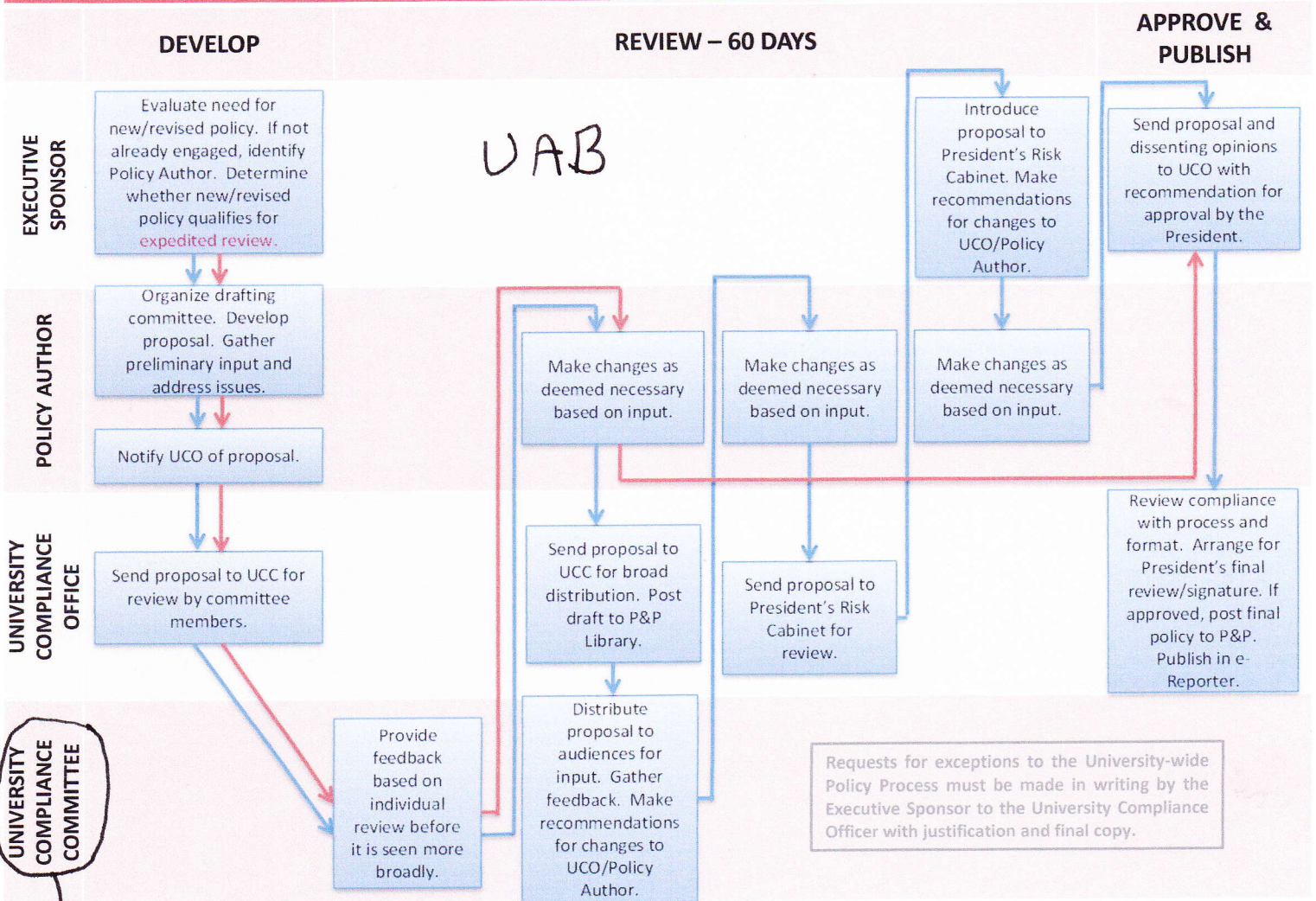
### **Responsibilities of the Vice Presidents of the Administrative Divisions**

The Offices of the Vice Presidents of the respective university divisions are the responsible offices for the following policy actions relative to their area of responsibility:

- Initiation of policies or revision to existing policies,
- Development of procedures related to the submission and evaluation (including legal review) of proposed or revised policies by the appropriate groups,
- Recommendation to President for approval or revision of policies,
- Dissemination of policies using appropriate university channels,
- Implementation of policies, and
- Monitoring for adherence of policies.

Policies created shall include an effective and revision date so that it is clear when and for how long the policy and/or any revisions have been in effect. All policies shall be reviewed and updated, if applicable, on an annual basis.

# UNIVERSITY-WIDE POLICY DEVELOPMENT PROCESS



→ Faculty Policies & Procedures Committee Chair

# UNIVERSITY-WIDE POLICY DEVELOPMENT PROCESS

## DEVELOP

## REVIEW – 60 DAYS

## APPROVE & PUBLISH

EXECUTIVE SPONSOR

Evaluate need for new/revised policy. If not already engaged, identify Policy Author. Determine whether new/revised policy qualifies for expedited review.

POLICY AUTHOR

Organize drafting committee. Develop proposal. Gather preliminary input and address issues.

Notify UCO of proposal.

UNIVERSITY COMPLIANCE OFFICE

Send proposal to UCC for review by committee members.

UNIVERSITY COMPLIANCE COMMITTEE

Provide feedback based on individual review before it is seen more broadly.

UAB

Make changes as deemed necessary based on input.

Send proposal to UCC for broad distribution. Post draft to P&P Library.

Distribute proposal to audiences for input. Gather feedback. Make recommendations for changes to UCO/Policy Author.

Make changes as deemed necessary based on input.

Send proposal to President's Risk Cabinet for review.

Make changes as deemed necessary based on input.

Introduce proposal to President's Risk Cabinet. Make recommendations for changes to UCO/Policy Author.

Send proposal and dissenting opinions to UCO with recommendation for approval by the President.

Review compliance with process and format. Arrange for President's final review/signature. If approved, post final policy to P&P. Publish in e-Reporter.

Requests for exceptions to the University-wide Policy Process must be made in writing by the Executive Sponsor to the University Compliance Officer with justification and final copy.

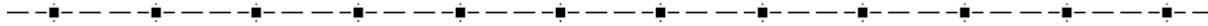
→ Faculty Policies & Procedures Committee Chair

# FACULTY SENATE MEETING SCHEDULES 2014-15

## SENATE EXECUTIVE COMMITTEE MEETINGS

Fall	Place	Spring	Place
8/21/14	SKH 369	1/15/15	SKH 369
9/18/14	SKH 369	2/5/15	SKH 369
10/23/14	SKH 369	3/5/15	SKH 369
11/13/14	SKH 369	4/9/15	SKH 369
12/18/14	SKH 369		

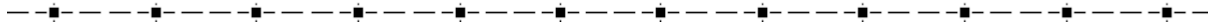
All meetings are 12:45-2:15 p.m. on Thursdays in Shelbie King Hall Room 369 unless otherwise noted.



## FACULTY SENATE MEETINGS

Fall	PLACE	Spring	PLACE
8/28/14	BAB 114	1/8/15	BAB 114
9/25/14	BAB 114	1/29/15	BAB 114
10/30/14	BAB 114	2/12/15	BAB 114
11/20/14	BAB 114	3/12/15	BAB 114
		4/16/15	BAB 114

All meetings are 12:45-2:15 p.m. on Thursdays in the Business Administration Building, Room 114.



## SUGGESTED SENATE COMMITTEE MEETINGS

Fall	Spring
9/4/14	1/22/15
10/2/14	2/19/15
11/6/14	3/19/15
12/11/14	

All meetings are 12:45-2:15 p.m. on Thursdays unless otherwise announced. The meeting place will be determined and announced by the Committee Chair. These are suggested dates and times. Other dates and times for the Committees may be determined by the Committee Members if it better fits their schedule.