FACULTY SENATE

MEETING #580 AGENDA
SST 105
THURSDAY, August 31, 2017
12:50 PM to 2:20 PM

==THIS PACKAGE CONTAINS 12 IT POLICIES. PLEASE CONSIDER BEFORE PRINTING==.

Call to Order

1. **Approve Faculty Senate Meeting #578 Minutes from April 20, 2017**

2. **Approve Faculty Senate Meeting #579 Minutes from May 4, 2017**

3. **Accept FSEC Report from August 24, 2017**

4. **Administrative Reports**

5. **Officer and Committee Reports**

    - **Bill 410: Retention and Progress to Graduation**
    - **OIT Policies**

6. **Miscellaneous/Additional business**

Adjourn

FACULTY SENATE MEETING
April 20, 2017
12:30 P.M. in NUR 101A

Present: Sophia Marinova, Laird Burns, Kevin Bao, David Stewart, David Harwell, Ryan Weber, Joseph Taylor, Irena Buksa, Christine Sears, Carolyn Sanders, Jeremy Fischer, Anne Marie Choup, Kyle Knight, Ramon Cerro, Tinting Wu, Yuri Shtessel, Earl Wells, James Swain, Kader Frendi, Babak Shotorban, Christina Carmen, Tracy Durm, Maria Steele, Qingyuan Han, Roy Magnuson, Debra Moriarity, Carmen Scholz, Harry Delugach, Tim Newman, Dongsheng Wu, Ming Sun, Vladimir Florinski, Monica Dillihunt, Shannon Mathis

Absent with Proxy: Michael Banish, Fat Ho, Amy Hunter, Shanhu Lee, Jeff Weimer

Absent without Proxy: Xuejing Xing, John Schnell, Dianhan Zheng, Casey Norris, Ann Bianchi, Marlena Primeau, Mary Bonilla

Ex-Officio: Provost Christine Curtis

Guests: President Bob Altenkirch

➢ Faculty Senate President-Elect Carmen Scholz called the meeting to order at 12:32 pm.
➢ Approval of Faculty Senate Meeting #577 minutes. Kader Frendi moves to approve. Ramon Cerro seconds. Ayes carry.
➢ Accept FSEC Report from April 13. Ramon Cerro moves to accept. Kader Frendi seconds. Ayes carry.
➢ **Meeting Review:**
   o Librarian Policy passes second and third reading.
   o IRB Policy passes second and third reading.
   o Bill 402 was tabled.
   o Bill 406 passes second and third reading.
   o Bill 407 passes second and third reading.
   o Bill 393 was tabled.

➢ **Administrative Reports**
   o President Bob Altenkirch
      ▪ Residence halls are full this fall and next fall. In order to accommodate the overflow, we entered into a lease agreement with apartment complexes. We have 209 beds. We have more request than we have beds. We have the lease agreement, the student pays us, and then we pay Sealy Management. The lease is for a year. The students generally only stay nine months. We have an obligation to fill the apartments during the summer at 75%. If the student were to go their privately, it would cost them substantially more than to go through us. We did get a break on the lease, and it is equivalent to staying at a residence hall. We have asked

students who requested to stay at an apartment if they are in need of transportation. The answer has been no.

- Harry- Are they subject to the residence hall rules?
- President – Yes, there will be residence assistant's onsite and police officers to help maintain order. We have a MOU between our police department and the Huntsville department to share communication.
- Kader – For the apartment 6.2 miles away, how will they get to campus if they don't have a car?
- President – We have asked and if it is needed, we will run a van.
- Joseph – How quickly will we build a residence hall if we are already at half capacity of the new one?
- President – I will discuss that. They all don't live on campus and all don't live at home. They are sprinkled around on their own.
- Kader – Is the on campus housing priority to freshman?
- President – Yes.
- Ramon – We are leased for a year but they only stay nine months, are we obligated?
- President – We have to fill at 75% during the summer. If we don't, we still have to pay. We don't see there to be any issues to fill at that rate during the summer.

- The purchase of executive plaza was approved at the BOT meeting. For some time to come, the only piece of property that was available to us to develop for the campus and a college town neighborhood was the executive plaza. It has been for sale for several years. The white lines represent one story office buildings. Most of them are vacant. In 2014, the owner approached us about what we would like to see over there. They came up with a plan accordingly. We met two or three times. They then defaulted on their loan. It was then bought at a foreclosure sale. Around 2016, other developers showed up and were determined to be land flippers. It became more evident that we may get sucked into this financially. That is when the Board got involved and the decision was made to approve. We purchased 58.2 acres. The asking price was $7.5M, we offered $7.1M which was accepted. One strategy to this would be to develop housing, and not take up space on campus.

- Tim – We used to own a building south of that. Have you thought of repurchasing that?
- President – Yes,
- we would like to get that back. This is Holmes Ave with a lot of houses. Over time as they come up for sale, we could purchase them. This would be a shorter term project.

- We will go through an RFP for a developer. They then market the plan to individual developers. They will want to acquire it through us and then we would lease it.

- Roy – Do you know who owns the field across from the residential area?
- Tim – I am pretty sure it is Lockheed Martin.
- Ramon – This property will have a problem similar to Holmes. Would it make more sense to move towards Jordan rather than cross Sparkman?
- President – Moving towards Jordan is part of the overall plan. Jordan consists of individual houses. Between the campus and Jordan, that is a development strip.

- Laird – is there any concern for environmental audit?
- President – If there is an environmental issue, we back out. That is why we have 120 days to due diligence.
- Debra – You mentioned a campus community development. You think this is a place to put commercial areas?
- President – If you are in Tuscaloosa at the edge of campus, there is a strip of business that is thriving.
- Kader – What is the plan to link it to the campus?
- President – The first owner we dealt with had in their plan a bicycle bridge.
- Kader – Is it possible to make that for cars?
- President – It is more expensive but you can.
    - The committee for Ray Pinners replacement is in place and the search will start soon. Ray initially was going to retire Sep 30 but has moved it up to June 30. We may need an interim between June 30 and Oct 1.
    - We have a parking committee working on parking. We are making good process. We are drawing the map. We are considering the consultant map and police map. We take into consideration the beds at residence halls and the employees per building. We should be finished with this soon. I met with the staff senate and student government, they had good ideas. They weren't enthused with hang tags; they said colleagues would pass around hang tags. We will have to consider that. We have taken the approach of keeping it simple.
        - Laird – Have you taken into consideration the demand during special events?
        - President – There will be situations when we block areas of parking. There are no special zones for event parking.
- Provost Christine Curtis
    - Commencement is May 7th. Notify Peggy if you will be there by early next week. She has parking passes for you.
    - We had a new BOT member come to campus last week. I gave him a briefing of academic affairs. I told him our goals of improving our retention. We looked last week at the retention of our freshman cohort. That is a national number we report. As of last week, we had 79% of students in the freshman cohort enrolled. The important thing is to remind our students to get registered before they leave campus. They don't have to pay until fall semester starts. It would be very helpful. Retention is important because we want the students to meet academic goals. We are also monitored on our retention rates. Incoming students look at those rates along with graduation rates. I talked with him about hiring faculty. I worked on this table Tuesday evening, and then had emails that changed the table. I didn't change it at that point. This is in flux. We have 18 assistant tenure track professors we are looking for. We have hired ten, and have six offers out. We have one associate professor hired. We have six professors we are interviewing. At this point we have eleven and a half lecturers; one is a replacement for the videographer. These lecturers are a combination of retirements, people leaving, and new ones for increase. In critical professors, we have ten. You have to realize in nursing there is a constant change over in clinical faculty. This number is in constant flux. We are constantly hiring in clinical faculty. We have two new librarians. There will be one new staff member in the COS, and that position will soon be advertised. I know a lot

of you have been involved. It is paying off. The candidates we have hired are excellent.

➢ **Officer/Committee Reports**
  o Kader Frendi, Past President
    ▪ No report.
  o Carmen Scholz, Interim Ombudsperson
    ▪ No report.
  o Tim Newman, Parliamentarian
    ▪ No report.
  o James Swain, Undergraduate Scholastic Affairs Committee Chair
    ▪ We approved 07.01.02 which is on the agenda today.
  o Earl Wells, Faculty and Student Development Committee Chair
    ▪ No report.
  o Monica Dillihunt, Governance and Operations Committee Chair
    ▪ I have nominations for President-Elect: Mike Banish and Nick Jones. We also need nominations for ombudsperson. We have none right now. They need to be voted on this week.
      • Carmen – I nominate Kader Frendi for ombudsperson.
      • Monica – We also need to do committee chairs.
      • Carmen – We need to do that today. We do have a special meeting on May 4th.
      • Monica – Those that are new starting in the fall can be committee chairs. We have a student parking appeals committee. We need two faculty senators to serve on that committee? I have one – Angela.
      • Carmen – Faculty appeals committee meets on an as needed basis. If the student one operates the same way, it won't be unless there are many reports.
        o Dr. Sanders volunteers to serve.
  o Christine Sears, Undergraduate Curriculum Committee Chair
    ▪ No report.
  o Joseph Taylor, Finance Committee Chair
    ▪ No report.
  o Carmen Scholz, President-Elect
    ▪ Librarian Policy: We are going to view the last one sent. I need a motion to approve this policy. Kader Frendi motions. Debra Moriarity seconds.
      • Tim – I have a minor thing. It starts talking about librarians then goes to non-tenure track faculty. I think it would be better if it said non-tenure tracked librarian faculty.
      • Carmen – Is that in the blue section?
      • Tim – They are in the blue and black after blue. I move that we add the word librarian. Kader Frendi seconds.
      • Tim – The senate bylaws place those three as senate representation. You don't want to put librarian titles because per bylaws they couldn't serve in a voting role.
      • Carmen – All in favor of inserting the word. Ayes carry. Now we can vote on entire policy. All in favor of policy ayes carry.
      • Joseph – Is that the final reading?

- Tim – It was unanimous and was approved on the third reading too.
  - IRB Policy:
    - James – Scroll down to A3. There is one typo in there. Change "manners" to "matters".
    - Carmen – Do I have a motion to accept the policy as amended? Debra Moriarity moves. Ramon Cerro seconds.
    - Laird – My years during Michigan State, I was trained on IRB issues. When I look at the composition of the members, I don't see where anyone has to be trained.
    - Carmen – Where would you like to have that?
    - Laird – I think if they are going to serve, they need to be trained. I don't believe it says that they have to be trained. I have to be trained as a PI, it is required.
    - Carmen – As a second point, we will add and "needs to be trained."
    - Laird – I make a motion that all members of the UAH IRB be properly trained on regulations prior to serving and voting on committee.
    - Debra – Under UAH composition, all members of the UAH IRB must have human subjects training as provided by VPRED prior to voting on the IRB.
    - Member – If I submit an application to IRB, do they have to meet and discuss?
    - Debra – There are several categories on the website. A lot of what is done is exempt from meeting. In most cases, they are handled by a subgroup of the committee or the chair. Bruce Stalsmith is the new chair.
    - Member – If I am recruiting, does the entire committee meet?
    - Debra – It depends on the protocol you are trying to get approved.
    - Member – At Vanderbilt, I could call someone and discuss it in ten minutes.
    - Tim – It is my understanding that all our IRB requests are sent to Tuscaloosa for a first reading. I called down there this morning and it was confirmed. Why is everything being sent to Tuscaloosa now? My experience with the chair is not what is being presented here. I wanted a phone call, but was told I needed to send an email. I think we need face to face discussions with these committees. Also, students submit these and aren't certain that all are even being read. I hope whatever we do, addresses these issues.
    - Provost – This is done out of the VPR office. We do not have any support staff here to support IRB. The decision was made to contract with Tuscaloosa to review the proposals. We have a chair and a GRA that the VPR pays the stipend, and I pay tuition. My understanding is the committee meets for the non-exempt. The exempt is handled at Alabama. If there are problems with the process, my suggestion is to let the VP for Economic Development know.
    - Member – I submitted a minor adjustment to a protocol sent March 7th and received approval today.
    - Carmen – Are there any changes to the policy wanting to be made?
    - Member – I want a faster process. Is it quicker to go through Alabama or a committee here? This is a lengthy process.
    - Roy – I am chair on a committee similar. One thing that makes the process difficult is the sheer volume of things coming through. A lot of this is

exempt and doesn't really need to be reviewed. In comparison to the animal committee, people have to wait a long time. If you have to go through review it is hard to get everyone together. I don't think we should be legislating this much.

- Carmen –Amendment of point eight, all in favor. Ayes carry. 1 abstains.
- Tim – I wonder if this is an oversight or intentional. It says members of colleges are appointed. Does that mean student, faculty?
- Debra – It appoints one member from the academic college. You don't want to do students or staff. It should be faculty.
- Carmen – Would you like to see it read one faculty member from each academic college?
- Ramon – Whoever wrote this was thinking about faculty.
- Carmen – I think the amendment clarifies that point.
- Carmen – Unless there is a federal requirement, I don't want to go to other universities.
- Provost – There is.
- Carmen – Can we find that to be inserted or does this need to be tabled?
- Laird – What is the standard regulation?
- Carmen – I don't think there is anything out that would prohibit us to go forward? Can I have a vote on the amendment? All in favor of amendment. Ayes carry. 1 abstains. All in favor of policy. Ayes carry. 4 abstain. This passed second and third reading.

▪ Bill 402: Motion to accept this bill. Ramon Cerro moves. Kader Frendi seconds.
- Ramon – There is no indication of how the review board should be formed. I think the review board should be indicated.
- Carmen - I believe that we have amendments to this from the physics department. In light of me knowing there are amendments, I would like to table this bill. Laird Burns moves. Roy Magnuson seconds. Ayes carry.

▪ Bill 406: This cleared the executive committee. Motion to accept. Debra Moriarity moves. Roy Magnuson seconds.
- Carmen – It says that a task force will be established and results be received by December. All in favor of bill. Ayes carry. Passed second reading unanimously.

▪ Bill 407: Roy Magnuson moves to accept. Kader Frendi seconds.
- Carmen – This is a request to look into sharing library resources among other campuses. We are asking the President to look into it. I am not sure how successful this will be. The publishers want to sell as many licenses as possible, not to share. This effort has been attempted several years ago due to that reason but we can try again.
- Ramon – Should there be clarification to what databases?
- Carmen – This is library related. I do not read this in regards to personnel information.
- Ramon – It reads all, not just librarian.
- Laird- Can we make that non-medical library databases?
- Carmen – All in favor of amendment. Ayes carry. Passes first and second reading.

- I would like for the new committees to meet with each other before the end of the meeting.
- We will take a quick look at Bill 393: Tim Newman motions to accept. Ramon Cerro seconds.
    - Tim – There is one typo in this bill as it was reported out on first reading. We changed 10th to 12th.
    - Laird – I would suggest saying it start in fall 2017. I tried to get this pushed to the last two weeks of classes.
    - Carmen – Instead of 12 weeks, you want to say?
    - Laird- I am just suggesting the last two weeks.
    - Carolyn - I am in support of that. The 12th week has a lot of important work that needs to be focused on.
    - Member – For the last line, I would prepare teaching effectiveness instead of style.
    - Member – Going back to previous change of last two week of classes, I think we would want to delete the next phrase.
    - Debra – Where is says all student evaluations will be done during class. These are still electronic?
    - Carmen – They can do that in class.
    - Debra – How would you begin to enforce that? They are either open electronically during those two weeks or not. I will not support using paper again. There was cost and machines needed. There were issues with people making up fake ones.
    - Carmen – I was told paper would never come back.
    - Ramon – If you look at the cost of other things, this is minimum compared to other expenses.
    - Debra – That is why there was an SIE committee to look at this.
    - Carmen – Paper is not coming back.
    - Christine – How are SIE's created now?
    - Carmen – They are standard questions used throughout the university.
    - Debra – The committee took all the college ones and tried to find common questions that addressed issues. There was an option for colleges to write questions for their specific college.
    - Christine – SIE's are important. I think it would be nice if we had a contracted out group to verify that the questions are fair and free of bias. I don't think every college has the opportunity to form questions on their own. If this is that important, it should be professionally created.
    - Tim – I want to point out that the bill doesn't speak to or against paper. I would like to speak in favor of paper. My participation rate was 80% with paper; they are 20-30% now. Even when I tell them we are doing them in class, the percentage is the same. We have a measurement system now that is not well measuring student evaluation of instructors. Many semesters, I am surprised of the comments. I hear from my colleagues the same. The evidence is the switch to online is a failure. If only one-third of the students are participating, that is not successful. If it cost to pay someone to scan them, it is worth the cost. I think it would be less than $100 per course. That is a drop in the bucket. If that is what it takes to get

vital information, we should spend it. We spend money for every assistant and associate, whatever it is, dean, and chair. Our university needs to put our resources where it actually matters and not hire more administrators. I think that is a false argument and we need to avoid it.

- Ramon – We have just reviewed a couple of assistant professors and in most cases the return was 4 or 5 of 30. The students who respond have an axe to grind. To put the review in the hands of those students who are getting a bad grade.
- Carmen – I am not saying I am in favor of not going back to paper, that is what I have been told.
- Tim – I am not attacking anyone in this room. I am attacking the issue that we aren't going back to paper.
- Carolyn – I support Tim and Ramon's comments. It is difficult to review faculty when the response is so low. There is an established procedure with paper. I understand economics. We are flying blind in trying to review faculty members.
- Carmen – I table this policy. I would like to introduce new committee members to committee.
- Tim – I move this bill be tabled today and brought back May 4th. All in favor. Ayes carry.

➢ Meeting adjourned at 2:10 pm.

FACULTY SENATE MEETING
May 4, 2017
12:30 P.M. in NUR 101A

➤ Faculty Senate President Mike Banish called the meeting to order at 12:30 pm.
➤ **Meeting Review:**
  o Nepotism Policy – discussion was voted to stop.
  o Bill 402 was sent to committee.
  o Bill 403 passes second and third reading.
  o Bill 408 fails.
  o Bill 409 passes second and third reading.
  o SIE Policy voted to be tabled.
  o Signature Approval Policy passed.
  o Second Bachelor Policy passes.
  o Course Forgiveness Policy passes.

➤ **Administrative Reports**
  o Provost Christine Curtis
    ▪ Commencement is May 7th.
➤ Carmen Scholz presented Mike Banish with a plaque to recognize his service as Faculty Senate President.
➤ Mike Banish, President
  o The largest group of policies is the OIT policies. Carmen and I have met with Russ Ward. They have been sent to you for comments. There is a list that has been assigned to committees that may not have gotten done, most are not controversial.
  o Nepotism Policy – This is just a rewrite of the current law and well aligns itself with SACSCOC policy.
  o CEU Reporting Policy – We did some with this at the beginning of the year and just forgot about it. It is following SACSCOC.
  o Faculty Credential Policy with Forms A & B – They are aligning under SACSCOC. Those who listen to the Provost would have heard that this is one thing that they dinged us on.
  o Second Bachelor's Degree – This is something that we have been doing. It is generic across the university.
  o Course Forgiveness policy – This has been out of committee for a while with no issues.
➤ I am going to ask if we can lump these together for approval.
  o Tim – You need a motion.
  o Ramon Cerro motions to lump policies together. Tim Newman seconds. 1 objection.
  o Roy – Some of these policies I have problems with. I think we would be better to go through them separately. I motion to separate. Debra Moriarity seconds. 7 in favor. 12 opposed. 10 abstain.
  o Mike – We will not separate.
  o Roy – Nepotism, what we do right now is we require disclosure. It is a small institution. The current policy requires disclosure and oversight. As the rewrite is written, it is written with

strict objections through the upper level. I think that it is too much. I don't think the rewrite is good.

- o Tim - I want to speak in favor to nepotism. I think this addresses complications that we need to address.
- o Roy – I would agree that the current policy requires management oversight. The rewrite is closer to an outright ban. I am sure the President doesn't want to deal with that. I think departmental oversight would be sufficient.
- o Mike – Having worked with different genres of government that is not an excuse.
- o Debra – A faculty member has a wife that is perfectly qualified to work on this. It would actually enhance the research. A situation arises where the faculty member has the money to hire this person. The current situation is they can't be their direct supervisor and evaluate them. We then work with the Dean to have another person to take on this role. It has worked out fine that way. I have been in that position. Even though they work together in the lab, I have made sure they are meeting requirements.
- o Mike – The policy just says the President has to know about it.
- o Debra – That is fine even if he has to approve it.
- o Ramon – This is defeating the purpose of putting the policies together. I motion to put off discussion. Member seconds. Ayes carry. 3 opposed. 1 abstains.

➢ Next on the list is Bill 402. It was on the agenda for last meeting. Is there a motion to introduce 402? Roy Magnusson moves. Tim Newman seconds.

- o Carmen – Unless the physics dept is here, the physics dept submitted amendments. Can you pull them up?
- o Mike – They weren't submitted by physics representatives.
- o Carmen – The email states that they were given to the representative.
- o Tim – Any member is free to introduce them at this time.
- o Carmen – Reads amendments.
- o Tim – That is a lot.
- o Ramon – That isn't an amendment that is a new bill. I recommend sending it back to committee with amendments.
- o Mike – You get the emails from me asking for people to volunteer. Usually that takes at least two emails before a response comes. Getting five faculty members on a committee is a hoop that faculty doesn't want to go through. The results of the IIDR's shouldn't be reported in our minutes.
- o Roy – I think it's well intentioned but over regulates. This bill takes a simple step in saying you have to have a review process.
- o Carmen – Even though this isn't my amendment, I agree with it. Having it state that it is conducted by a review committee should be more specific as to how many faculty members.
- o Mike – A definition of a committee on campus is the majority is faculty. Task force doesn't have to have majority.
- o Carmen – That obviously hasn't been the case in the past.
- o Christine – What is the intent of this bill?
- o Mike – Agencies will say that you can submit one proposal per campus. We have IIDR and a few other things that come through, like EPSCOR. We have had some instances where the VPR office selects who submit the proposal. Even though the OVPR says we will follow NSF procedure, reviews of the proposals are never sent out. If you didn't get it, in most cases you found out through rumor. The intent is to review the current process. This would allow the faculty member to be ensured they will know why it was accepted or not.

- o Ramon – I put together a proposal that was rejected. When I asked for the reason, I went to the OVPR's office and was given an oral justification. This was done behind closed doors and nothing in writing.
  - o Jeff – I see the amendment from physics is strengthening the review committee. The point I do not see addressed by physics is this report should be returned in a timely manner. I think the second one is a major oversight if the intent is to increase transparency. I propose this go back to committee and the language be adjusted. Tim Newman seconds. Ayes carry.
- ➢ Bill 403
  - o Roy – I am not sure we want to give away free remedial education.
  - o Mike – It isn't free. It's not meant to be good intention. This is basically for our local students who are struggling and would choose between a community college because the price is lower. My objective with this was that in five years you get a class of students that doesn't take advantage of it.
  - o Tim – I almost had a heart attack when I first read this. We have had a problem for a long time with our graduation rate and retention rate. This is a creative approach to this problem and worth the try. I would like to see it passed and have the President think about it. Maybe this helps us get closer to these targets.
  - o Debra – When we are talking about the courses they would be placed into. Would these be math courses prior to calculus? We don't have the English remedial, but only a section that can count. CHEM 101, if they have had no chemistry?
  - o Mike – This is probably more an engineering problem than any other. If you don't take CAL A your first semester, then you can't take physics and then you can't take stats or fluids.
  - o Debra – Additionally, you are talking about their semester after their freshman year? Doing the courses in the summer to catch up would require taking those offered. Some part of this would have to be tied into making sure the departments offer make up courses. Do you have any idea of how many students this would include?
  - o Mike – You would have to consider it has to be local students. I would guess 30 – 60 students.
  - o Roy – The way the bill is written, would it be possible to do this before freshman year?
  - o Mike – That bill was tabled.
  - o Debra – The summer has to pay for itself. You have to look at cost versus tuition income. You don't get to use the full tuition. Low enrollment courses get cancelled. If those start to include a large number of students who aren't paying, the budget has to be altered to pay those who are teaching.
  - o Jeff – The scope on this with regards to how long students make invoke this policy? Realizing the intent and applauding, could a student come up in the fourth year saying they are behind? Do you want to place limitations on it?
  - o Mike – It only involves a catch up for courses required for your degree. It also says that you only get two summers.
  - o Jeff – You are fine if they propose in their senior year to utilize this to catch up?
  - o Mike – If it increases our graduation rate, yes, I am good.
  - o Ramon – Why is the magical number three?
  - o Mike – Chemical Engineering is the worst. You can get behind three courses the easiest in our field.
  - o Mike – All in favor of bill. 5 opposed. Ayes carry.
  - o Tim – Moves to third reading. Carmen seconds.
  - o Mike – All in favor of third reading. 5 opposed.
  - o Tim – Motion to approve.

- o Mike – Motion of third reading. 35 in favor. 2 opposed. Passes.
- ➢ Bill 408 – This was submitted to faculty senate.
    - o Carmen – This bill was delivered unanimously.
    - o Mike – Motion to move to floor. Ramon moves. Roy seconds.
    - o Roy – I appreciate the intent. I think this bill makes worth a process of hiring much more challenging. There is nothing to keep internal candidates from applying.
    - o Mike – We are told whether we are going to have an internal or external search.
    - o Provost – The faculty handbook says the President or Provost can decide if the search is internal due to financial issues. My read of this is all searches are external with internal, only on special circumstances is it made external.
    - o Roy motions to vote. Jeff seconds.
    - o Mike – All in favor of voting. Ayes carry. All in favor of bill 408. 3 in favor. Fails.
- ➢ Bill 409 – This was given to the FSEC and passed out. Let me give you the history of this bill. The BOT specifies the tuition that each campus can charge and they are equal to one another. The BOT has been hesitant to fee increases outside of the tuition increase matrix. The online systems the campuses have are something that the BOT have not equalized tuition on. Now UAH is behind the power curve of what we get to charge versus what the other campuses charge.
    - o Provost – That statement is incorrect. Alabama is the lowest. UAB is the highest. We set ours two years ago and it has risen some due to our tuition increase. We have a graduated tuition schedule in terms of the colleges.
    - o Mike – Having said that and been corrected, I would encourage you to read it that we are asking the President to have a discussion with the board to equalize this.
    - o Jeff – I am still not sure what problem this is trying to solve.
    - o Mike – We are trying to start up an online system. We don't have an infrastructure for this. We cannot try to recoup any fees that would be associated with this.
    - o Joseph – The University had an online task force. The task force generated a report and found an organizational structure that would support this. We figured in order to support this financially we need designated online course fees. We figured a $250 online course fee, but the BOT has denied fee charges. The bill is intended to register the faculty's desire be treated equally.
    - o Mike – I want to remind everyone if a bill passes unanimously on the second reading, there is no need for third reading. I would like to call for a vote on bill 409. 3 opposed. Ayes carry. Motion to third reading. Carmen moves. Debra seconds. All in favor. 1 opposed. Ayes carry. All in favor of bill for third reading. 3 opposed. 2 abstain. Bill passes third reading.
- ➢ SIE – The issue last time was when the evaluations would take place.
    - o Debra – I thought some issue was too with them being done in class. That implies going back to paper.
    - o Tim – There was an amendment to change tenth to twelfth or thirteenth. I had some discussions with others and would like to amend it again. I would like for it to read after the midpoint of the term, but not later than the next to last class. Ramon seconds amendment.
    - o Carmen – I would amend to strike 2/3 of the semester.
    - o Debra – There is an SIE committee that has senate representative. All of the issues are being discussed along with OIRA. We have been looking at best practices. This may be counter to what our own committee is doing. We were discussing the time point in the committee.
    - o Member – It should read fall 2017.
    - o Mike – All in favor of amendment. 26 in favor. 7 opposded. 5 abstain. Amendment passes.

- o Sophia – I see two separate issues. One has to do with teaching reviews. They have to be based on more than the SIE scores. In terms of taking this back to class, there are ways to increase online participation. I see it as a multifaceted bill.
  - o Anne Marie – We went over teaching style to say teaching effectiveness.
  - o Ramon – The idea of the bill was to fix the problem that exists with SIE evaluation with poor participation from the students. One says let's go back to the old way, not specifying paper. The only way to ensure that the students will participate is doing it in class. The only ones that go back and do this outside of class are the complainers. One size doesn't fit all. The questions should be tailored to the courses. The third part, there is a tendency that we only have an evaluation done through SIE. That is wrong. There are many facets of what teaching is. What do students really know about teaching? This turns into a popularity contest. Suggest departments use other way to evaluate our teaching effectiveness.
  - o Debra – I am concerned with the third point.
  - o Christine – Given we can have different questions and not being able to avoid biased opinions. I would like to move that get rid of the second.
  - o Mike – Is there a second to that. Debra seconds.
  - o Member – Can ask for clarification on the second? Does this mean each question is catered or additional measures done?
  - o Christine – My understanding is that we can add to what the college puts out.
  - o Ramon – You think that what you use in English or other departments is what you should do in Engineering?
  - o Debra – There is a core. Nursing has 19 questions. The core is to be fairly generic then let people add.
  - o Roy – Motion to table the bill. 5 opposed. Bill is tabled.
  - o Debra – Can I suggest at the first of the fall we have the chair of SIE committee come to discuss this?
- ➢ Signature Approval Policy: Motion to bring forward. Debra motions. Mary seconds. A memo was put out last year saying you had to have two signatures on anything over $2K. Someone wasn't clear on the primary account holder that would be the person that had to initiate the transaction. The Provost rewrote the policy to make it clear that the PI or account holder is the one who has to initiate the funding request. State law and general accounting principles state that there should be two signatures.
  - o Tim – This disturbed me a bit because ledger 2 is being treated the same way as 3 and 6. I understand if there are state funds there. Ledger 3 is residual funds from a grant. Ledger 6 is a gift. Why is there a low threshold on these accounts? This doesn't apply to ledger 5 accounts.
  - o Mike- Ledger 5 has more rules than this. We don't have rules for this account. I have always had to get two signatures on a 5 account, at any amount.
  - o Provost – Any money that comes into the university is all university money, state funds. That is how we the public see it. We as employees/public officials are required to follow accounting safe guards. Mike added a sentence to this bill. If there is a dispute, if anyone who is in the position to sign refuses to sign, the dispute will follow administrative sequel.
  - o Roy – I would like to propose an amendment to change $1K to $5K.
  - o Mike – Who is familiar with state law? I am not sure that doesn't make the bill illegal in the state eyes. We will go with $5K and see what happens.
  - o Roy- Then strike the following sentence. Tim seconds. All in favor. 25 in favor. 4 opposed. 11 abstain.
  - o Sophia – Can we hear about the logic behind the $1K? I thought it was good.

- o Provost – The figure that came from the Deans was $1K.
- o Sophia – Why change it?
- o Ramon – That is the opinion of the senate and the administration.
- o Roy – At some point the definition of equipment is something costing more than $5K. In regards to residuals that would go away. We have an inability to acquire computers on federal grants and inability to get departments to pay. Having signed off on routine things seems more harm than benefit. Some level is appropriate and I think $5K is appropriate.
- o Mike – I would like to call for a vote on this policy as amended. 27 in favor. 3 opposed. 7 abstain.
- ➢ Mike – I motion to split the five policies. Roy moves. All in favor. 4 opposed.
- ➢ Mike – I would like to introduce the CEU Reporting Policy. This one has been out since August. All in favor of policy. Ayes carry.
- ➢ Faculty Credentials Policy: This specifies who can teach classes. It is a mirror of the SACSCOC requirements. We did get in a little trouble over this.
    - o Roy- I have looked at other institutions and SACS. One thing that happens is reinvent the wheel. There are occasions where you want to hire someone who doesn't have a degree or that specific credential.
    - o Provost – On the fifth page of the policy, number three, experience is listed. That is where we deal with the experience of those who don't have a degree. If you don't have the degree, you are then evaluated on experience.
    - o Member – Does this have an impact on part time? Appendix B, required documentation, is these required?
    - o Provost – Yes, they are required. They have to be in the Dean's office for part time. When they come to the onsite, we have files they go through to double check credentials. We have to fill out the faculty credential table. When they came a year ago, they can look at any individual at any time.
    - o Member – For example, we hire a lot of part time. If someone has a terminal PhD in mechanical, he also has to provide three letters of accommodation to teach for us. I think that is a lot.
    - o Mike – I am going to say we are a university that belongs to SACSCOC. We could ask the Provost and President to fight the rules to relieve it, but they are what they are.
    - o Member – I don't see it referring to part time.
    - o Provost – Let me double check. We have to have the resume and the transcripts. It doesn't come to the Provost office, it goes to the Dean. All new full time faculty have to do this.
    - o Mike – All those in favor of the faculty credential policy. 4 opposed. 5 abstain. 21 in favor.
- ➢ Tim – I would like to move second bachelor policy. Jim seconds. 14 in favor. 1 oppose. 8 abstain. Passes.
- ➢ Tim – I move adoption of course forgiveness. Jim seconds. 10 abstain. 13 in favor. 11 oppose. Passes.
- ➢ Jim Swain motions to adjourn. Ayes carry.

FACULTY SENATE EXECUTIVE MEETING
August 24, 2017
1:00 P.M. in CTC 104

Present: **Carmen Scholz, Mike Banish, Christina Carmen, Monica Dillihunt, Anne Marie Choup, Laird Burns, Tim Newman, David Stewart, David Harwell, Kader Frendi**

Guest: President Bob Altenkirch

➢ Faculty Senate President Carmen Scholz called the meeting to order at 1:04 pm.
➢ **Meeting Review:**
   o Bill 410 passed first reading.
   o OIT Policies voted to be put on the agenda for senate meeting.

➢ **Administrative Reports**
   o President Bob Altenkirch
      ▪ There is a grace period between the first day of class and the 5th of September for zone parking. Residential students are driving from class to class. Faculty/Staff are parking in designated spots. The complaints are coming from the commuters. Come September 5th, tickets will be given. We will station officers at the entrances at lots to stop illegal parkers. The plan is during that week to take data and determine what adjustments need to be made. You can see the adjustments now, residential students need to stay put. There may be a need to adjust commuter/faculty slots. The number of parking spaces is okay. You do see vacancies if you drive around.
         • Kader – The signage isn't as I expected. When I go to BAB, and turn off in the parking lot, there is nothing to designate faculty/staff. Signage isn't visible.
         • President- Signage on the parking deck was confusing as well.
         • Carmen – If you look at the faculty lot near MSB, you would think no faculty are there. Those spots are just visitor and fifteen minute spots.
         • President- The week after September 5th, there will be adjustments made.
         • Mike – I park in the back of the ENG bldg. When the other lot opens up, it won't matter.
      ▪ We heard complaints from the fitness center members so we built the lot in the back. There isn't any parking there.
         • Tim – After driving around, concrete barriers are just placed. Can we have a map showing where those are located?
         • President – Yes, we will get one posted.
      ▪ The company that manages the executive plaza, we have entered an agreement to continue managing the property. It pays for the maintenance.

- The incubator information should be coming out soon. Later, when they get to the point of extending the greenway, there will be an orange vinyl fence put up. You won't be able to walk through there. We will be placing a temporary sidewalk for students to get to the greenway.
  - Kader – That is far away from the building site.
  - Mike – CCH.
  - Carmen – That is on the other side.
  - President – Two things are being built – incubator and greenway.
- This building is slated to be renovated in December. The approval has been obtained from the board. We are going for one more step at this coming meeting. The floor plan is laid out and a space for the faculty senate has been designated. You will have to move out during the renovation
  - Laird – Is this just classrooms?
  - President – Yes, just classrooms. This will become a classroom building.
  - Carmen – Will we have to save our furniture or will it be refurnished?
  - President – We will have to find out.
  - Kader – We would like new furniture
- The other thing is health insurance. The cost for the insurance pool is projected to go up. The driver is specialty procedures and specialty drugs. This is causing an 11% increase in cost. I have Alabama's schedule like this. Their cost is going up 17.3%. This is a projection of how we capture the $1.344. It is an increase of $1,073,064 for UAH and $271,776 for employees. This is based on 24 payments. The increase for single is 1%, and the others are 10%. The reason for that is the ACA has a safe harbor. That means the least expensive program, single, that person could buy insurance on their own, and you can't charge more than a calculated value of the health care exchange. Its cost is $96/period. Salary over $1,000 is $96. We can't go over that by law.
  - Mike – Those less than $35K have no increase and we move that up to you, me, and most of us in this room? Keep it at $31.50.
  - Laird – I second.
  - President – Ok, but not in the single. We can't go above $96.
- The next few pages are a comparison of the plans at UA, the system, and UAH in regards to copays. We are trying to bring these more in line. The last page is the changes in copays over time. The reserve is getting too small and they are trying to build it up.
  - Tim – As there been any thought to change from OptimumRX? I hear some people have a lot of issues.
  - President – I don't know what the issues would be. I use it, and never have issues.
  - Tim – One is on a cancer maintenance drug. This individual has come several times expressing concern.
  - President – There is one individual within the insurance plan, for their situation, there is one or two procedures approved. They wanted a different procedure, at a very high cost. We are self-insured. We opt into a plan and bought the terms for that plan. There are no exceptions. If there is an exception, then UAH would be paying for it. We would then provide

personal service with state funds, which is illegal. HR gets request, but they are denied.
- Tim – Exits/entrances to Tech Hall. About 25% of our students have entrance there, it looks dirty. I would like to see it improved. The one off of Technology Drive is the most used. Perspective students use that entrance the most. The stairway is awful and the stairs are dirty.
  - President - I asked several days for the lawn maintenance to be taken care of.
- Tim – There are two sets of exit doors there. Something is broken on them. You can't go in, and you can't go out. It's physically barred and a very small sign is up saying "no exit". In a fire situation, we would be in a bad spot. It's the western most doors. There is a double set of doors that goes over to another lobby. Those doors are always closed now. The pins always stick and we can't open. In an emergency situation, we have an issue.
- Laird – Ben Graves Drive used to be four lanes, now two. That is very interesting to me. Why did we do that?
  - President – The center lane is for turns.
  - Laird – We decreased space.
  - President – The lane is wider for bicycles.
  - Mike – Could we strip off for bicycles around campus?
  - President- We are waiting to see if that would be necessary.
  - Mike – I think more would use bikes if we have a lane.
  - President – The bike lane on the greenway turns out to be dangerous. Bike lanes aren't always a good thing.
  - Mike – We may push that traffic off because there aren't lanes designating that.
  - Kader – The bikers still go on the sidewalk.
  - President – We didn't put the lanes in because they can't go all the way around. The thinking was it was dangerous.
  - Mike – I do agree with you on that. Maybe we should put place signs letting them know the lanes are for bikes.
- Laird – Thanks for the new sidewalk.
- President – We did buy more bicycles for Charger Cycle. We bought 43. If we bought more than 43, they had to go out for bid.   So we will buy more later. We will place more racks as well.
- Kader – Do we have numbers for fall?
  - President – The last number I saw, unofficially, was 9,169. The projection was 9,234. The difference was the persistence at the junior/senior level wasn't good. The freshmen retention was really good. If you dig deeper, the retention of out-of-state students is better than in state. Out of state have the high ACT scores and are in the scholarship matrix. So in state must be leaving due to financial reasons.
  - Mike – Undergraduate vs. Graduate?
  - President – I will have to email you those.
- Kader – I think with the numbers increasing, we will be at 10K very soon. The concern I have is the erosion of the UAH brand, the standards. We are more

concerned with getting students in and graduating them. I feel we are losing the desire of quality education.

- President – The financial environment dictates you have to bring in more revenue from the students. It is what it is; you have to deal with it. The average class size will go up.
- Kader - I feel we are watering down the standards.
- President – I don't agree with that. I went to big universities and it was fine.
- Carmen – I don't think class size would be the issue. The problem I see is a rotation of instructors. I see more trying to keep students by giving good grades. I would rather see more keep fewer and hold the standard. The last thing I want to see is our graduates leave with lower skills. Then the companies around won't want our students.
- President- You don't know that is happening.
- Kader – If you look to the future of letting everyone go through. You have grade inflation. We are lowering the bar.
- Mike- If you look at the DFW rates, we are taking without much justification Professors that have high DFW rates out. Is the instructor truly the problem or are the students not getting the idea that this is a gatekeeper class for this profession? One thing I love about the new SIE's for ENG is how many times did you try to find your professors office? Instead of moving professors out because of their DFW rate, we should research what is the cause for that rate. Historically, students who have done well, they realize they own their education. The new philosophy is we hope you get through and it won't be bad.
- Laird- There is a missing variable. I wasn't trained to teach. I see faculty who aren't good teachers. I think we are slowly investing into how to make better teachers. We are learning new techniques and tricks. This may help other faculty. We are researchers by nature, but we are teachers. I learn them and adopt them.
- Tim – I want to come back to class size. In my discipline, part of my job is to certify that they are professional. When I look around at other units with similar things - art studios, labs -I never see more than 25 students there. We are asked to teach larger sizes than that. We can't guarantee the quality of the students at that size. Some units are at a breaking point, we can't be expected to take on a 10% increase. An investment needs to be made with units that have high instruction loads. In a discipline like mine, students graduate making more than I will ever make. We have to pay equally.
- President- Financial pressures come from state money. We are lucky it didn't go down. At the last board meeting, we received a speech on him passing the increase this time, but he stated there will be a time he won't. Health insurance will go up 10% each year. There isn't any way around it. Salary increases are built in. There isn't a lot of cash flow left.
- Mike- If I look at the budget, I see that we have $55M more in income per year than we did a decade ago. If I run out the percent of departmental faculty in the same budgets, they have dropped from somewhere around 31% of the budget to 26%. Of that $55M/year, we are spending

proportionally less on faculty and more going somewhere else. Yes, where is that money really going? There is a lot of money going somewhere else.

- President- Health insurance is an example. This is $1M a year.
- Mike – I don't believe that eats all the increase.
- President – There are other factors. The pressure is going to be don't count on any increase from the state. The other pressure is looking at tuition increase is pushing 20%; they have leveled off to 4%. We can't go above 5%.
- David – What I am hearing is that there is no choice but to erode the quality of education at UAH.
- President – Eroding quality is different than increasing enrollment.
- David – They are saying we need more assistant/associate professors. You say we can't do it. We ask to keep class size small, and you say no. We say we want quality education, you say we can't do it.
- President – We need to increase revenues from tuition/fees, but not spend it at the rate we are bringing it in. When you go through the audit statement, there are two places that will sting you – depreciation and investment income.

➢ **Officer/Committee Reports**
  o President Carmen Scholz
    ▪ Nothing to report, but thank you all for serving. I am disheartened by the lack of desire from others.
  o Past President Mike Banish
    ▪ There is a new bill 410. I suggest this goes out to committee.
    ▪ I just passed out to you a history of bills back to 2015. This is all that have been presented to senate and their status. Obviously we are back to working on the faculty handbook. We missing Bill 399.
      - Carmen – I appreciate the list. This will help me update everything.
      - Tim – We think it went to committee, Bill 399.
      - Carmen – I think everything in committee needs to be reassigned.
      - Mike – I put together a list of policies.
  o Parliamentarian Tim Newman
    ▪ No Report.
  o Ombudsperson Kader Frendi
    ▪ No Report.
  o Governance and Operations Committee Chair Christina Carmen
    ▪ I was charged with looking at the faculty committees. I put this together by looking at the website. Highlighted yellow denotes confusion.
      - Mike - I talked with nurses at graduation. They are all assigned teaching during faculty senate. Maybe talk with the Dean.
      - Christina – What determines the number of members of each committee?
      - Mike – the bylaw states that you should have a representative from each college. We decided to split it up based on the work load of the committee.
      - Christina – As chairs do I need to reach out on this?
      - Mike – Yes.
      - Christina – How do I do that?
      - Monica – Email the Dean.

- Carmen – Math is the biggest issue.
- Christina – They vote on their senator August 31. MAE is voting on two additional senators tomorrow. For University committees, I emailed Peggy for an updated version.
- Laird – Is there a task force list?
- Mike – Yes.
  - Personnel Committee Chair David Stewart
    - No Report.
  - Undergraduate Curriculum Committee Chair Anne Marie Choup
    - No Report.
  - Undergraduate Scholastic Affairs Committee Chair Monica Dillihunt
    - No Report.
  - Faculty and Student Development Committee Chair David Johnson
    - No Report.
  - Finance and Resources Committee Chair Laird Burns
    - I am trying to get up to speed. Monica had started some things. I went down to our resource person to find out what a stipend is. I don't know the value of a stipend.
    - Carmen - $3,500. This task force exists because there is trouble with the faculty complaining about how money is being distributed. We want a seat at the table with this task force. The next time the Provost is at the meeting, we need to arrange you being at that table. I am working to see if we can get a better relationship with C&G.
    - Laird – Do you want to do this at the next FSEC meeting?
    - Carmen – NO, next week.
  - Approval of the agenda for meeting #580.
    - Add Bill 410.
    - Add minutes from #579.
    - Add OIT policies.
  - Carmen - I have changed time slot for this meeting. I think we have to vote on this new time.
    - Kader – Let me suggest, 12:50 – 2:20. That is the end of a class period.
    - Mike – You would rather members miss the beginning than the later.
    - Carmen – 12:50? All in favor. Ayes carry.
    - Tim – You want to present that as a suspension of rules for the year. You need 2/3 vote. We need to get our bylaws changed to sync with the new schedule. Will this schedule stick?
  - Carmen – General Guidelines. I maintain Mike's standing rules that proxies report to Lauren or me via email.
    - Tim -You can include these in your report.
  - Carmen - Policies that do not concern faculty go out to committees. I want to keep our eye on senator's presence at meetings.
    - Laird – I think we should make the Dean/Chair aware.
    - Carmen – It is a senate rule that you can't miss more than three times without a proxy. I feel this will happen again.
    - Mike – The standing rule also indicates that they are up to date on business.
    - Monica – My proxies should come to committee and senate meetings?
    - Tim – Just committee.
  - Carmen – New Bill 410.

- Tim – You present us with two choices – send to committee or pass on first reading to be on agenda for second reading. We do not have the option here to reject.
- Carmen - You have seen it. Do I hear a motion?
- Kader -I move to send it to undergraduate scholastic.
- Mike – Why?
- Kader – Let them submit changes.
- Mike – It is the same as the one administration rejected. This is just stating that the President will find money.
- Mike – I vote against going to committee.
- Kader – Do I have a second? David Stewart seconds.
- Carmen – All in favor of going to committee. Motion failed.
- Christina – Why did you want to send this out to committee?
- Kader – President declined the bill before, he will again.
- Mike – No he won't. This is what the Provost suggested it.
- Christina – What is the goal of having the committee to look at?
- Kader – Have time to tweak it.
- Monica – We have already seen this.
- Carmen – Vote on sending to full senate. All in favor. 1 abstain.
- Anne Marie – Why 3.2?
- Mike – So that we see that these students have a chance of success.
- Tim – When we discussed this in senate, wasn't there concern that some didn't qualify.
- Monica – It was a 3.2.
- Mike – 3.2 would be 4 A's, and 1 B in a full load.
- Carmen – We move this to the senate

  o Carmen - I have a question about signature approval and authority process. Now what? Administration didn't agree.
- Mike - It is a policy. We can put a bill forward or leave it alone. We wanted to achieve that the PI is the first signature on the account.
- Carmen – It was poorly written.
- Tim – If I want to go to a conference and it is $1500, and the university doesn't want to spend that money, I can't go.
- Carmen – It is now between you and your Chair.
- Mike – We could put forward a bill giving an explanation.

  o Kader – I move to extend the meeting. Laird – seconds. All in favor.
- Carmen – We accept the policy as it is.
- David Stewart – We passed a bill, they changed the bill.
- Carmen – We made a policy, they made changes.
- Laird – They aren't going to listen to arguments. If we have a reason why it isn't working, they tend to listen.
- Tim – If you are in that situation, the senate doesn't want to listen. If the President has told the Chairs not to approve. I think the background to this is people in their last year of employment. They didn't want them to spend their money.
- Carmen – You would need a grievance.
- Tim – If we didn't have this policy, I could spend the money.

  o Carmen - OIT Policies have been broken down by Mike. We have 12 of them. The OIT policies have been worked on with OIT and Mike.

- Mike – we had a lot of issues with them. The Provost agreed. These were with Russ Ward. Over the spring and summer the Provost and I sat down with Russ and Malcolm point by point. They need their own policies. Most of this stuff doesn't involve faculty. It is mainly administration. My suggestion is to put them on the webpage as updated OIT policies. We can then decide to have them discussed.
        - Carmen – You suggest putting them on the web and move them to senate?
        - Tim – I move that these 12 policies go on the agenda. Kader seconds.
        - Carmen – These policies will be on the webpage. All in favor of moving to full senate. Ayes carry.
- Motion to adjourn by Monica Dillihunt at 2:43 pm. Ayes carry.

THE UNIVERSITY OF ALABAMA IN HUNTSVILLE

DOCUMENT IMAGING AND STORAGE POLICY

-INTERIM-

Number   02.XX.1201.XX

Division   Office of Information Technology (OIT)

Date   August 2015

Purpose   The purpose of this policy is to establish standards for the storage of documents within The University of Alabama in Huntsville (UAH) Document Imaging and Storage System.

Policy   This policy establishes the practices to ensure adequate storage space, fast retrieval times, and a secure environment for any unit that wishes to utilize the Document Imaging and Storage System. Whenever possible, the central UAH Document Imaging and Storage System shall be used. Exceptions shall be documented and approved by the unit head. All university units utilizing this system will be governed by this policy.

Procedure

1.0 Training

Any unit wishing to use the Document Imaging and Storage Systems provided by OIT will be required to undergo basic training before access is granted. Examples of these systems are Banner Document Management and Xtender. Training will be provided as part of the implementation process and additionally upon request. OIT will provide retraining as necessary to ensure that staff are updated in regards to any system changes that may occur over time.

2.0 Scanners

Hardware should meet industry standards including supporting the Image and Scanner Interface Specification (ISIS) driver that compresses images after being scanned.

OIT can provide a list of recommended scanners and their specifications upon request. OIT will assist with the configuration of scanners to ensure proper setup.

2.1 Scanner Settings

The industry standard Dots per Inch (DPI) setting for scanning documents is 300 DPI which provides great resolution and a small image file.

2.1.1 Recommended Default Settings

- Black and White (Bi-tonal)
- DPI will always be 300 DPI

2.1.2 Color Scanning

Color scanning should be limited to cases where for legal or readability reasons it is required. If color scanning is necessary, the settings will be 24-bit color at either 100 or 75 DPI; 16-level gray or 256-level gray should not be used.

Settings above industry standards must first be approved by OIT.

3.0 Image

3.1 Access to Images

Access to images will be provided only through the Document Imaging and Storage System Application. Accounts for the system are maintained by OIT and will be administered in conjunction with Banner data credentials.

During the implementation process and when new staff are requested to be provided access, OIT will work with the data steward(s) to establish the application and document level security access.

Access to scanned images will only be granted upon the approval of the data steward(s).

3.2 File Size

In order to conserve storage space and ensure uninterrupted scanning, the size of the final image will be monitored via audit mechanisms. OIT will automatically resize images that exceed established limits and work with the user to adjust configurations as needed.

It may be necessary for the user to delete and rescan image(s) in situations where OIT cannot adjust the file size without compromising the integrity of the image.

4.0 Verification and Retention

4.1 Verification

It is the responsibility of the end user to verify the scanned image and retain the printed document until verified.

4.2 Retention

Documents will be stored in the most efficient way possible. OIT reserves the right to move documents to different storage media if necessary. Advance notification will be provided to users to the extent possible.

4.3 Removal of Documents

Documents are to be removed from the system when they are no longer needed. It is the responsibility of the end user to ensure that the disposal of documents adheres to applicable retention policies and laws.

5.0 Account Revocation

Failure to adhere to the established settings, repeated abuse of the system, and/or failure to act promptly on a notification may result in the temporary suspension of scanning privileges until the settings are properly configured with the assistance of OIT.

6.0 Scanner Setting Quick Guide

Setting	Resolution	DPI
Black/White	Bi-tonal	300
Color	24-bit	100
Color	24-bit	75

NOTE: Only use color setting where necessary for legal or readability reasons.

6.0 Compliance with Policy

OIT personnel may take immediate action as needed to abate ongoing interference with system or network operations, or to ensure integrity of university systems or data.

Violations that constitute a breach of the Student Conduct Code, the Faculty Handbook, the Staff Handbook, or University policy, will be referred to appropriate university authorities.
Failure to abide by this policy may result in the loss or suspension of IT privileges, claims for reimbursement of damages, disciplinary action, and/or referral to appropriate state/federal law enforcement authorities.

Violations that constitute a breach of the Student Conduct Code, the Faculty Handbook, or the Staff Handbook will be referred to appropriate authorities. OIT personnel may take immediate action as needed to abate ongoing interference with system or network operations or to ensure integrity of university systems or data.

Review The IT Investment Advisory Council UAH Cybersecurity and Policy Advisory Council is responsible for the review of this policy every three five years (or whenever circumstances require).

Approval

Chief University Counsel   Date

Provost and Executive Vice President for   Date
Academic Affairs

APPROVED:

President   Date

THE UNIVERSITY OF ALABAMA IN HUNTSVILLE

~~WORLD WIDE WEB PAGES~~WEB SERVERS AND OTHER ELECTRONIC

PUBLICATIONS

-INTERIM-

Number	02.~~XX.11~~01.XX
Division	Office of Information Technology (OIT)
Date	August 2015
Purpose	The purpose of this policy is to establish the criteria and requirements for UAH ~~World Wide Web pages~~web servers and other electronic publications.
Policy	Web pages and other electronic publications are an outward representation of The University of Alabama in Huntsville (UAH) to potential and current students, along with alumni, faculty, staff, and the community. The web pages should be of consistent design and portray accurate information to the community. Moreover, the web pages need to be secure for confidential and private information.
	This policy establishes the criteria and requirements for all UAH web pages that are hosted on UAH IT resources. This policy applies to all faculty, staff, students, researchers, or other users of information technology (IT) resources that produce, update, or maintain UAH web pages or other electronic publications.

Procedure

1.0 UAH Web pages

All web pages hosted on UAH IT resources shall be for official University business and comply with the policies and design defined by the Office of Marketing and Communications.

1.1 Departmental Web pages and Web servers

Department web pages and websites shall be hosted on the primary campus web server whenever possible. Possible exceptions to this requirement may be, but are not limited to, cases where the data presented on the web page are extremely large and

require being distributed from a separate web server. These exceptions shall be documented as required in the "Protection of Data" policy.

1.2 Individual Web Pages Hosted on UAH IT Resources

UAH Office of Information Technology (OIT) maintains a web server for individual web pages for academic purposes. This web server is not to be used for non-UAH business purposes. All uses of this web server are subject to all policies governing use of IT resources and web page design.

Accounts on the web pages server are granted to all active employees and students of UAH. Accounts and web pages are removed as documented in the "Network, Computer, and E-mail Accounts Administration" policy. It is the user's responsibility to backup all web page data before separating from UAH.

1.3 Encryption of Data

All confidential or private data shall be encrypted in transit. This includes, but is not limited to, usernames, passwords, personally identifiable information, and any data classified as private or confidential in the "Protection of Data" policy. Utilizing secure socket layer (SSL) sessions may provide the encryption.

1.4 Web Application Authentication

Websites or web pages that require user authentication shall be accessed through an encrypted session and utilize the university-wide Trusted Identity Management System wherever possible. Any exceptions shall be documented as required in the "Protection of Data" policy.

1.5 Update and Removal of Web pages

Web pages and websites shall be updated or removed, by the data owner, when the information provided is no longer current.

2.0 Electronic Publications

Electronic publications are governed by the "Protection of Data" policy and shall be disseminated in a manner consistent with the policy.

3.0 Compliance ~~and Enforcement of~~<u>with</u> **Policy**

~~————~~<u>OIT personnel may take immediate action as needed to abate ongoing interference with system or network operations, or to ensure integrity of university systems or data.</u>

<u>Violations that constitute a breach of the Student Conduct Code, the Faculty Handbook, the Staff Handbook, or University policy, will be referred to appropriate university authorities.</u>
~~Failure to abide by this policy may result in the loss or suspension of IT privileges, claims for reimbursement of damages, disciplinary action, and/or referral to appropriate state/federal law enforcement authorities.~~

~~Violations that constitute a breach of the Student Conduct Code, the Faculty Handbook, or the Staff Handbook will be referred to appropriate authorities. OIT personnel may take immediate action as needed to abate ongoing interference with system or network operations or to ensure integrity of university systems or data.~~

<u>Review</u>   The <u>IT Investment Advisory Council</u> ~~UAH Cybersecurity and Policy Advisory Council~~ is responsible for the review of this policy every ~~three~~ <u>five</u> years (or whenever circumstances require).

<u>Approval</u>

_____   _____
Chief University Counsel   Date

_____   _____
Provost and Executive Vice President for   Date
Academic Affairs

APPROVED:

_____   _____
President   Date

THE UNIVERSITY OF ALABAMA IN HUNTSVILLE

CLOUD SERVICES AND INFORMATION TECHNOLOGY PROCUREMENT

-INTERIM-

Number   02.XX.10

Division   Office of Information Technology (OIT)

Date   August 2015

Purpose   The purpose of this policy is to provide a framework for procurement of IT hardware, software, and externally hosted systems or software.

Policy   This policy establishes a framework for the procurement of information technology (IT) hardware, software, and any externally hosted systems or software for The University of Alabama in Huntsville (UAH).

UAH is committed to providing a wide range of high quality information technology (IT) services to students, faculty, and staff in support of the mission of the university. In order to provide the best, most cost-effective and secure IT resources to UAH, IT resources which exceed a one-time cost of $100,000, or which need to interface with either Banner or other enterprise data systems must be reviewed before procurement.

This policy applies to all faculty, staff, students, researchers, or other purchasers of UAH owned or OIT supported IT resources.

Procedure

1.0 Standardized IT Resources

UAH's OIT will establish and periodically update a standard set of IT resources that have been pre-approved for support and usage at UAH. This list shall be published on the OIT website and contain:
- Software licenses available to UAH
- Vendors for popular software packages
- Supported desktop computers
- Supported laptop computers
- Supported tablets

Whenever possible, IT resources shall be chosen from the pre-approved list. If it is not possible to use a pre-approved IT resource, the purchase

shall be verified through the Non-Standardized IT Resources process listed below.

2.0 Non-Standardized IT Resources

If it is not possible to purchase and utilize an IT resource from the pre-approved list, then the IT resource must be vetted by OIT to determine total cost of ownership including verifying functionality, integration, support, environmental, computing, security, and legal requirements. OIT will make every reasonable effort to support non-standardized IT resources; however, because of fiscal and staffing constraints, this support may be limited.

The IT resource review is documented below.

3.0 Resource Review

To request the review of non-standardized IT resources, complete the "IT Resource Review Form" on the OIT website at http://www.uah.edu/oit/.

3.1 IT Resource Review Process

IT resources will be reviewed, at minimum, in the following areas to determine total cost of ownership and integration with existing IT resources and infrastructure:

- Functionality: The business need will be compared to the capabilities of currently supported IT resources to determine if the need can be met through current resources. If it cannot, then a selection process will be performed to determine the best product for the required function.
- Integration: Whenever possible, new products shall integrate with core functionality, including, but not limited to, Trusted Identity Management System and Banner.
- Support Requirements: Network, staff, storage, and monetary support requirements will be reviewed to verify that UAH will be able to support the IT resource. This support may include custom code development that will require time to plan, produce, and maintain.
- Environmental Requirements: Review of the environmental requirements will include space, cooling, power, and physical security considerations.
- Computing Requirements: Processing, memory, and storage requirements will be evaluated.
- Security Requirements: IT resources will be reviewed to verify that the solution is secure in communications, authentication, and storage of

data. This includes verifying that the solution is compliant with all UAH policies and applicable regulations, such as Family Educational Rights and Privacy Act (FERPA), Health Insurance Portability and Accountability Act (HIPAA), Federal Information Security Management Act (FISMA), Payment Card Industry Data Security Standard (PCI DSS), International Traffic in Arms Regulations (ITAR), and Export Administration Regulations (EAR) regulations.
- Legal Requirements: Any IT resources that require contract must be reviewed by the Office of Counsel.
- Disaster Recovery Requirements: IT resources will be reviewed to determine criticality and redundancy requirements.

3.2 Cloud Services Review Process

In addition to the requirements for reviewing local IT resources, the following considerations must be evaluated when procuring cloud services:

- Application Programming Interface (API): APIs will be reviewed to evaluate the ability to automate tasks to interface with the cloud service. This could include user account management and data transfers from UAH systems.
- Ability to Retrieve Data: The ability to retrieve data upon termination of contract with cloud service will be evaluated.
- Uptime Requirements: The cloud service uptime shall be evaluated against the required uptime of the service. This may include times that the cloud service will be unavailable due to software updates.
- Connectivity Requirements: The connectivity requirements will be reviewed to validate that current Internet or Internet2 connections are sufficient to support the cloud service.
- Data Center Requirements: The cloud service's data center options will be reviewed to verify compliance with all regulations and best security practices. This may include, but not be limited to, data center locations, personnel with access, encryption technologies, and audit logging, backup, and disaster recovery capabilities.
- Security Requirements: The security requirements may be different for cloud based IT resources.

Review   The IT Investment Advisory Council is responsible for the review of this policy every five years (or whenever circumstances require).

Approval

_____   _____
Chief University Counsel   Date

_____   _____
Provost and Executive Vice President for   Date
Academic Affairs

APPROVED:

_____   _____
President   Date

THE UNIVERSITY OF ALABAMA IN HUNTSVILLE

WIRELESS NETWORKING AND GUEST ACCESS

-INTERIM-

Number   02.XX.09

Division   Office of Information Technology (OIT)

Date   August 2015

Purpose   The purpose of this policy is to establish the principles and
measures necessary to protect university IT resources from
unauthorized access or inappropriate usage.

Policy   This policy establishes the principles and measures to be taken to
ensure that university IT resources are protected from unauthorized
access or inappropriate usage through the medium of wireless
networking.

Wireless networking offers increased convenience for mobile users.
In order to ensure the security of university IT resources, wireless
devices that use the campus wireless network must adhere to the
same policies that govern all other information technology (IT)
resources. In addition, any wireless device on UAH's campus shall
be configured as such to reduce wireless radio interference with
UAH wireless network infrastructure, whether or not it is connected
to the UAH wireless network.

Only wireless networking technologies installed by or under the
auspices of the Office of Information Technology (OIT) are allowed
to be connected to The University of Alabama in Huntsville (UAH)
network.

Procedure

1.0 Extension of UAH Data Network

As documented in the "Appropriate Use of IT Resources" policy, the
UAH network shall not be extended by anyone other than OIT
without written approval of the UAH Chief Information Security
Officer (CISO) or one of his or her reports. This applies to both
wired and wireless extensions of the UAH network.

2.0 Wireless Network Interference

Several categories of devices use radio frequencies in the same range as wireless Ethernet; therefore, other devices that use these frequencies may disrupt wireless network communications. Such devices include cordless phones, microwave ovens, and personal network devices using Bluetooth technology. This interference can be intermittent and difficult to diagnose. OIT will work to resolve frequency conflicts, but cannot be responsible for resolving problems resulting from non-network wireless devices. If a device installed on the university's campus by an individual or unit interferes with the wireless network maintained by OIT, the owner of the device must cooperate to resolve the conflict (regardless of whether the device is or is not connected to the university network).

3.0 UAH Wireless Network Names (SSIDs)

Only wireless access points that are approved by OIT are allowed to broadcast standard university SSIDs.

4.0 UAH Guest and Conference Access

Guest accounts are governed by the "Network and Computer Accounts Administration" policy and shall adhere to guidance provided.

~~Guest~~ Event or conference access to the UAH network shall be requested through the OIT Helpdesk at least 2 weeks in advance of event to allow for review of the request and if approved, time to configure needed access. Access shall be requested by a full-time employee of the university.

Network access charges may apply to conference or guest access.

5.0 Exceptions

Requests for exceptions to this policy shall be submitted in writing to the OIT Helpdesk. OIT will review requests on a case-by-case basis as appropriate and will maintain a record of approved exceptions to this policy.

6.0 Compliance ~~to and Enforcement~~ of Policy

Review   The IT Investment Advisory Council is responsible for the review of this policy every five years (or whenever circumstances require).

Approval

_____   _____
Chief University Counsel   Date

_____   _____
Provost and Executive Vice President for   Date
Academic Affairs

APPROVED:

_____   _____
 President   Date

THE UNIVERSITY OF ALABAMA IN HUNTSVILLE

IT INCIDENT REPORTING AND BREACH NOTIFICATION

-INTERIM-

Number	02.XX.0801.XX
Division	Office of Information Technology (OIT)
Date	August 2015
Purpose	The purpose of this policy is to clearly state the processes for documenting IT incident reporting and for notification of breaches.
Policy	The University of Alabama in Huntsville (UAH) continually handles data that is designated as public, private, or confidential. Prompt and consistent reporting of electronic security incidents protects and preserves information technologies resources and institutional data and information, and aids the university's compliance with applicable laws.

This policy establishes the process for documenting incident reporting and the steps and requirements for notification of breaches. This policy applies to all faculty, staff, students, researchers, or other users of IT resources that connect to UAH networks, and/or store or transmit UAH data, regardless of ownership of the device or system, including personally owned devices or systems.

Procedure

1.0 Reporting

Immediately report to the university IT Security Incident Response Team (IT-SIRT) at it-sirt@uah.edu or (256) 824-3333 any of the following:

- Suspected or actual incidents of loss, inappropriate disclosure, or inappropriate exposure of confidential or private data, as outlined in the "Protection of Data" policy, used in the pursuit of the university's mission. The information can be in any form – printed, verbal, or electronic – including but not limited to those incidents involving the following information, systems, or processes:

- Critical information such as, but not limited to, Personally Identifiable Information (PII), credit card numbers, Social Security numbers, driver's license numbers, or bank account numbers.
- Lost or stolen mobile devices or media such as laptops, tablets, smart phones, USB drives, and flash drives.
- Viewing of information without a demonstrated need to know (e.g., snooping).

- Abnormal systematic unsuccessful attempts to compromise IT resources or data – whether in printed, verbal, or electronic form – or information systems used in the pursuit of the university's mission, such as:
  - Abnormal unsuccessful login attempts, probes, or scans.
  - Repeated attempts by unauthorized individuals to enter secured areas.
- Suspected or actual weaknesses in the safeguards protecting information – whether in printed, verbal, or electronic form – or information systems used in the pursuit of the university's mission, such as:
  - Weak authentication processes.
  - Ability to access information without proper authorization.
  - Weak physical safeguards such as locks and access controls.
  - Lack of secure transport methods.

In cases where a unit has an information security, privacy, or compliance officer, incidents should be reported to both the university IT-SIRT and the unit officer.

2.0 Financing Incident Response

Based on review with the UAH President, Tthe unit(s) experiencing the incident is/aremay be responsible for part or all monetary, staff, and other costs related to investigations, cleanup, and recovery activities resulting from the compromise, response, and recovery.

3.0 Incident Response

Upon receiving a report, the university IT-SIRT team will:

1. Ensure appropriate information and evidence is collected and logged.
2. Immediately assess initial actual or potential loss, corruption, inappropriate disclosure, inappropriate exposure, or breach of information.
3. Immediately advise and assist in containing and limiting the loss, corruption, inappropriate disclosure, inappropriate exposure, or breach.
4. Invoke incident response procedures commensurate with the situation.

5. As appropriate, assemble an IT Incident Team to advise and assist in ongoing investigation and decision-making. The nature of the incident and the type(s) of information involved will determine the composition of the Incident Team, and it typically will include the following, or their designee:

    • Chief Information Officer (CIO)
    • Chief Information Security Officer (CISO)
    • Office of Counsel
    • Provost
    • Vice President of Finance and Administration
    • Vice President or Dean for the university unit(s) involved

6. As appropriate, ensure the CIO and/or the CISO is informed of the initial situation and kept updated throughout the investigation.
7. As appropriate, ensure that executive administration is informed of the initial situation and kept updated throughout the investigation.
8. As appropriate, contact law enforcement for assistance.
9. As appropriate, consult with and/or assign a security engineer to perform forensics or other specialized technical investigation.
10. As appropriate, provide technical advice to the unit technician involved in the incident and ensure that legal, compliance, data owner, media, and executive administration advice is made available to unit administration in a timely manner.
11. Initiate steps to warn other university units or technicians if the situation has the potential to affect other university information or information systems.
12. Confirm actual or probable events from investigatory information and facilitate decision-making by the IT Incident Team.
13. In coordination with the IT Incident Team members and following internal procedures, determine if notification to individuals and/or regulatory or governmental authorities is required and/or desired, and invoke breach notification procedures commensurate with the situation.
14. Ensure appropriate university approvals are obtained prior to any notifications to individuals or regulatory and government officials.
15. Document decisions and any notifications made to individuals or regulatory and government officials.
16. Schedule a debriefing meeting with the unit and IT Incident Team after the response, to ensure appropriate corrective action in the affected unit is taken, to identify any actions that could be taken to reduce the likelihood of a future similar incident, and to improve continuously the response processes.

17. If the incident involves student data, add a notice to the involved student(s)' academic record to document the disclosure without prior consent as required by FERPA.

4.0 Compliance with Policy

OIT personnel may take immediate action as needed to abate ongoing interference with system or network operations, or to ensure integrity of university systems or data.

Violations that constitute a breach of the Student Conduct Code, the Faculty Handbook, the Staff Handbook, or University policy, will be referred to appropriate university authorities. Failure to abide by this policy may result in the loss or suspension of IT privileges, claims for reimbursement of damages, disciplinary action, and/or referral to appropriate state/federal law enforcement authorities.

Violations that constitute a breach of the Student Conduct Code, the Faculty Handbook, or the Staff Handbook will be referred to appropriate authorities. OIT personnel may take immediate action as needed to abate ongoing interference with system or network operations or to ensure integrity of university systems or data.

Review   The IT Investment Advisory Council UAH Cybersecurity and Policy Advisory Council is responsible for the review of this policy every three five years (or whenever circumstances require).

Approval

Chief University Counsel	Date

Provost and Executive Vice President for Academic Affairs	Date

APPROVED:

President   Date

THE UNIVERSITY OF ALABAMA IN HUNTSVILLE

<u>**PROTECTION OF DATA**</u>

-INTERIM-

<u>**Number**</u>	02.~~01~~.XX.<u>07</u>
<u>**Division**</u>	Office of Information Technology (OIT)
<u>**Date**</u>	August 2015
<u>**Purpose**</u>	The purpose of this policy is to define the responsibilities of users for supporting and protecting data at UAH.
<u>**Policy**</u>	This policy establishes the responsibilities of all users to support, secure, and protect data at The University of Alabama in Huntsville (UAH). UAH is responsible for properly securing its intellectual property, contracts, research and personally identifiable information. This policy evinces the responsibilities of all users in supporting and protecting the data at UAH regardless of user's affiliation or relation with UAH, and irrespective of where the data are located, utilized, or accessed. All members of the UAH community have a responsibility to protect the confidentiality, integrity, and availability of data ~~from unauthorized generation, access, modification, disclosure, transmission, or destruction~~.

This policy applies to all faculty, staff, students, researchers, or other users of information technology (IT) resources that connect to UAH networks, and/or store or transmit UAH data, regardless of ownership of the device or system, including personally owned devices or systems.

<u>**Procedure**</u>

1.0 Responsible Units

UAH functional units operating or utilizing IT resources are responsible for managing and maintaining the security of the data, IT resources, and protected information. Functional units are responsible for implementing appropriate managerial, operational, physical, and technical controls for access to, use of, transmission of, and disposal of data in compliance with this policy. This requirement is especially important for those IT resources that support or host critical business functions or protected information.

Protected information will not be disclosed except as provided by university policy and procedures, or as required by law or court order.

1.1 Data Classification

All electronic data of UAH shall be classified as public, private, or confidential according to the following categories:

- **Public data** - Public data are defined as data that any person or entity either internal or external to the university can access. The disclosure, use, or destruction of public data should have no adverse effects on the university nor carry any liability (examples of public data include readily available news and information posted on the university's website).

- **Private data** - Private data are defined as any data that derive value from not being publicly disclosed. These data include information that the university is under legal or contractual obligation to protect. The value of private data to the university and/or the custodian of such data would be destroyed or diminished if such data were improperly disclosed to others. Private data may be copied and distributed within the university only to authorized users. Private data disclosed to authorized, external users must be done in accordance with a Non-Disclosure Agreement (examples of private data include employment data).

- **Confidential data** - Confidential data are data that by law are not to be publicly disclosed. This designation is used for highly sensitive information whose access is restricted to authorized employees. For student data, the data should only be provided to the student, to which the data are attributed. The recipients of confidential data have an obligation not to reveal the contents to any individual unless that person has a valid need and authorized permission from the appropriate authority to access the data. The person revealing such confidential data must have specific authority to do so. Confidential data must not be copied without authorization from the identified custodian (examples of confidential data include data that are regulated by federal regulations such as Family Educational Rights and Privacy Act (FERPA), Health Insurance Portability and Accountability Act (HIPAA), Federal Information Security Management Act (FISMA), Payment Card Industry Data Security Standard (PCI DSS), International Traffic in Arms Regulations (ITAR), Export Administration Regulations (EAR)).

Formatted: Indent: Left: 1", No bullets or numbering

- **Research Data** - Research data are defined as: "the recorded factual material commonly accepted in the scientific community as necessary to validate research findings." (OMB Circular 110). Research data cover a broad range of types of information and privacy will vary widely depending on compliance with the particular funding agency such as(NIH, NSF) National Institutes of Health (NIH) or National Science Foundation (NSF).

-

Although some protected information, private data, and confidential data the university maintains may ultimately be determined to be "public records" subject to public disclosure, such status as public records shall not determine how the university classifies and protects data until such a determination is made. Often public records are intermingled with confidential data and protected information, so that all the information and data should be protected as confidential until it is necessary to segregate any public records.

It shall be the responsibility of the data owner to classify the data, with input from appropriate university administrative units and the Office of Counsel. However, all individuals accessing data are responsible for the protection of the data at the level determined by the data owner, or as mandated by law. Therefore, the data owner is responsible for communicating the level of classification to individuals granted access. Any data not yet classified by the data owner shall be deemed confidential. Access to data items may be further restricted by law, beyond the classification systems of UAH.

1.2 Data Access Restrictions

All data access must be authorized under the principle of least privilege, and based on minimal need. The application of this principle limits the damage that can result from accident, error, or unauthorized use. All permissions to access confidential data must be approved by the data owner or their designee, and written or electronic record of all permissions must be maintained. The approving authority for the data shall audit data access at least annually.

During data access audits, data owners will be provided a list of users with access and their access rights. The data owner must respond with appropriate changes, updates, terminations or concurrence, within 20 business days. Failure to do so will result in notification to the vice president responsible for the data owner's unit and the access rights being audited may be revoked. A written

response to the data access audit is required, even if there are no changes to the access list and/or the rights detailed in the list.

Private or confidential data shall not be provided to external parties or users without approval from the data owner. In cases where the data owner is not available, approval may be obtained by the Director or Department Head of the unit in which the data are maintained, or by an official request from a senior executive officer of the university.

When an individual who has been granted access changes responsibilities ~~of a particular unit~~, all of their access rights should be reevaluated and any access to protected data outside of the scope of their new position or status should be revoked.

When an individual who has been granted access leaves the university, all of their access rights shall be revoked at the time of termination.

1.3 Data Backup

Data that are critical to the mission of the university shall be located, or backed up, on centralized servers or other campus-wide approved backup solutions, unless otherwise authorized by the data owner of that data, or Chief Information Officer (CIO).

In the interest of securing information protected under FERPA, HIPAA, FISMA, PCI, ITAR, EAR, other state and federal legislation, university policies, and reducing the risks to the university of fines and other penalties, all users of IT resources shall follow the "Security of IT Resources" policy. IT resources required to follow the "Security of IT Resources" policy~~This~~ include~~s~~ all devices that store or transmit university data, regardless of ownership. Devices that have this potential include, but are not limited to, storage devices, including CDs/DVDs, flash drives, hard drives, external storage devices, laptops, desktops, servers, tablets, phones, and networking devices.

1.4 Data in Transit

Data that is transmitted without encryption has increased possibility of eaves dropping attacks, where an attacker may intercept the data being transmitted. Whenever possible, private and confidential data shall only be transferred through encrypted channels. This may include secure socket layer (SSL), secure shell (SSH), virtual private networks (VPN) or other encrypted sessions.

1.4 Data Encryption

IT Resources that store data classified as private or confidential shall utilize strong encryption mechanisms to maintain confidentiality of the data and greatly reduce the risk of theft or loss of IT Resources.

1.5 Destruction of Data

Once the data or IT resource is no longer needed or is being repurposed, the data shall be destroyed in a manner that guarantees that the data are not recoverable. Destruction can be done through wipe utilities or physical destruction of the storage device.

1.6 Approved Data Storage Facilities

OIT is responsible for operating IT facilities that maximize physical security, provide reasonable protections for IT systems from natural disasters, and minimize cybersecurity risks for UAH data and IT Resources.

OIT is also responsible for provisioning an evolving set of information technology infrastructure and services that meet the common, evolving needs of all units. This may include contracting for services via cloud and off-site service providers that offer desirable and secure common services of value to the UAH community.

All units of UAH will deploy and use IT resources in ways that ~~vigilantly~~ mitigate cybersecurity risks, ~~maximize~~providing physical security for IT systems, and minimize unacceptable risks to IT resources and data from natural disasters.

The primary means of reducing and mitigating cyber risks at UAH is for units to use the secure facilities, common information technology infrastructure, and services provided by OIT to the greatest extent practicable for achieving their work.

To the extent that the primary means of cyber risk mitigation is not practicable for achieving a unit's work, the unit shall formally document their role, responsibilities, and ongoing mitigation of~~vigilance to mitigate~~ cyber risks to UAH. The OIT cybersecurity team can assist with documentation for units supported by OIT.

Documentation should include approval from unit head, brief description of IT resource, purpose, timeframe needed, and justification for exception. Documentation should be provided to UAH CIO, or direct reports, to maintain record. Documentation shall be updated at least annually. If updated documentation is not submitted, or is found to be unsuitable, network access to the facility may be revoked.

1.7 Non-approved Locations for Data Storage

Storage systems that have not been approved by UAH Chief Information Security Officer (CISO), or direct reports, shall not be utilized to store data classified as private or confidential. This includes cloud-based services such as Dropbox. See the "Cloud Service and Information Technology Procurement" policy for approval process.

1.8 Storage of Data on Non-UAH Owned Systems

Data classified as private or confidential shall not be stored on non-UAH owned IT resources without approval of the data owner(s). IT resources storing this data shall be configured to secure the data properly. For further requirements see the "Security of IT Resources" policy.

2.0 Compliance with Policy

OIT personnel may take immediate action as needed to abate ongoing interference with system or network operations, or to ensure integrity of university systems or data.

Violations that constitute a breach of the Student Conduct Code, the Faculty Handbook, the Staff Handbook, or University policy, will be referred to appropriate university authorities.
Failure to abide by this policy may result in the loss or suspension of IT privileges, claims for reimbursement of damages, disciplinary action, and/or referral to appropriate state/federal law enforcement authorities.

Violations that constitute a breach of the Student Conduct Code, the Faculty Handbook, or the Staff Handbook will be referred to appropriate authorities. OIT personnel may take immediate action as needed to abate ongoing interference with system or network operations or to ensure integrity of university systems or data.

Review   The IT Investment Advisory Council~~UAH Cybersecurity and Policy Advisory Council~~ is responsible for the review of this policy every ~~three~~ five years (or whenever circumstances require).

Approval

_____   _____
Chief University Counsel   Date

_____   _____
Provost and Executive Vice President for   Date
Academic Affairs

APPROVED:

_____   _____
President   Date

THE UNIVERSITY OF ALABAMA IN HUNTSVILLE

ELECTRONIC MAIL AND OTHER ELECTRONIC COMMUNICATIONS

-INTERIM-

Number   02.XX.06~~01.XX~~

Division   Office of Information Technology (OIT)

Date   August 2015

Purpose   The purpose of this policy is to ensure the proper use of official university electronic mail (e-mail) and other electronic communications systems by its students, faculty, staff, and affiliates granted access to university electronic communication privileges.

Policy   This policy establishes the principles and rules for the proper use of UAH official e-mail and other electronic communication systems. Electronic communication is a tool provided by the university to complement traditional methods of communications and to improve education and administrative efficiency. Users are responsible for using this resource in an efficient, effective, ethical, and lawful manner, and with normal standards of professional and personal courtesy. University e-mail and other electronic communications should only be used for official university business.

Use of the university's electronic communication systems evidences the user's agreement to be bound by this policy. This policy applies to all faculty, staff, students, researchers, or other users of information technology (IT) e-mail or other electronic communications. This includes, but is not limited to, The University of Alabama in Huntsville (UAH), personal or business owned devices.

Procedure

1.0 Account Eligibility and Creation

Official e-mail addresses will follow a standard naming convention: 'ChargerID@uah.edu'

1.1 ChargerID

E-mail accounts for faculty, staff, and students are created based on the official ChargerID as reflected in Human Resources, Payroll, and Registrar records. E-mail accounts for contractors or long-term visitors are based on the official name of the individual as reflected in the official request submitted by the campus sponsor, and will follow a similar naming convention as the official ChargerIDs for faculty, staff, and students. Requests for official ChargerIDs or affiliate accounts based on name preference, middle name, nicknames, etc., cannot be accommodated. ChargerIDs will remain in the system and will not be reused at any time.

1.2 E-mail Aliases

Requests for e-mail aliases may be submitted for approval through the OIT User Services portal website. The alias should be in the form of 'firstname.lastname@uah.edu'. Other forms of vanity e-mail aliases may be considered, but only in exceptional circumstances. E-mail aliases will only take effect after the request has been reviewed and approved.

1.3 Affiliate Accounts

Full-time faculty or staff may request temporary e-mail privileges for users outside of the university. The following will be required to submit user information, rationale for the account, a desired expiration date, and sponsor information. Affiliate accounts will be subject to review and expiration, but may be renewed by sponsor when appropriate.

1.4 Entity Accounts

Full-time employees of the university may request shared entity accounts which pertain to, or are reasonably related to, an individual or group's activities associated with the university. Such accounts would require designation of a university employee as the account owner, who will administer the account in accordance with these guidelines. Entity accounts will be audited on an annual basis.

1.5 Discussion Lists and Forum Accounts

Requests for a distribution group that functions as a forum or discussion list which pertain to, or are reasonably related to, an individual or group's activities associated with the university, may be accommodated. Such accounts would require designation of a group manager, who will administer the addition, deletion, or modification of names within the account, as well as manage the account in accordance with these

guidelines. The request for such a group must originate with an active employee and is subject to approval. These accounts will be subject to review and expiration, but may be renewed by sponsor when appropriate.

Distribution groups will be able to receive mail from anywhere on the Internet, but will have no direct reply capability. The group/organization utilizing this type of group account will have to utilize their own personal mail account to respond to the originators of any mail received unless they wish to respond to the entire distribution list. These accounts will only be granted for Faculty/Staff recognized activities or organizations or Student Government Association (SGA) with approval of the faculty advisor being required for an organization recognized by the SGA.

2.0 Account Termination

See the "Network and Computer Accounts Administration" policy for account expiration and termination governance.

3.0 Privacy of Electronic Communications

Private or confidential data, including e-mail, shall not be provided to external parties or users without approval from the data owner. In cases where the data owner is not available, approval may be obtained by the Director or Department Head of the unit in which the data is maintained, or by an official request from a senior executive officer of the university or Office of Counsel.

Under certain circumstances, it may be necessary for the OIT staff or other appropriate university officials to access e-mail files to investigate security or abuse incidents or to investigate violations of this or other university policies.

Such access will be on an as needed basis, and will follow pertinent law, policies, and regulations. Any e-mail accessed will only be disclosed to those individuals with a need to know, as determined in consultation with the Office of Counsel, or as required by law.

E-mail is also subject to disclosure in response to regulatory investigations, court orders and lawfully issued subpoenas, and incident to the university's legal obligations to make certain information available to an opposing party during the legal process of discovery that precedes a trial. University employees must comply with university requests for copies of and/or access to e-mail records in their possession that pertain to the administrative business of the university or the disclosure of which is required to comply with applicable laws or other legal obligations of the university.

4.0 Acceptable Use of Electronic Communications

The university provides e-mail facilities for electronic communications that support the university's mission. All use of e-mail will be consistent with other university policies, and local, state, and federal law, including the Family Educational Rights and Privacy Act of 1974 (FERPA). When using e-mail as an official means of communication, faculty, staff, students, and affiliates should apply the same professionalism, discretion, and standards that they would use in written business communication. Furthermore, faculty, staff, students, or affiliates should not communicate anything via electronic communications they would not be prepared to say publicly. Faculty, staff, and students may not disclose personal, sensitive, or confidential university information in electronic communications that they are privileged to access because of their position at the university.

~~Use of distribution lists, 'reply all', and 'forward' features of e-mail should be carefully considered and only used for legitimate purposes, particularly if attachments are involved. The Office of Information Technology reserves the right to meter the distribution of mass e-mail to prevent performance issues that negatively impact the ability of the university to conduct official university business. In cases where e-mail messages generate a high number of responses because of the subject matter, it may be appropriate to utilize discussion lists in lieu of e-mail. Personnel are encouraged to contact OIT to discuss such issues so as to arrive at an option that best meet the needs of official university business.~~

While reasonable personal use of electronic communications is acceptable, conducting business for profit using university resources, such as official e-mail, outside the purview of existing university policies related to the professional service and allowable consultancy components of the Faculty Handbook, is prohibited. Personal use of electronic communications must not be excessive and must not distract from or delay performance of university responsibilities of the user.

4.1 Examples of Inappropriate Use

Any inappropriate e-mail, examples of which are described below and elsewhere in this policy, is prohibited. Users receiving such e-mail should immediately contact OIT.

- The creation and/or exchange/forwarding of messages which are harassing, obscene, discriminatory, or threatening.
- The unauthorized exchange of proprietary information or any other privileged, confidential, or sensitive information.

- The creation and exchange of advertisements, solicitations, chain letters and other unofficial, unsolicited e-mail.
- The creation and exchange of information in violation of any state or federal laws, including copyright laws, or university policies.
- The knowing transmission of a message containing a computer virus.
- The misrepresentation of the identity of the sender of an e-mail.
- The use or attempt to use the accounts of others without their permission.

5.0 User Responsibility

All electronic communications regarding university matters sent from an administrative office, faculty, or staff member are considered to be an official notice. Faculty, staff, students, and affiliates are expected to read e-mail on a regular basis and manage their accounts appropriately. Faculty, staff, or students who choose to use another e-mail system are responsible for receiving university-wide broadcast messages and other business-related e-mail by checking the university's official e-mail system and website. An alternate method of checking university e-mail is to utilize the 'forwarding' feature in university's official e-mail system, which can be set to forward mail to a different e-mail account. Note that when forwarding e-mail federal regulations such as Family Educational Rights and Privacy Act (FERPA), Health Insurance Portability and Accountability Act (HIPAA), Federal Information Security Management Act (FISMA), Payment Card Industry Data Security Standard (PCI DSS), International Traffic in Arms Regulations (ITAR), Export Administration Regulations (EAR), and other regulatory requirements must be followed.

Sharing of passwords is strictly prohibited. Each individual is responsible for his/her account, including the safeguarding of access to the account. All e-mail originating from an account is deemed to be authored by the account owner, and it is the responsibility of that owner to ensure compliance with these guidelines.

6.0 E-mail Retention and Backup

To the extent that they use e-mail messages as a substitute for a paper document; individuals are responsible for preserving those e-mail messages in accordance with any applicable federal, state, university or departmental records retention policies pertaining to the paper document for which the e-mail message is a substitute.

The Alabama State Records Commission has established a records disposition authority that outlines the required retention of records at public universities of Alabama. It is available at http://www.archives.state.al.us/officials/rdas/universityrda2.html.

Because of finite resources, the university has the right to restrict as necessary the amount of user space on e-mail servers provided by it, to revise retention policies with advance notice, and to purge and remove e-mail accounts in accordance with Section 2.0 Account Termination.

7.0 E-mail Backup

Official e-mail systems are backed up on a regular basis to allow recovery from a systemic loss impacting the entire e-mail system. While in some cases it may be possible to recover from the accidental deletion of e-mail by a user, this is generally not feasible. If an individual or department feels the need to perform additional backups of individual accounts, the individual/department shall be responsible for creating and maintaining such backups. E-mail stored on desktops, laptops, workstations, or mobile devices is the user's responsibility to back up.

87.0 E-mail Servers

OIT maintains the university's official e-mail system. Any entity desiring to operate an independent e-mail server does so at the discretion of OIT. If such operation is approved, the server must be registered and approved with OIT. E-mail delivery will be blocked to all non-registered systems.

The organization responsible must adhere to and be audited for compliance with security criteria established by OIT for university systems. This includes, but is not limited to, properly securing the e-mail servers and retaining a copy of all emails transmitted through the e-mail server for the period of one year for all university employee accounts.

98.0 Spam, Phishing, and Viruses

The Office of Information Technology may, at its discretion, choose to scan incoming and outgoing electronic communications for viruses, phishing attempts, and/or spam. Messages determined to be malicious may be blocked to reduce risk to the university.

The university's official e-mail system allows for individuals to configure spam and phishing scanning settings for their account.

Legitimate representatives of the university will never require you to send account access details, such as user IDs and passwords, to them via e-mail. Any message requesting such information should be considered

phishing and should be reported to the Helpdesk and discarded, without response.

1~~9~~0.0 Compliance with Policy

OIT personnel may take immediate action as needed to abate ongoing interference with system or network operations, or to ensure integrity of university systems or data.

Violations that constitute a breach of the Student Conduct Code, the Faculty Handbook, the Staff Handbook, or University policy, will be referred to appropriate university authorities.
~~Failure to abide by this policy may result in the loss or suspension of IT privileges, claims for reimbursement of damages, disciplinary action, and/or referral to appropriate state/federal law enforcement authorities.~~

~~Violations that constitute a breach of the Student Conduct Code, the Faculty Handbook, or the Staff Handbook will be referred to appropriate university authorities. OIT personnel may take immediate action as needed to abate ongoing interference with system or network operations or to ensure integrity of university systems or data.~~

Review   The IT Investment Advisory Council~~University of Alabama in Huntsville (UAH) Cybersecurity and Policy Advisory Council~~ is responsible for the review of this policy every ~~three~~ five years (or whenever circumstances require).

Approval

_____   _____
Chief University Counsel   Date

_____   _____
Provost and Executive Vice President for   Date
Academic Affairs

APPROVED:

President   Date

THE UNIVERSITY OF ALABAMA IN HUNTSVILLE

NETWORK, COMPUTER, AND E-MAIL ACCOUNT ADMINISTRATION

-INTERIM-

Number 02.XX.0501.XX

Division Office of Information Technology (OIT)

Date August 2015

Purpose The purpose of this policy is to ensure creation and management of network, computer, and e-mail accounts in accordance with industry-standard best practices.

Policy This policy establishes the criteria and practices to ensure creation and management of network, computer, and e-mail accounts in accordance with industry-standard best practices. In addition, this policy directs users, wherever possible, to utilize university-wide trusted identity management source for creation, management, and removal of accounts.

In today's world of global communications, network, computer, and e-mail accounts represent, both internally and to the outside world, an official affiliation with the university that carries with it certain obligations. Network, computer, and e-mail accounts are also essential to protect resources and data, including data protected by Family Educational Rights and Privacy Act (FERPA), Health Insurance Portability and Accountability Act (HIPAA), Federal Information Security Management Act (FISMA), Payment Card Industry Data Security Standard (PCI DSS), International Traffic in Arms Regulations (ITAR), Export Administration Regulations (EAR) and other regulatory requirements. These accounts may also represent intellectual property and/or economic interests of the university.

This policy applies to all faculty, staff, students, researchers, or other users of information technology (IT) resources that connect to The University of Alabama in Huntsville (UAH) networks, and/or store or transmit UAH data. This includes, but is not limited to, UAH, personal or business owned devices.

Procedure

1.0 University-wide Trusted Identity Management System

The university-wide trusted identity management system shall be the source for creation, management, removal of accounts and authentication of credentials, and is to be used for all UAH authentication. If it is not possible to utilize the university-wide trusted identity management system, the reasons are to be documented and approved in writing by the unit head and campus Chief Information Security Officer (CISO).

2.0 Account Eligibility

Each eligible individual obtaining an account will have a university-wide unique username assigned, built from a standard format following the university's ChargerID naming convention. All necessary steps will be taken to coordinate the assignment of ChargerID among all technical operations within the university where naming takes place.

All accounts will be directly assigned to single individuals based on eligibility rules, and those individuals will be the sole contact and have sole responsibility for all actions taken with and in that account.

All account holders will read and agree to a set of responsibilities before they gain control of their account.

Individuals may have multiple accounts assigned to them. Requests for such accounts must be reviewed and the reason for them must be consistent with activities related to UAH functions. ~~The individual to whom the accounts are assigned will be responsible for all actions taken with and in these accounts.~~

2.1 Account Authenticators

Account authenticators, such as passwords, passphrases, or multifactor authenticators are unique to individuals, and Accounts or System Administrators, supervisors, or any other agent of UAH will never ask for or require a user to give them their password for any reason. Only the account owner will know the account authenticators for accounts assigned to them. Circumstances under which Accounts or System Administrators or any other person can learn or obtain the user's account authenticators must be minimal in the extreme, and where possible initially assigned account authenticators must expire causing the user to choose a new one that only they know or have.

When passwords or passphrases are used as the sole account authenticator, the following policies shall be applied:

1. Length: All account passwords / passphrases shall be a minimum of 8 characters in length.
2. Lockout: After 6 failed login attempts accounts shall be disabled and locked out for at least 30 minutes.
3. Expiration: Passwords / passphrases shall expire every 180 days or less.
4. History: Password / passphrase history shall be kept to prevent at least the previous six (6) passwords / passphrases from re-use.
5. Complexity: Passwords / passphrases shall contain at least 1 character from three of the following ASCII character sets: lowercase alphabetic, uppercase alphabetic, number, and symbols.
6. Logging: Systems shall log successful and failed logon attempts and retain such logs for a minimum of 90 calendar days.
7. Encryption: All credential usage shall be encrypted while in transit and storage.

The user shall change the account's password / passphrase immediately, if their password / passphrase is shared or there is a concern that the password / passphrase has been compromised.

3.0 Account Name Changes

ChargerID changes will be allowed where the combinations of characters result in an objectionable name or term. Vanity username changes will not be permitted.

4.0 Account Expiration and Termination

UAH reserves the right to terminate all account privileges at any time. Termination may be required because of individuals terminating their affiliations with UAH, account abuse, legal request, or account compromise.

Individuals may leave the university to take other employment, retire, transfer to another college, or simply go on to other activities. Account benefits are reduced depending on the following roles. The normal expiration of accounts will be determined as follows:

Faculty who leave before retirement – Faculty members who leave the university before retirement may keep their e-mail account for one year from the end of the last term in which they taught. All other account privileges will be revoked at the time of separation.

Staff who leave before retirement – Staff members who leave the University before retirement will have all account privileges terminated

effective on their last work day as determined by Human Resources, unless specific arrangements are requested and approved by Human Resources.

Retired Faculty, Retired and Staff and Emeritus Faculty – Faculty and staff members retiring from the university or obtaining Emeritus status may elect to retain their UAH e-mail privileges. Upon transitioning from full-time to retired status, retired faculty and staff may be asked to sign an acceptable use agreement. For security reasons, if there is no usage for a period of one year, e-mail privileges may be terminated. All other account privileges will be revoked at the time of separation.

Adjunct Faculty – Adjunct Faculty members may maintain e-mail privileges for one academic year from the last term in which they taught. All other account privileges will be revoked at the time of separation.

Students who leave before graduation – Students who leave the university may keep their e-mail account for three terms from the last term in which they were registered. All other account privileges will be revoked at the time of separation.

Prospective students who have been given e-mail privileges – Students who have been admitted to the university, but fail to register for classes in the first term following the date of their admission, will have their account privileges terminated immediately after census date for that first term has passed.

Alumni – Alumni may retain e-mail privileges on their primary account for one year (or three terms) after graduation. Alumni will be provided an alumni account shortly after graduation for their continued use. Alumni who would like to request an account may register for e-mail privileges by going to the Alumni Website (http://www.uah.edu/alumni). All other account privileges will be revoked at the time of separation.

An employee who is terminated or a student who is expelled – Employees or students who leave the university involuntarily will have all account privileges terminated immediately upon receipt of notification by Human Resources or the Dean of Students Office respectively.

Affiliates who have been granted e-mail privileges – Contractors, long-term guests and tenants, with a university sponsor, who have been granted account privileges will have all account privileges terminated effective on their last day of affiliation with the university as indicated by their sponsor.

5.0 Guest Accounts

Accounts may be assigned to individuals not affiliated with UAH only in support of activities directly associated with UAH functions. A current full-time faculty or staff member must identify himself or herself as the sponsor or contact related to the individual's activities while they are at the university. When requesting or renewing the account, this sponsor will provide information stating their relationship to the individual, outlining the individual's affiliation/benefit to UAH, and an indication that they understand their responsibilities related to the use of the individual account.

UAH Helpdesk will make the initial determination regarding eligibility of an individual to receive a UAH account. Cases where eligibility is unclear will be passed to the campus CISO for review and approval.

UAH Helpdesk will retain all documentation related to accounts while the account is active, and for one year following the point at which the individual is no longer associated with UAH, or from the point where the organization having a group account has been dissolved.

6.0 Account Information

Extracts of student, staff, or faculty information in support of account administration activities or user directories will be taken from official university sources.

Extracts of faculty/staff or student information in support of accounts administration activities or user directories will be used only for this purpose. Secondary release of this information is not permitted without review and approval by the campus CISO, and the data owner associated with the data involved.

7.0 Compliance with Policy

OIT personnel may take immediate action as needed to abate ongoing interference with system or network operations, or to ensure integrity of university systems or data.

Violations that constitute a breach of the Student Conduct Code, the Faculty Handbook, the Staff Handbook, or University policy, will be referred to appropriate university authorities.

Review   The IT Investment Advisory Council UAH Cybersecurity and Policy Advisory Council is responsible for the review of this policy every three five years (or whenever circumstances require).

Approval

_____   _____

Chief University Counsel   Date

_____   _____

Provost and Executive Vice President for   Date
Academic Affairs

APPROVED:

_____   _____

President   Date

THE UNIVERSITY OF ALABAMA IN HUNTSVILLE

SECURITY OF IT RESOURCES

-INTERIM-

Number   02.XX.0401.XX

Division   Office of Information Technology (OIT)

Date   August 2015

Purpose   The purpose of this policy is to define the requirements and constraints to ensure the security of UAH IT resources.

Policy   This policy establishes the requirements and constraints for securing The University of Alabama in Huntsville (UAH) owned information technology (IT) resources. These resources include but are not limited to computers, servers, applications, or network devices. This policy serves to ensure that all university-owned IT resources are maintained at appropriate levels of security while at the same time not impeding the ability of users to perform assigned functions.

   This policy applies to all faculty, staff, students, researchers, or other users of IT resources that connect to the UAH networks, and/or store or transmit UAH data, regardless of ownership of the device or system, including personally owned devices or systems.

Procedure

1.0 Securing UAH IT Resources
When securing UAH IT resources, the system criticality, data classification and support, encryption and regulatory requirements shall be considered. For more guidance on data classification, refer to the "Protection of Data Policy." This policy requires different activities from individuals depending on their level of interaction with IT resources and respective roles within the university community. These roles and required activities are documented below.

1.1 Required Activities for Basic Users Without Administrative Privileges to IT Resources
(Users that do not administer any IT resources that contain UAH data.)

Formatted: Indent: Left: 0", First line: 0"

- Understand and comply with current policies, requirements, guidelines, procedures, and protocols concerning the security of the university's IT resources.
- Keep university systems and data secure by choosing strong passwords and not sharing the passwords.

- , and Utilizing screen locks, requiring passwords to unlock the system, locking the systems wwhile not physically at the systemterminal..
- Contact support provider whenever a questionable situation arises regarding the security of any UAH IT resource.
- Report all security events involving UAH IT resources following the process outlined in the "Incident Reporting and Breach Notification" policy.

1.2 Additional Required Activities for Users with Administrative Privileges to IT Resources
(Users that administer IT resources that are used by themselves only and contain UAH data.)

- Update all software packages on the system, including antivirus, anti-malware and operating system, in a timely fashion.
- Utilize the university-wide Trusted Identity Management System to provide user authentication.
- Protect the resources under control with the responsible use of secure passwords.
- Assist in the performance of remediation steps in the event of a detected vulnerability or compromise.
- Comply with industry best practices to reduce risk of system compromise.

1.3 Additional Required Activities for Local Support Providers
(Users that administer IT resources that are used by other users and contain UAH data.)

- Maintain and document a thorough understanding of the supported IT resources to be able to respond to emerging threats and to support security event mitigation efforts.
- Understand and recommend the appropriate measures to properly secure the supported IT resources, including, but not limited to the following:
    - Physical security to protect resources such as keys, doors, and/or rooms maintained to the level of security commensurate with the value of the resources stored in those locations

- Administrative security to protect resources such as:
  - Fully implementing standard central authentication and authorization technologies available through OIT.
  - Using the most recently tested and approved software patches available.
  - Implementing the most effective current security configurations.
  - Using campus supported virus protection.
  - Configuring secure passwords and elimination of default and/or well-known usernames, such as root or administrator, where feasible.
- Be mindful of potential responsibilities such as being custodians of sensitive data transmitted or stored on IT resources under their control.
- Oversee compliance with all IT security regulations under federal, state, and local law.
- Participate in and support security risk assessments of IT resources, including, but not limited to, the following:
  - The degree of sensitivity or importance of the data transmitted or stored on those resources.
  - The criticality of connection of resources to the network and a continuity plan in the event that resources must be disconnected or blocked for security reasons.
  - The vulnerability of a particular resource to be used for illegal or destructive acts.
  - The vulnerability of a particular resource to be compromised by an attacker.
  - The plan to be followed in the event of disaster for recovery.
  - The measures to be taken routinely to ensure security for each device.
- Assist UAH OIT security personnel in investigations of security issues and incidents.
- Work with the unit head, the unit IT manager, director and/or other relevant personnel to address critical security notices issued by UAH OIT security personnel.

2.0 Requirements for Systems Allowing Remote Network Access from the Internet.Accessible from Outside the UAH Network
In addition to the requirements listed above, any system that delivers a service that is accessible from outside of UAH's network shall be configured to provide a copy of the log events to OIT logging solutions.

These systems shall also have firewall restrictions, preferably host-based and network-based, that limit access to services necessary for required

functionality. These restrictions shall be based on IP address and port access requirements.

3.0 Virtual Private Networking (VPN)
To increase security, whenever possible, access to UAH IT resources shall be restricted to on campus and VPN access only. Non-VPN outside access shall only be provided when VPN access is not feasible.

4.0 Vulnerability Scanning and IT Audits
Security of IT resources will be audited through vulnerability scanning, spot checks and security audits, authorized by UAH Chief Information Security Officer (CISO).

Where vulnerabilities are discovered, appropriate action will be taken to mitigate the issue. This may require installing patches, applying mitigating settings, and/or removal from the network.

5.0 Compliance with Policy
OIT personnel may take immediate action as needed to abate ongoing interference with system or network operations, or to ensure integrity of university systems or data.

Violations that constitute a breach of the Student Conduct Code, the Faculty Handbook, the Staff Handbook, or University policy, will be referred to appropriate university authorities.

Failure to abide by this policy may result in the loss or suspension of IT privileges, claims for reimbursement of damages, disciplinary action, and/or referral to appropriate state/federal law enforcement authorities.

Violations that constitute a breach of the Student Conduct Code, the Faculty Handbook, or the Staff Handbook will be referred to appropriate university authorities. OIT personnel may take immediate action as needed to abate ongoing interference with system or network operations or to ensure integrity of university systems or data.

Review   The IT Investment Advisory Council UAH Cybersecurity and Policy Advisory Council is responsible for the review of this policy every three five years (or whenever circumstances require).

Approval

_____   _____
Chief University Counsel   Date

_____   _____
Provost and Executive Vice President for   Date
Academic Affairs

APPROVED:

_____   _____
President   Date

THE UNIVERSITY OF ALABAMA IN HUNTSVILLE

APPROPRIATE USE OF IT RESOURCES

-INTERIM-

Number   02.XX.03~~01.XX~~

Division   Office of Information Technology (OIT)

Date   August 2015

Purpose   The purpose of this policy is to establish ~~proper user~~required and prohibited activities ~~practices~~ to ensure the security and integrity of UAH IT resources.

Policy   The University of Alabama in Huntsville (UAH) is committed to providing a wide range of high quality information technology (IT) services to students, faculty, and staff, in support of the mission of the university. However, access to IT resources is a privilege, not a right, and all users must act honestly and responsibly.

This policy establishes the required and prohibited activities ~~rules and practices~~ to ensure the security and integrity of the university's IT resources as well as fair and equitable access to those resources by all the members of the university community. This policy applies to all faculty, staff, students, researchers, or other users of IT resources that connect to UAH networks, and/or store or transmit UAH data, regardless of the device used to access UAH IT resources or ownership of the device.

Procedure

1.0 Required Activities

All users of UAH IT resources as described above must:
- Be accountable for using IT resources in an ethical and lawful manner, abiding by local, state, and federal law, as well as all applicable university policies.
- Report suspicious activities or any discoveries of excessive access rights.
- Use only IT resources that authorized access has been granted.
- ~~Use only those resources for which the IT resource owner has authorized use, whether resources are at UAH or at any other location accessible through a network.~~

- Maintain individual responsibility for the safekeeping of assigned access codes, account identifiers, and passwords, and refrain from sharing these with any other party or other individuals.
- Properly identify oneself in any electronic correspondence and provide valid, traceable identification if required by applications or servers within the UAH IT resources or in establishing connections from the UAH IT resources.
- Configure IT resources to maintain security consistent with ~~Maintain adequate security posture of devices connecting to UAH IT resources as required in the~~ the "Security of IT Resources" policy.

2.0 Prohibited Activities

All users of UAH IT resources as described above must refrain from:

- Excessive and/or disruptive use of IT resources including, but not limited to, creating excessive wired or wireless network traffic, system resource usage, or any activity that diminishes the quality of IT resources for others.
- Activities that negatively impact the performance or security of the UAH network.
- Network mapping, port scanning, vulnerability scanning, or any other security testing of systems which the user does not own or administer, without prior written approval from UAH Chief Information Security Officer (CISO).
- Sharing of university accounts or passwords.
- Accessing any e-mail, files, data, or transmissions owned by others without authorization.
- Extending UAH data network either through wired or wireless means without approval from UAH CISO.
- Using UAH IT resources to conduct commercial activities, other than those authorized by the Office of Sponsored Programs, Academic Affairs Office, Office of the Vice President of Research and Economic Development or Professional and Continuing Studies.
- Any actions deemed illegal by local, state, or federal law, shall not be permitted on UAH IT resources. Such acts include, but are not limited to:
    - accessing, destruction of, or alteration of data owned by others
    - modification of computer system configuration
    - installation of unauthorized software

- interference with access to computing facilities or harassment of users of such facilities at UAH or harassment of users of such facilities elsewhere
- unauthorized disruption of UAH IT resources
- attempts to discover or alter passwords or to subvert security systems in any IT resource

3.0 Administration and Compliance

The connection of a device to the UAH network requires the registration of that IT resource with the Office of Information Technology. This registration occurs through either the use of the network client authentication or electronic form available at: https://narf.uah.edu/.

OIT personnel may take immediate action as needed to abate ongoing interference with system or network operations, or to ensure integrity of university systems or data.

Violations that constitute a breach of the Student Conduct Code, the Faculty Handbook, the Staff Handbook, or University policy, will be referred to appropriate university authorities.
OIT personnel may take immediate action as needed to abate ongoing interference with system or network operations, or to ensure integrity of university systems or data.
Failure to abide by this policy may result in the loss or suspension of IT privileges, claims for reimbursement of damages, disciplinary action, and/or referral to appropriate state/federal law enforcement authorities.

Violations that constitute a breach of the Student Conduct Code, the Faculty Handbook, or the Staff Handbook, will be referred to appropriate university authorities. OIT personnel may take immediate action as needed to abate ongoing interference with system or network operations, or to ensure integrity of university systems or data.

Review   The IT Investment Advisory Council UAH Cybersecurity and Policy Advisory Council is responsible for the review of this policy every three five years (or whenever circumstances require).

Approval

_____   _____
Chief University Counsel   Date

_____   _____
Provost and Executive Vice President for   Date
Academic Affairs

APPROVED:

_____   _____
President   Date

THE UNIVERSITY OF ALABAMA IN HUNTSVILLE

CHARTER OF UNIVERSITY IT INVESTMENT ADVISORY COUNCIL

-INTERIM-

Number   02.XX.0201.XX

Division   Office of Information Technology (OIT)

Date   August 2015

Purpose   The purpose of this policy is to establish the framework of university IT Governance.

Policy   This policy establishes The University of Alabama in Huntsville (UAH) IT Investment Advisory Council (ITIAC). The purpose of the ITIAC shall be to serve in an advisory capacity to ensure the effective and efficient use of technology in enabling the enterprise to achieve its strategy and goals within acceptable levels of risk. The ITIAC is tasked with ensuring that technology services deliver the highest academic and business value for UAH, and that expected benefits from new investments are fully realized.

The ITIAC shall work to promote better understanding, coordination, and communication within the campus community regarding the selection and deployment of technology solutions, and the prioritization of capital, operating, and human resources needed for sustainability of technology solutions for the benefit and betterment of all.

Procedure   In carrying out this role, the ITIAC shall respond to project proposals submitted to it by its own members, the university administration, university affiliates or other university staff, faculty or student members. Project proposals may take the form of hardware, software, or IT-enabled work requests; software procurement, design, development, integration, or support work requests; or system administration work requests that a) require integration with Banner or UAH's trusted identity management system; or b) exceed $100,000 in overall procurement costs over a 3-year period; or c) comprise more than 80 hours of total labor from OIT.

1.0 Membership

The ITIAC is chaired by the ~~Associate Provost~~/Chief Information Officer (CIO) and includes representation from the university population. Members of the ITIAC will be distributed as follows:

- Office of the Provost and Executive Vice President for Academic Affairs (1 member)
- Office of the President (1 member)
- Academic Deans (1 member)
- Faculty Senate (1 member)
- Office of Research and Economic Development (1 member)
- Office of Finance and Administration (1 member)
- Office of University Advancement (1 member)
- Division of Student Affairs (1 member)
- Student Government Association (1 member)
- OIT Director of Enterprise Applications (ex-officio)
- OIT Chief Information Security Officer (ex-officio)
- OIT Director of Network Services (ex-officio)

The OIT Director of Enterprise Applications, OIT Director of Network Services and OIT Chief Information Security Officer will be ex officio, non-voting members of the ITIAC. The CIO will also be an ex officio non-voting member of the ITIAC except in the case of a tied vote. In cases of tied voting, the CIO or her/his designee will cast the tie-breaking vote.

Membership will be reviewed annually, or as needed due to staffing changes.

2.0 Meetings

The ITIAC will meet ~~once each month or at least 10 times~~at least annually, at a time and location that is sensitive to work schedules. The CIO will be responsible for scheduling and the agenda for ITIAC meetings; however, floor discussions are always open at the meetings.

Special meetings of the ITIAC shall be called by the CIO in cases where urgent university projects must be addressed before the next regularly scheduled meeting is to occur.

The meeting dates, times, and agenda of the ITIAC will be published on the OIT web site. Project/work request proposals must be submitted, in writing, at least 15 business days in advance of the monthly ITIAC meeting to be considered on the agenda. The ITIAC will consider proposals and

prioritize projects to be undertaken by OIT within the footprint of existing resources and best security practices.

Review   The IT Investment Advisory Council is responsible for the review of this policy every five years (or whenever circumstances require).

Approval

_____   _____
Chief University Counsel   Date

_____   _____
Provost and Executive Vice President for   Date
Academic Affairs

APPROVED:

_____   _____
President   Date

THE UNIVERSITY OF ALABAMA IN HUNTSVILLE

CHARTER OF UNIVERSITY IT GOVERNANCE FRAMEWORK

-INTERIM-

Number   02.XX.01.~~01.XX~~

Division   Office of Information Technology (OIT)

Date   August 2015

Purpose   The purpose of this policy is to establish the charter and framework of University IT Governance.

Policy   This policy establishes the charter and framework for The University of Alabama in Huntsville (UAH) IT Governance. Leading universities use IT governance to maximize academic and business value through strategic and sustainable investment, provide for risk management via cybersecurity best practices, policies and procedures, and create dialogue and transparency around IT practices that impact the entire academic, research, and business missions of the university.

Procedure

1.0 General Framework and Definitions
The Provost and Executive Vice President for Academic Affairs and her/his delegate, the ~~Associate Provost/~~CIO, may, from time to time, create such IT Advisory Councils, ~~Committees,~~ and Task Forces as needed to ensure the effective and efficient use of technology in enabling the enterprise to achieve its strategy and goals within acceptable levels of risk. Advisory Councils are standing ~~(permanent)~~ bodies that represent a cross-section of the entire campus and provide input and advice to the CIO. An Advisory Council may also create either standing or temporary ~~Committees or~~ Task Forces to assist with the research and work of the Advisory Council.

Task Forces are temporary bodies usually comprised of experts or specialists, formed for analyzing, investigating, or solving a specific problem. A notice requiring response will be sent to the members of the standing advisory councils when a task force is established.

2.0 Standing Advisory Councils ~~and Committees~~
The initial UAH standing Advisory Councils ~~and Committees~~ within the UAH IT Governance framework are:

  IT Investment Advisory Council
  ~~IT Cybersecurity Advisory Council~~
  ~~OIT Change Management Committee~~

<u>Review</u>   The CIO is responsible for the review of this policy every ~~three~~five years (or whenever circumstances require).

<u>Approval</u>

_____   _____
Chief University Counsel   Date

_____   _____
Provost and Executive Vice President for   Date
Academic Affairs

APPROVED:

_____   _____
President   Date

Faculty Senate Bill No. 410

Retention and Progress to Graduation

Whereas UAH attains for a student retention and graduation rate of 75% or better, and

Whereas Departments and Programs have a responsibility and a right to evaluate students for proper course level placement, and

Whereas students that are required by departmental academic standards to complete coursework that may not count towards their major-degree requirement, and

Whereas students doubling up on class and enrolling for credit hours greater than that indicated by a normal program-of-study schedule are likely to cause a student to fail, fall further behind, and withdraw from UAH, **Therefore**,

Be it resolved that UAH will establish a separate scholarship fund for admitted first-time-full-time students who are required to take coursework that may not count as credit towards their major-degree. This scholarship fund will allow said student to take up to 3 courses during two summers to allow said students to catch up to a normal program-of-study schedule and that these courses will be free of tuition charges to the student. The requirement for students to utilize this program will be for them to maintain a 3.2 or greater GPA, with no grades below a B.

Be it further resolved that this separate scholarship program will be advertised on the UAH website both on the main website page and within the "Giving" section of the webpage.

Be it further resolved that the President, or his designee, will inform Civic and other such groups of the scholarship programs existence.