

# **FACULTY SENATE**

**MEETING #599 AGENDA**

**LIB 111**

**THURSDAY, August 22, 2019**

**12:50 PM to 2:20 PM**

## **Call to Order**

- 1. Approve Faculty Senate Meeting #598 Minutes from April 18, 2019**
- 2. Accept FSEC Report from August 20, 2019**
- 3. Administrative Reports**
- 4. Officer and Committee Reports**
  - Handbook Chapter 5**
- 5. Miscellaneous/Additional business**

## **Adjourn**

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

PLEASE SEND PROXIES TO LAUREN BAKER: [facsen@uah.edu](mailto:facsen@uah.edu)

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**FACULTY SENATE EXECUTIVE MEETING**

**August 20, 2019  
12:50 P.M. ENG 117**

***Present: Laird Burns, Monica Dillihunt, Jeff Weimer, Mike Banish, Tim Newman, Gang Wang, Lori Lioce, David Johnson***

***Absent: Carmen Scholz, Christina Carmen, Vladimir Florinski***

***Ex-Officio: Provost Christine Curtis***

***Guest: President Darren Dawson***

- **Faculty Senate President Mike Banish called the meeting to order at 12:55 pm.**
- **Meeting Review:**
  - **Handbook Chapter 5 was approved with edits for the Faculty Senate agenda.**
- **Administrative Reports**
  - **President Darren Dawson**
    - I want to address collaboration with the faculty senate. I have always supported the senate as a Department Head and Dean. I believe it is an important organization. It is the cornerstone of governance. It is an open avenue of communication to administration. It is important for us to leave those avenues open. We need to work together in regards to policies, spending our resources, and procedures. We have to work together to preserve our shared governance.
      - Laird – We also discussed with you some committees that weren't as active as they used to be. We are going to look at that. The President has been very supportive of these ideas.
    - President – We have put together some procedures with the committees. We will mark when they meet and receive a paragraph or two in regards to their meeting discussion. We will have a format that we will share with you on spending.
      - Tim – On shared governance, I was sitting in this chair with our last President. There was a failure with shared governance with previous administration. In 2008-2009, the President said the handbook was optional. He said he had the authority to waive or change any part at any time. That did not go over with the faculty. I advised President Altenkirch of this issue and asked him to pledge to the faculty that he wouldn't change the handbook. I want to ask you the same thing.
        - President – I would never do anything like that.
      - Tim – With President Altenkirch, he agreed to do business the way we had in the past. If there was a change, it was proposed, the senate debated, the administration would respond. We would then work until we were in agreement. Your stance?
        - President – Yes, that is how I have always worked in the past.

- Tim – The building I am in, Tech Hall, a quarter of the student have their home department in. We’ve had some issues with the building. Some have been addressed, most have not. We have instructional issues as well. The building can be difficult to teach in. The whiteboards are worn out. This has been an issue that has been brought up over five years. A statement was made in FSEC and FS, that they would be replaced in December. That was then deferred to summer. We are starting a new semester with the same boards. I think that is not a way to have instruction at the university. It is frustrating that it has been so long and not replaced.
  - Provost – I transferred money to facilities and they said they would be replaced during the summer.
- Tim – Facilities came in and said they don’t need to be replaced. SR 18/19 – 05, this pertains to Shelby Center. A number of faculty have brought up concerns in regards to that building. We have several laboratories in that building. Several are concerned about the buildings structural integrity. We passed this bill asking a study to be done. The bill asked for a full disclosure of that report. The senate never received the report. I think our faculty, especially those in that building, deserve the full report. The last issue I want to bring up is, at the highest level of the university we have over committed financially and we are behind financially. It appears in response to that we are going to have to do more with less. It seems the highest level of authority writes the check, but the faculty have to cash the check. Example would be when President Altenkirch shared \$182M investment showcased several projects. It appears that all those activities spent all the money. Months ago, Altenkirch said that if a roof comes off a building, we don’t have the money to replace it. That conveyed how tight we are financially. We are given larger classes to teach, but to hire, we are given low salary ranges. The nationwide for increases in computing is 3-5%, we run substantially behind. Most of our faculty are behind the current salary ranges.
  - President – There is no doubt that the priority has been facilities. Enrollment has grown but the academic side can’t keep pace. This university only has \$14M in deferred maintenance. The university is young and it has invested a lot into facilities. Engineering and Tech Hall need some maintenance attention. There are places worse. Funding for core academic support have not kept pace.
  - Mike – We have in this department a really high graduation retention level. About four years, we funded sophomore peer mentors. We asked to bring on two more and we were told that it couldn’t be funded. It seems to me there are some problems.
  - President – That is handled at the department level.
  - Laird – We want answers to questions from Todd. We would like to have charts developed so that we can keep a look at some of the funding.
  - President – The problem here now is for example the bonds for Morton, they are locked in. What hurt us this year, is the board did zero tuition increase. We can get charts and look at it. What we have is a revenue problem. Revenue is matching enrollment. We

have expended dedicated revenue on facilities. The reserves have been spent down on facilities. If we want to add funding for core support, we will have to add it in student fees. There is nowhere else to cut. Facilities have been the priority not the people. You have two knobs you can turn to get new monies. That is increase of state funding/tuition and fees. We do believe the state increase will come this year. I have been told the board is going to look at a tuition/fee increase. Each college will have to make a priority list. Is advising more important, GTA's, instructors, advising? Then allocate state resources. We can't turn this around in a year. It will take at least three.

- Laird – ACHE drafts some kind of budget formula. There are two parts: legislature is looking at outcome base performance. They don't necessarily look at ACHE. The other part is UAH received a smaller percentage increase than the other two institutions. Where did that come from? ACHE?
- Provost – ACHE and we followed up.
- President- The system office was taken back that ACHE had that much authority.
- Provost – The consulting firm had chosen firms that weren't our peers. We developed a list of peers close to us in research but didn't include land grants. We used NSF in terms of research. We sent this back to Persell. It was sent back to us without NSF and eliminated some peers. The list now includes eight. We are showing more dollars per FTE than they do. We have tried so far to pick out those institutions that we may be able to put on the list. Those also came back to high. They only have accepted 14,000 or less. Suzanne Simpson is looking further to see if there is any other institution with research that we haven't found before.
- Laird- We appreciate the work. I am also saying we can't forget ACHE.
- President – We have to work with the system office if they develop a new model and work with ACHE. That will only make some small difference. That won't solve our problem.
- Provost – We were next to the bottom, Auburn was on the bottom. Dr. Altenkirch went back and they said the senate had accepted ACHE. We ended up around 6.1%, Alabama arose to 8.8%. The system office really didn't go out for us either.
- President – We have to work to develop priorities among each college. We have to make a case for to cover it through fees.
- Provost – Our fees increased by \$1 this year. The issue is the library is severely underfunded. We bailed them out last year and again this year. At this point, the new money coming from the \$1 increase and \$4 increase, \$300K would go to the library. If it continues to have inflation, we will pay for existing journals. Then another \$200M for IT. Oracle demands that each person brought on is paid for. Oracle is in banner. We won't make the number of new students that we anticipated. If we paid a certain amount,

around \$200K, we could buyout of Oracle. This will decrease the amount of new money that IT needs.

- Provost Christine Curtis
  - We have to have an Academic Misconduct Policy in place for tomorrow. We took the policy we gave you and worked on it. We now have an interim policy. I will send that out so that you have the most current version. It is much clearer than it was.
  - The online working group of the Deans are making a suggestion for the online policy. It is ready to go to the VP for your review.
  - In regards to committees, we have a master spreadsheet. We are going through the final review. It should be ready to come to you soon. There is one recommendation going to the President. The policy for Student Traffic Appeals be changed. About 8% of the students appeals were approved and faculty were substantially more. The parking committee is recommending a change to have three working groups.
    - Laird – How do we ensure consistency there?
    - Provost – My experience is the students are harder on themselves than we are. There are guidelines that are reasonable.
    - Laird – Is the \$50 fine still in place?
    - Provost – It has been lowered to \$25. When parking regulations were being changed, I sent Alabama, Auburn, and UAB.
  - Tim – President Dawson, the faculty senate rejected the last Academic Misconduct Policy. I think that was poor leadership to insert that policy as interim. I think that is a failure of shared governance.
    - Provost – It was my understanding it was being sent back to committee. Also that there would be a called meeting. I didn't hear a call for
    - Tim – All of us at this table have been a part of parliamentary law. It was sent back to committee with direction. Our bylaws are very clear. There is no mystery about them. They have to go through three readings before they are passed. It was returned with direction.
    - Provost – Policy on Policy allows us to place an interim when it is necessary. The code of student conduct has been and approved/signed. It is in effect without a way for academic misconduct appeals.
    - Tim – It is stepping on the right of the senate to express. Everyone in this room knew the complaints.
    - Provost – I asked Mike and Laird if we could have a senate meeting and was told it wasn't possible. They did not object. I am sorry, Tim. I did not understand.
    - Tim – It doesn't come back to the senate. It will be in place.
    - Monica – My notes from the last FS meeting stated that we needed to change the timeline and clear up the "and" language.
    - Jeff – It was sent back to committee, it was not approved by the FS.
    - Mike – The main issue is that it was forced as a policy because the handbook has no governance because it was forced to pass. The issue is after looking at other institutions, this is totally different than how they operate. It puts us out on a limb on how we operate with student governance. If you see how they lay out misconduct, how it is handled, the timeline. We have a severe disruption of that. This questions if they gave

their agreement to put policy in place that were necessary until a better version was approved. There was nothing that the FSEC saw that the policy should be moved forward. I didn't receive quorum for any meeting to discuss this. It was clear that we did not see that the policy should have been moved forward without going back to committee. There was no reason for the other policy to stay in place.

- Jeff – Protocols were not followed. I would suggest that we step forward and see how quickly we can get another policy in place. If it is in committee, how quickly can it be presented to the senate?
- Monica – From emails in May, there are other issues that were presented.
- Jeff – Can it be ready in a month?
- Monica – I think we need to see the interim.
- Lori – I think the FSEC needs to at least be looking at it. Committees aren't in place and operating. That would answer how quickly we can go through the process.
- Mike – I think we need to go back to the old policy until we can get another one in place.
- Provost – Remember, this started with faculty and student committee. It went to SGA and scholastic affairs committee. It was sent to Deans, Associate Deans, and Chairs. It came to the senate. It wasn't done administratively.
- Mike – I can't say what our Dean did. Until it came before us in FSEC, I never heard of it.

➤ **Officer/Committee Reports**

○ Mike Banish, President

- I am concerned about an assault that happened a month ago in Tech Hall. I did receive the link to WAFF48 news link from faculty after Huntsville community members asked me what happened. I have heard more since the incident happened. I am understanding that the faculty member handled it exactly how they should have. UAH did not release a statement stating we handled it exactly how they should have. We have to get ahead of these things.
  - President – If the Chief decides to not issue an alert, there is no procedure to follow up. If there is an alert, after the even has transpired, there will be a statement released from the university.
  - Mike – I have been here over 30 years. When I first came, we were a hard working center. I knew every police officer and they knew me. They walked through the buildings. Now, when we come here on the weekends, we have the outer door locked because we haven't seen a policeman in the building in a decade. They are great at giving parking tickets. As far as interacting with faculty and the institution, that has to change. Back to income, why can't I buy to hang down tags?
  - Provost – I have no idea?
  - Mike – Can we have an answer by Thursday?
  - Jeff – When they were introduced, there was some reason.
- Laird and I have met with President and Provost twice this summer. We discussed the UAH committee structure. We addressed if they are elected properly. Christine, anything that you may send to Laird, you send to Tim and myself.

- I did make budget charts. I looked at budget book numbers. I normalized everything from 2009 and how we are spending our money. There are a series of charts on how we are spending. Our income has increased by \$76M from 2009.
- Laird Burns, President-Elect
  - We have figured out the schedule for the fall.
  - Tim, when we did the standing rules last year, do I bring that up Thursday?
    - Tim – Yes, in your report.
- Tim Newman, Parliamentarian
  - No report.
- Lori Lioce, Governance and Operations Committee Chair
  - I would like the agenda to include bylaws. We need to meet with committees.
- Gang Wang, Undergraduate Curriculum Committee Chair
  - We approved close to 100 course forms. I have two left that I need response on so that I can pass to new chair. It was a pleasure to work with the Provost Office and committee members.
  - Mike – You have a big committee job and we appreciate it.
- Jeff Weimer, Finance and Resource Committee Chair
  - RCEU is coming up. More information will come at the meeting Thursday.
- Monica Dillihunt, Undergraduate Scholastic Affairs Committee Chair
  - I am sending the link to the policy and the policy that the Provost just sent.
- David Johnson, Faculty and Student Development Committee Chair
  - No report.
- **Agenda for Thursday**
  - Tim - Minutes, page five, my statement, line 6 – “was there under the old process.” Page 6, motion to refer, “for revisions consistent with senate discussion.”
- **Chapter 5 –**
  - Mike – I took some comments from you and made some revisions. Are there any comments on this?
  - Tim – I have a question in 5.2. We had a discussion on the written report issue. The language that the senate stuck with said that the VPR would produce a written annual report. In 2018, that was gone. In this version, it just states written report with no time. We thought that the report be written and annual. Why was that struck?
  - Mike – I think that was Carmen’s comment. Maybe we add “provides a minimum of annual reports.”
  - Provost – They meet quarterly.
  - Mike – Do we want them to meet at least monthly? It does say that here, do we want it to say three times a year.
  - Lori – We can’t dictate when they meet.
  - Mike – We can do that with the handbook.
  - Lori – That isn’t a way to grow a community by telling them to meet once a month with a report.
  - Mike – It used to be that way.
  - Laird – We are dictating the time and we want posted reports, correct?
  - Provost – Is the FS President on the council? The Deans are on it, I am there, and center directors.
  - Laird – Two representations are there from the senate.
  - Tim – Here is the background on this. The handbook has had that statement in there for several versions. In January 2018 it was there, in November 2018 it came back revised. The

replacement said they would meet two times in the academic year. I think it is appropriate for it to be there.

- Lori – I think a minimum is fine.
  - Mike – They are very valuable. There is a lot of opportunity to work together.
  - Tim – I would like to move adoption of Chapter 5 as presented. Monica seconds. All in favor. Ayes carry.
  - Mike - I would like to propose the amendment, “who provides a minimum of an annual written report.” Jeff seconds. Ayes carry.
  - David - In section 5.5, the last sentence, report should be plural. I move that correction. Monica seconds. All in favor. Ayes carry.
  - David – 5.1, a coma needs to be removed. I move this correction.
  - Laird – Moves for five more minutes. Tim seconds. Ayes carry.
  - Mike – All in favor of Chapter 5 as amended for agenda Thursday. Ayes carry.
  - Mike – I do want to thank you all and wish you the best of an academic year.
- Meeting adjourned at 2:28.



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**FACULTY SENATE MEETING**

**April 18, 2019**

**12:50 P.M. SST 103**

***Present: Kevin Bao, Sophia Marinova, Chris Allport, Milton Shen, Amy Guerin, David Johnson, Joe Conway, Andrei Gandila, Melody Ng, Deborah Heikes, Shuang Zhao, Christina Steidl, Mike Banish, Yu Lei, Seong-Moo Yoo, Gabe Xu, Gang Wang, Christina Carmen, Angela Hollingsworth, Ron Bolen, Lori Lioce, Carmen Scholz, Harry Delugach, Tim Newman, SS Ravindran, Seyed Sadeghi, Vladimir Florinski, Paul Whitehead, Ron Schwertfeger, Jeff Weimer, Laird Burns, Dilcu Barnes, Elizabeth Barnby, Katherine Morrison, Jennifer Palmer, Monica Dillihunt***

***Absent with Proxy: Holly Jones, Sherri Messimer, Francis Wessling, David Stewart, Fat Ho, Robert McFeeters***

***Absent without Proxy: Jeff Neuschatz, Kirolos Harleem, Earl Wells, Robert Griffin, Thomas Sever, Eric Mendenhall***

***Ex-Officio: Provost Christine Curtis***

***Guest: President Bob Altenkirch***

- Faculty Senate President Mike Banish called the meeting to order at 12:52 pm.
- **Meeting Review:**
  - **Academic Misconduct Policy voted to return to committee.**
- **Approve FS meeting minutes from March. Laird Burns moves. Monica Dillihunt seconds. All in favor. Ayes carry. 1 abstains.**
- **Accept the special FSEC from April. Monica Dillihunt moves. Carmen Scholz seconds. All in favor. Ayes carry.**
- **Administrative Reports**
  - **President Bob Altenkirch**
    - I don't know how many attended the board meeting and saw the Executive Plaza master plan. It is on the website. There is a bridge starting at Morton Hall coming across Sparkman. Most of these districts have a main street. There is a pedestrian spine along the main street. This is the planner's concept of the various facilities. Student housing will be in the middle sitting on top of retail. The multipurpose facility is part of the master plan but on the east side of the map. There are some university type office buildings, office buildings, housing facilities. The bridge comes in on the second floor. The multipurpose facility and fine arts facility is for university and community use. The idea is to provide amenities that don't exist right now. There isn't anything around us. The idea is to generate an environment that will draw people in. Most universities have something like this.
      - Mike – The events center, will it be large enough to hold graduations?

- President – You will have to have multiple graduations. This is to fit requirements of local event planners, hockey, and the fine arts building will hold the Huntsville Symphony.
- Carmen – How is the ownership organized? If the community can use it, who will pay whom rent?
- President – That has to be worked out in the agreement. A private developer builds it, and we use it. When we don't use it, the developer would bring events in to make money. They make a profit and pay off loans. Every joint venture is different.
- Member – When will the performing arts venue be available?
- President – These projects are usually a decade long venture. It happens in phases.
- Harry – Are these pictures artist renditions'? Or have they come from architectures?
- President – The drawings are by artist, but the footprint is by architects.
- Harry – The joint venture designers are free to pick their designs?
- President – No, they aren't free. UA had very tight control over design and placement. You don't want to turn it over.
- Harry – When we are looking at a 1-2% raise, we are concerned about the investment this consumes. It's hard to believe we won't invest and where is the money coming from?
- President – The student housing or residential housing may come from university money but it's in and out. That could be the housing approach. The rest has to come from private money. I told the planners we aren't putting money into that. As Huntsville grows, they will see opportunity to make money. There isn't anything around us and we have a captive audience with nowhere to go. Analysis will show if it is a go or not. The campus master plan shows a footprint plan of the multipurpose facility.
- Laird – As the facility size changed with the move? How many graduations would have to be planned?
- President – We would probably have to have four graduations to accommodate.
- Tim – What is your plan for the development of a park and the roadways? Will that be our money?
- President – We have discussed all this with the city. They have discussed it with the planning team. They are willing to put resources in. This generates tax dollars. They get revenue from it. I would think we would want them to put in the bridge and the two parks. Then possibly make an annual payment to us to use for any cost. They get that money back in taxes.
- Tim – Would this be eligible for it to be a TIF?
- President – Yes, it is possible.
- Mike asked me to say something about the legislation in regards to funding. ACHE put together a set of peers for each state institution. We didn't get to put any input in. They collected a lot of data and didn't use all of it. They calculated state dollars for FTE. If you were more than 90% away from the average, you received some increase in funding besides 5%. Everyone started at a 5% increase. When I look at the listing top to bottom, I would turn it upside down. We are working to get some

adjustments to it. Our percentage is 5.4%. Institutions with the most economic impact are at the bottom. If you look at the set of peers, one statistic is research expenditures to instructional expenditures. Our average is 1.1. The way you fix that is to reduce research expenditures or increase instructional expenditures. Their analysis is somewhat off to me.

- Jeff – Is this available for our viewing?
- President – Is it on the ACHE website?
- Provost – I honestly don't know.
- Laird – They value teaching skills more than research?
- President – It appears that way.
- Carmen – The schools on the bottom, are they addressing ACHE?
- President- They have given us an after the fact to recommend a new peer group. Impacting ACHE's calculations and recommendations to the Governor is done.

- Commencement is May 2<sup>nd</sup> at 10:00 and 2:30.

○ **Provost Christine Curtis**

- There will be receptions after both graduations. Mayor Tommy Battle is the morning speaker. Adele Strong is the afternoon speaker. Engineering and business are in the morning. The other colleges are in the afternoon.
- Registration – Remember our students tend to not register after the semester is over. Please encourage them to register. We have several that haven't registered for fall. Let them know you want to see them again.
- We have completed all the workshops on retention and persistence. The committee that has been working on this has compiled a list of suggestions. They have sent this to the Deans and will send out to you. Please look to see if there is anything that you can incorporate in your classes. I think it gives a new opportunity to expand our interaction with students.
- At the board meeting, we had three resolutions before the board for distinguished professors. We have received nominations for the professors. The board approved all three.
- On April 15<sup>th</sup> we had the faculty and staff awards.
- We have our College of Science Dean has chosen to return to the faculty to teach and research. I am convinced that is his first love. This will take place on May 31<sup>st</sup>. Dr. Jon Christy will be the interim Dean.
  - Tim – I know, Provost, leave issues have been priority for you. Chapter 9 in handbook addresses leave. Can you give us a timeline for when we will get this back?
  - Provost – Tomorrow. Chapter 9 has benefit after benefit. I have to do a shout out to HR. They have done an outstanding job looking over it to make sure that it is currently correct.
- Mike – As you all know, this is Bob's last time with us. Bob is retiring. We do want to wish him the best.

➤ **Officer/Committee Reports**

- Mike Banish, President
  - Board of Trustees took place. They are going to hold tuition increases for instate students.
    - Tim – Are fees frozen?

- Mike – They didn't mention that.
- Provost – Prior to the board meeting, they have an educational session. I don't attend. The three universities present what they expect to be in the budget. The President presented what his revenues would be. They included the fees. The President asked me last year to create a five year plan. Four of our colleges are in the \$20 range. We asked for increases to get everyone to \$22. Engineering and nursing is in the \$40 range. We got them at the same range. This is has to do with laboratories and demand on the college. For some historic reason, college of science was sitting at \$28. We increased fees about 3-4 years. Science kept struggling. The thought was to get them up to engineering and nursing. The five year plan was to increase the college of science \$4/credit hour each year. The President presented this and an increase to the facility fee. There is no questions and no discussion. We heard this week that they are asking UAB to shift from differential tuition to tuition and fees. Maybe our structure will remain and we can continue with our five year plan.
- Laird – Mike and I met with the President and Provost this morning. I think we had a lively discussion concerning the handbook and policies. I think we were candid with one another. In August we will have revisions to present to the whole group. We have some work to do. We need to work together to help with the collaboration to move with the handbook.
- Carmen Scholz, Past President
  - No report.
- Christina Carmen, Ombudsperson
  - No report.
- Tim Newman, Parliamentarian
  - There are a couple of memos that were issued to the President and President-Elect. I think we need to work to correct them and reissue those.
- Lori Lioce, Governance and Operations Committee Chair
  - Everyone should have received the election results. Big thanks to Ron for helping look those over this morning. The governance committee will be looking at the bylaws.
- David Johnson, Faculty and Student Development Committee Chair
  - The survey for retention and persistence closed Friday. We are moving to the next step.
    - Carmen – Did you receive from all the Chairs?
    - David – I think we got all but three departments.
- Monica Dillihunt, Undergraduate Scholastic Affairs Committee Chair
  - No report.
- Jeff Weimer, Finance and Resource Committee Chair
  - No report.
- Gang Wang, Undergraduate Curriculum Committee Chair
  - We are working on the 12 new forms. They will be done by next week. I think we are over 100 right now total.
- Vladimir Florinski, Personnel Committee Chair
  - We have one bill in the committee. We will send you something soon.
- **Academic Misconduct Policy**
  - Tim – Mike asked me to make a flow chart.

- Mike – I have never been through the whole misconduct process.
- Member – My opinion is that you should have gotten through the whole process at one point.
- Tim – I want to walk us through the process and current procedures. Chapter 8.32 starts discussing the process. There is a long list in the handbook of what constitutes as misconduct. Right now if you have a student with an issue, it refers us to the student code of conduct. Under the old process, we are supposed to have a conference with the student and allow them to respond. After that, you could impose a sanction or the process could end. This would be a within the class sanction. If the student isn't satisfied, the student can appeal. You also have an option to follow the student discipline process. This is the student code of conduct. This is the process that happens for this. The sanctions could be from expulsion to a warning. Student Affairs keep up with these offenses and they decide on the sanction.
  - Mike – I would like to introduce the policy for discussion. Jeff seconds.
  - Tim – I have issues with this policy. I think the ones that crafted this should be able to discuss the policy.
  - Laird - Do we have a database to track these issues? I know that we didn't use to.
  - Mike – If they go through this process, it is recorded. It is recorded in the Dean of Students.
  - Harry – My understanding is that it is paper files.
  - Member – When we had Tony, we didn't worry about it much.
  - Monica – When we look at the policy, we had representation from the student body. We wanted plagiarism to be a part of it but not the only thing. We may impose a lighter sanction in our cases, we felt it should be documented somewhere. We looked at other universities to see how they document these. I think the policy was to put something in place quickly to address larger issues. When we put it together, we didn't want everything going to Student Affairs Office.
  - Provost – The Student Affairs is no longer involved in student discipline with academic issues.
  - Mike – UA actually has an officer that it gets reported to. Why didn't we go down that path?
  - Monica – We didn't feel that we had enough infractions to go that far. As we grow, that may be something we look into.
  - Mike – I think that is a smarter way to go. Does Auburn do that?
  - Provost – I don't remember.
  - Mike – I think UA and UAB have a designee does it.
  - Monica – After you dealt with it in the college, the Dean had a place to keep that record.
  - Mike – It is strange because we are in the department and then we jump.
  - Provost – The Provost Office will keep a record of all academic misconduct.
  - Laird – Is there a reason for us to have an awareness if there are academic misconduct and other issues?
  - Tim – I would like to resume where I left off. The proposal here would take away that lateral move. You would have a conference, if the student is in agreement you can impose a sanction. Apparently, if the student doesn't agree, you can't impose the sanction. Was that the intention? I think there is another issue in the same section. I think this is a rather serious issue. I like the student discipline option that is there. As a matter of practice, the Judiciary Officer is contacted when applying for

jobs. I think there is an advantage for our businesses. I think we want to think carefully about that. Do we really want to take away certain sanctions?

- Laird – When it was Tony Morgan she knew the sanctions for certain issues. Does someone have that knowledge now that she has retired? We should have consistency in sanctions.
- Tim – In some sense the addition of timelines is welcome.
- Monica – Are you saying the wording “in accordance with the student” is the issue? This is just an editorial issue.
- Tim – The timelines are welcome. The time is limited for the instructor to respond.
- Monica – We were just trying to get the process moving and not it linger over semesters
- Member – The instructor will meet with the student? The student doesn’t respond. I like the abbreviated timeline, I am concerned we may lose the ability to pursue these matters. At what point does the timeline start?
- Ron – It could be over a break.
- Monica – We did work to consider that.
- Laird – Legally, email is the consistent thing for contact.
- Member – When does the calendar start?
- Provost – When the email is sent.
- Member - Then the sanction is imposed?
- Monica – That is what is intended.
- Member - I think that language needs to be added.
- Sophia – Is the Department Chair required in this process?
- Monica – Yes, the chair is in the loop.
- Mike – What does the chair do with it?
- Provost – Send it to the Dean and Academic Affairs.
- Jeff – The statement we are saying is if we send an email and don’t receive a reply, I can impose a sanction. To what extent does that put a requirement on us to make sure the student knows these policies?
- Monica – The Chair and Dean have the obligation to let them know as well.
- Mike – Students sign that they have received the student handbook. On the student side, it is clear that they had to do that.
- Lori – Will this go in the student handbook once it is approved?
- Mike – No, it will be online.
- Monica – I think it needs to be in line with the student handbook.
- Jeff – I think I would ask that the student handbook say that a policy is established at UAH to handle academic misconduct. By signing this, you agree that you are aware and have read it.
- Laird – We have to keep timeframe in mind.
- Monica – We have to keep business days in mind.
- Tim – I would like to move that this policy be referred back to the committee that created this policy for revisions consistent with senate discussion.
- Mike – Please those individuals that have engaged in this discussion please send your comments to Monica.
- Provost – We need this in place for fall.
- Mike – All in favor of Tim’s motion. Ayes carry.

- Mike – This is the last meeting of this year. Our bylaws say that we are supposed to elect committee chairs. I am going to ask committee chairs to establish your new committee and elect a chair.

➤ Meeting adjourned at 2:14.

# CHAPTER 5

## 5. Research Organization

### 5.1. Introduction

Scholarly endeavors, research, intellectual property development within a discipline, and creative activities (henceforth, called “research”) are basic missions of the University. The University expects faculty members to conduct research and, produce scholarly work, as broadly defined within the faculty member’s discipline. Peer-reviewed research and scholarship play an important role for faculty in questions of promotion, tenure, and compensation review. It is the responsibility of the Office of the Vice-President of Research and Economic Development working with the Vice-President of Academic Affairs to assist faculty in identifying and seeking external, and internal, funding, when such funding is available.  
~~, and seek external funding when funding is available as part of their academic obligations. Peer-reviewed research and scholarship play an essential role for faculty in questions of promotion, tenure, and compensation review.~~  
The content and conduct of research and scholarship are primarily the responsibility of the faculty and research staff. The guidance of students, at both the graduate and undergraduate levels, in research and scholarly endeavors, is considered an important part of faculty responsibilities.

The senior administration of the University will facilitates the success of faculty-led efforts by encouraging, assisting, recognizing, and rewarding research-related endeavors. The Vice President for Research and Economic Development (VPRED) is charged with providing leadership and support of research and economic development throughout the University. The Vice President for Research and Economic Development also fosters the development of working relationships with local, state, and federal governments, as well as with business and industry.

~~The content and conduct of research and scholarship are primarily the responsibility of the faculty and research staff. The guidance of students, at both the graduate and undergraduate levels, in these projects is considered an important part of faculty responsibilities.~~

### 5.2. Research Council

The Research Council provides a forum for the interchange of information on research activities of broad interest, advises on long-term collaborative research venture developments, and reviews recommendations by the Vice President for Research and



Economic Development for the creation, continuation and discontinuance of research units. The Research Council annually reviews the Research Centers for sound management and performance, in addition to ~~advising~~es on the performance of research administration units and research-support operations. The Research Council is comprised of representatives of the research units appointed by the Vice President for Research and Economic Development, the deans of schools and colleges, and two faculty representatives elected by the Faculty Senate. The Research Council is chaired by the Vice President for Research and Economic Development (or an Associate Vice President in the Vice President's absence), who provides written reports, ~~written from time to time~~, on the University's research performance to the University community. The Research Council will meet at least monthly during the academic year.

### 5.3. Organized Research Administration

The administration of research contracts and grants is carried out under the direction of the Vice President for Research and Economic Development, the Associate Vice President for Research and Economic Development, and the Associate Vice President for Contracts and Grants. Several offices, institutes, centers, consortia, and laboratories report to the Vice President for Research and Economic Development. An organizational chart is available from the Office of the Vice President for Research and Economic Development.

#### 5.3.1. Sponsored Programs Support Offices

The Office of the Vice President for Research and Economic Development provides pre-award and contractual post-award services in support of sponsored research programs primarily through three offices; The Office of Proposal Development (OPD), The Office of Sponsored Programs (OSP), and Contracts and Grants Accounting (C&G). The Office of Proposal Development is ~~responsible for aiding~~required to aid UAH faculty in academic Department and staff in Research Centers to ~~identifying~~ research opportunities, ~~assisting~~ with large-scale proposals involving significant effort and multiple collaborators, managing the limited submission proposals process, and conducting proposal development training for faculty and staff.

The Office of Sponsored Programs assists faculty and research staff in the submission of proposals and the management of awards. The Office of Sponsored Programs will have contracts and grants specialist to assist the UAH Colleges. Pre-award assistance may include the identification of potential sponsors and the preparation of the non-technical portions (~~e.g., budget preparation and the business/management aspects~~) of proposals (e.g., budget preparation and the business/management aspects). The Office of Sponsored Programs staff assists principal investigators in complying with the policies and procedures of the University and the external sponsor. It is the responsibility of this office to review all proposals, as well as to negotiate changes in the terms and conditions of existing research programs. The technical content of proposals for contracts and grants is the prerogative and responsibility of the faculty and appropriate research staff.

After a contract or grant is awarded, the Offices of Sponsored Programs and Contracts and Grants Accounting staff provide post-award contract administration services, in accordance with sponsor policies and procedures, and assist the principal investigator in resolving administrative problems related to the project. The Offices of Sponsored Programs and Contracts and Grants Accounting work closely with the Associate Vice President for Contracts and Grants to ensure that contract and grant work is accomplished in accordance with the rules and regulations of the sponsor. The Office of Contracts and Grants Accounting, in a collaborative effort with the Office of Sponsored Programs and Contracts, will support Principal Investigators in realigning the awarded proposal budget into a working budget for the duration of the proposal or contract. The working budget will account for changes in personnel salary and benefit distributions, and for revised scientific approaches. The Office of Contracts and Grants Accounting will provide periodic updates, depending on the contract or grant length, to the Principle Investigator of the working budget. The Office of Contracts and Grants Accounting will provide Budget Analyst support for Departments and Colleges that do not have specific Budget Analyst's for Contracts and Grants.

### **5.3.2. Technology Commercialization and Intellectual Property - Office of Technology Commercialization**

UAH encourages the commercial development of intellectual property, including patents, copyrights, and trademarks, that will benefit the public as well as the faculty and staff of the University. The Vice President for Research and Economic Development, acting through the Office of Technology Commercialization, has general responsibility for the evaluation of inventions in which the University has an interest. Rule 509, Patent Policy, of The Board of Trustees of The University of Alabama System and established UAH policies set forth the procedures to be followed when an employee or student develops inventions or copyrightable material, as well as the guidelines for distributing the revenue from such intellectual property to the employee and the University. (Appendices G and H contain details on the Patent Policy and the Copyright Policy)

In accordance with Board Rule 509 (or similar Board Rule passed by the Board of Trustees of the University of Alabama System), “any invention or discovery (1) which is the result of research carried ~~on~~-out by or under the direction of an employee of a campus of the University and/or having the costs thereof paid from funds provided by, under the control of or administered by a campus of the University, or (2) which is made by an employee of a campus of the University and which relates to the employee's field of work, or (3) which has been developed in whole or in part by the utilization of resources or facilities belonging to a campus of the University, shall be the property of the applicable campus of the University. The applicability of the above stated criteria to any invention or discovery will be determined at the sole discretion of the President of the respective campus of the University or his/her designee.”

Board Rule 509 further states that “as a condition of their employment or continued employment by or enrollment at a campus of the University, each faculty member, employee and student agrees that he/she is contractually bound by this patent policy as implemented by the respective campuses of the University and shall report to” the officer designated for that purpose by the President of the campus “any invention or discovery which such faculty member, employee or student has conceived, discovered, developed and/or reduced to practice by them or under their direction at any time following their initial appointment by, employment by, or enrollment with that campus of the University.”

### 5.3.3. Security - Office of Research Security

~~UAH is engaged in work that is subject to U.S. Government export control regulation and work that is of a classified nature.~~ The Office of Research Security reports to the Vice President for Research and Economic Development and is responsible for overseeing the protection of research-related classified projects and artifacts, export control enforcement, training for UAH faculty and staff related to research security and export control laws enforced by the Department of State through its International Traffic in Arms Regulations (ITAR) and by the Department of Commerce through its Export Administration Regulations (EAR), advising faculty and staff on matters of research security, and maintenance of security clearances of UAH employees and students. The Office of Research Security serves as the liaison between UAH and external government organizations with respect to security and export control related concerns.

### 5.3.5 Environmental Health and Safety - Office of Environmental Health and Safety

The Office of Environmental Health and Safety is a professional advisory and service oriented office that promotes occupational and facilities safety and environmental stewardship in support of the University mission. This office reports to the Vice President for Research and Economic Development and is responsible for safety training, hazardous/regulated waste pickup, laboratory inspections, and chemical disposal.

## 5.4. Internal Support

The Vice President for Research and Economic Development provides a variety of internal grant programs for advancement of faculty research capabilities in all academic disciplines including a program that focuses on junior faculty research and creative activities. The Vice President for Research and Economic Development announces University-wide, such opportunities to all the faculty and staff ~~at UAH~~ and is responsible for evaluating responses and making awards

Awards in internal grant programs offered by the Vice President for Research and Economic Development are made by the Office of the Vice President for Research and

Economic Development (OVPRED) based on a review process established by the Vice President for Research and Economic Development. -The program focusing on junior faculty research and creative activity makes decisions based on recommendations from a review committee that includes one senior faculty member from each of the colleges or schools that has tenured faculty members. The faculty committee member for a college or school is appointed by the college or school's dean. Guidelines on eligibility, content and format of the proposal submissions will be published by the Office of the Vice President for Research and Economic Development.

### 5.5. Research Units (Institutes, Laboratories, Centers and Consortia)

Research units may be formed within colleges or as separate entities with University resources beyond and above those available to chairs and deans. A consortium will typically have strong industrial participation in its operation as well as in allocation of resources. Research units report either directly or through a dean ~~or directly to~~ a Vice President. The reporting route will be established at the initiation of a research unit.

At the end of each fiscal year, research units submit to the responsible administrator a detailed report on research achievements, publications, interaction with faculty and students, teaching provided by center personnel, sponsored research funding, and short-term as well as long-term goals. These report will be available University-wide.

### 5.6. Establishment, Review, and Discontinuance of Research Units

Proposals for new research units are submitted through the appropriate chairs and deans, or directors, to the Vice President for Research and Economic Development prior to submission to any approving authority and/or potential sponsors. Proposals must include the following: a mission statement for the proposed research unit; a discussion of the advantages and disadvantages of establishing the unit, including the potential impact on the University's academic and research programs; and a detailed five-year plan outlining the space, equipment, and budgetary resources required together with existing and potential funding sources. All proposals for establishment or discontinuance must conform with the Board of Trustees Board Rule 503 Academic, Research, Service, and Administrative Units.

Proposals for new research units are reviewed by an ad hoc committee appointed by the Vice President for Research and Economic Development and consisting of faculty of the relevant college(s) involved as well as members representing the existing research units. The recommendations of this review committee are presented to the Research Council for its consideration and recommendations. The recommendations of the ad hoc review committee along with the recommendations of the Research Council are submitted to the Vice President for Research and Economic Development, who will approve or disapprove the proposal after consultation and agreement with the Provost and the President.

A new research unit may require approval by The Board of Trustees of The University of Alabama according to Board Rule 503 (or similar Board Rule passeds by the Board of

Trustees of the University of Alabama System), Academic, Research, Service, and Administrative Units:

- A. *The establishment of new academic, research, service, and administrative units, including but not limited to, departments, divisions, schools, colleges, centers, and institutes, must be submitted for review and approval to the Chancellor and the Board of Trustees.*
- B. *The institutions of The University of Alabama System are required to submit requests for new academic, research, service, and administrative units to the Chancellor for review and approval. Upon the recommendation of the Chancellor, the new academic, research, service, and administrative units request will be submitted to The Board of Trustees for final approval.*
- C. *The institution must notify the Board, as an approval item, of any internal changes that are reasonable extensions or alterations of existing academic, research, service, and administrative units including organizational changes.*

Existing centers and institutes are reviewed annually for fiscally sound management and performance. The performance and relevance of each research unit are also comprehensively reviewed at least every five years, following a procedure developed by the Office of the Vice President for Research and Economic Development and approved by the President. Findings and recommendations are submitted to the Vice President for Research and Economic Development, who decides on continuation or discontinuance after consultation and agreement with the Provost and the President. In accordance with Board Rule 503 (IV), when a decision to discontinue a center or institute is made, the President notifies the Chancellor who recommends the center's or institute's closure to The Board of Trustees for its approval. A report of the findings is made accessible campus-wide.

## 5.7. Research Unit Personnel

Directors of research units are appointed by the Vice President for Research and Economic Development with the concurrence of the Provost and the President. Directors must have demonstrated national research leadership, as appropriate to the research unit mission, and have the appropriate terminal degree or equivalent experience. In the interest of an optimal interaction with faculty, it is desirable that research unit directors ~~should~~ have academic experience. Except in the most unusual of circumstances, center directors will have experience commensurate with someone meriting appointment as an associate (or full) professor. Research Center Directors may, but do not need to have, an academic appointment. The academic appointment process is outlined in Chapter 7. Research Center Directors will be reviewed annually. The final results of the review will be announced University-wide.

In the interest of promoting cooperation and interaction between colleges and research

units, a large percentage of the senior research staff employed by research units should be eligible for faculty appointments. Research staff may also be appointed as research faculty within a department. Details on the research faculty appointment process are in Chapter 7.

**Approval**

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Campus Designee

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Date

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Chief University Counsel

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Date

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Provost and Executive Vice President for  
Academic Affairs

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Date

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Vice President for Research and Economic Development

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Date

**APPROVED:**

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President

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Date