FACULTY SENATE
MEETING #602 AGENDA
LIB 111
THURSDAY, November 21, 2019
12:50 PM to 2:20 PM

Call to Order

1. Approve Faculty Senate Meeting #601 Minutes from October 17, 2019

2. Accept FSEC Report from November 14, 2019

3. Administrative Reports

4. Officer and Committee Reports

   - President Laird Burns
   - President-Elect Tim Newman
   - Past-President Mike Banish
   - Parliamentarian Monica Dillihunt
   - Ombudsperson Officer Carmen Scholz
   - Governance and Operations Committee Chair Lori Lioce
   - Undergraduate Curriculum Committee Chair Laurel Bollinger
   - Finance and Resources Committee Chair Jeff Weimer
   - Undergraduate Scholaristic Affairs Committee Chair Carolyn Sanders
   - Faculty and Student Development Committee Chair Seyed Sadeghi
   - Personnel Committee Chair Mike Banish

   - Chapter 5 Handbook
   - Bill 437
   - Bill 438

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
Background

This document presents a statement that I post to every Canvas course. It is created as a non-graded assignment (complete/incomplete). I require students to do the survey assignment at the start of each course.

Statement

The content on the course pages is available under the UAH Copyright Policy as well as Fair Use Guidelines [1] of a standard copyright notice in the United States. The Four Tenants of Fair Use [2] are summarized below.

- All content posted on the course pages is freely distributed, is to be used only for educational purposes during the progression of the course, and may not be sold or resold nor distributed further in any manner that violates those purposes entirely or in part;
- Any content posted on these pages that is not cited directly as copyright to someone else is copyright to the course instructors as a creative expression of the course content;
- You may make one copy of anything posted on the course pages in part or in whole for your own individual use; and
- You shall not distribute your one copy to anyone else in any form, as hard copy or electronic versions and in part or in whole, without first obtaining permission from the original copyright owner of the source documents as well as secondly referencing the original copyright ownership and the Fair Use Guidelines.

Copyright is not unilateral permission for you to use published content, it is a statement of the considerations that you must apply to not abuse published content. In essence, you may make one copy of anything on the course pages during the course solely for your educational needs and you are not allowed to give away that copy to anyone else at all or without due diligence.

Acknowledge below with your name as a text response that you have read the UAH Copyright Policy and the Four Tenants of the Fair Use Guidelines and will abide by them for the content that you download from the course pages.

1) http://copyright.gov/fair-use/ 2) http://copyright.gov/fair-use/more-info.html
Senate Bill 437:
Modification of Interim Policy on Academic Misconduct

History: At FSEC Nov. 14, 2019; from Faculty senate UG Scholastic Affairs Comm.
Passed First Reading at FSEC on that day
On FS Agenda for Nov. 21, 2019, for Second Reading

WHEREAS, the current Interim Policy on Academic Misconduct omits an objective third party, in cases of academic misconduct deemed by an instructor to be of a significant nature as to require review by a third party, and

WHEREAS, the current Interim Policy on Academic Misconduct requires agreement by the student in the case of an instructor issuing sanctions, and

WHEREAS, the current Interim Policy on Academic Misconduct states documentation deadlines that are relatively short, with many needing to be expanded in length,

NOW THEREFORE BE IT RESOLVED:

That the Faculty Senate requests that the modified version of the Interim Policy on Academic Misconduct, presented below, which includes an objective third party, excludes a required agreement by the student, and extends the length of documentation, be accepted as the current policy.

THE UNIVERSITY OF ALABAMA IN HUNTSVILLE

ACADEMIC MISCONDUCT POLICY

-INTERIM-

Number 02.01.67

Division Academic Affairs

Date August 2019

Purpose The purpose of the Academic Misconduct Policy is to state our expectations for academic integrity, to define and describe different types of academic misconduct, and to establish due process procedures for handling student academic misconduct cases within the Division of Academic Affairs.

Policy As an academic community of scholars and students, the University of Alabama in Huntsville values learning, discovery, freedom, opportunity, and responsibility. UAH seeks to develop students into
independent thinkers and global citizens. In addition, the University has standards of behavior in which it believes strongly. In their academic endeavors, UAH students are expected to embrace and uphold such principles as integrity, respect, diligence, excellence, inclusiveness, and diversity. Academic misconduct infringes upon these principles and inhibits the flourishing of academic discussion and inquiry. UAH will not tolerate academic misconduct by students. Any form of academic misconduct explained in the following provisions may result in academic sanctions up to indefinite suspension or expulsion from the University.

Definitions

A. Forms of Academic Misconduct
Academic misconduct includes all forms of activity by students that aim to deceive, coerce, or disrupt instructors and staff and/or fellow students in matters of academic course sessions, coursework, capstones, projects, theses, dissertations, and university-related research.

1. Academic Dishonesty
Academic misconduct includes academic dishonesty, defined, here, as any activity that attempts to deceive instructors and staff and/or students relative to academic coursework, capstones, projects, theses, dissertations, and university-related research, and includes, but is not restricted to, the following:

a. **Cheating**: copying from another student’s work on an assignment or exam; engaging in activities or using materials not authorized by the person administering the assignment or exam; colluding or knowingly failing to prevent collusion on an assignment or exam with any other person by receiving information without authorization; buying, stealing, or otherwise obtaining all or part of an assignment or exam; bribing any other person to obtain an assignment or exam or information about an assignment or exam; permitting any other person to substitute for oneself, to take an exam or do the work on an assignment.

b. **Abetting cheating**: collaborating or knowingly failing to prevent collusion during an assignment or exam with any other person by giving information without authorization; selling or giving away all or part of an assignment or exam; selling, giving, or otherwise supplying to another student for use in fulfilling academic requirements any theme, report, term paper, essay, or other written work; any speech or other oral presentation; any painting, drawing, sculpture, musical composition or performance, or other aesthetic work; any computer program;
any scientific experiment, laboratory work, project, protocol, or the results thereof, etc.; substituting for another student to take an exam.

c. **Plagiarism:** the use of any other person’s work (such work need not be copyrighted) and the unacknowledged incorporation of that work in one’s own work offered in fulfillment of academic requirements. Plagiarism includes the use and incorporation, without acknowledgement, of the wording or expressions (even if paraphrased), information, facts, arguments, analysis, or ideas of another.

d. **Misrepresentation:** submitting in fulfillment of academic requirements, if contrary to course regulations, any work previously presented, submitted, or used in any other course; submitting as one’s own, in fulfillment of academic requirements, any theme, report, term paper, essay, or other written work; any speech or other oral presentation; any painting, drawing, sculpture, musical composition or performance, or other aesthetic work; any computer program; any scientific experiment, laboratory work, project, protocol, or the results thereof, etc., prepared totally or in part by another.

e. **Fabrication:** falsifying records including grades, laboratory results, or other data associated with a course for oneself or any other person.

2. **In-Course Disruptive Activity and Academically Disruptive Activity:** Academic misconduct includes **in-course disruptive activity** and **academically disruptive activity**. In-course disruptive activity is action by a student in course or lab session(s) and/or in any university-sanctioned study sessions, tutoring and PASS sessions, etc., that inhibits instruction in-class or online and that interferes with facilitation of course materials in-class or online. Academically disruptive activity includes physical or electronic tampering with instructor-produced or student-produced course material in-class or online and, further, includes any action by a student that physically or electronically interferes with, or tampers with, student research, such as that pertaining to capstones, projects, theses, dissertations, and university-related research. Academically disruptive activity also comprises of any actions aimed at copying, stealing, or compromising instructors and students’ electronic data or intellectual property relative to academic and research activity at the University. Any in-course disruptive or academically disruptive activity perceived by instructors or students as threatening should be reported to UAH Police and the UAH Provost Office immediately. Note that in-course disruptive activity
or academically disruptive activity differs from the more general, non-academically related behaviors defined in the UAH Code of Student Conduct policy.

3. **Coercive Activity:** Academic misconduct includes **coercive activity**, including *quid pro quo* (this for that), by a student that seeks to positively or negatively affect student grades relative to any coursework, student coursework loads, or student work—or instructors' review of that work—relative to capstones, projects, theses and/or dissertations. Coercion occurs when a student puts pressure on another student, instructor, or staff member to act in a particular way, or attempts to do so, with the intention of gaining an academic advantage. Examples include, but are not limited to, using intimidation or favors to have others complete work, threats designed to have an instructor change a grade or assign a higher grade, or attempts to bribe an instructor or student to gain academic advantage. Any coercive activity perceived by instructors or students as threatening should be reported to UAH Police immediately. Any coercive activity perceived as sexual harassment should be reported to the Title IX Coordinator (see UAH Title IX explanation).

### B. Sanctions for Academic Misconduct
Sanctions for academic misconduct are intended to be developmental, educational, preventative, or restorative. Academic sanctions range from verbal reprimand and assignment grade-reduction, dismissal from an academic program, to suspension and/or expulsion from the University. A student found guilty of academic misconduct a second time may face suspension or expulsion from the University. Suspension requires a minimum of one academic semester, after which a student may appeal for reinstatement. For any student facing academic misconduct charges in her/his final semester, the awarding of a degree may be contingent on the resolution of the case.

### C. Course Withdrawal in Cases of Academic Misconduct
When an accusation of academic misconduct is made prior to the course withdrawal date for the semester of the course in which academic misconduct has occurred, the student will not be allowed to withdraw from this course until the academic misconduct resolution process is complete. If it is determined that the student did not engage in academic misconduct, then the student will be allowed to withdraw from that course even if the drop period has expired. If the student does not respond within ten business days to notifications of accusation of academic misconduct from the accusing instructors, then a hold will be placed on the student’s university transactions. If the student does not respond to a notice of the accusation before the end of the semester in which the alleged
academic misconduct occurred, then the instructor will assign a grade of “F” to the student.

D. Records of Academic Misconduct
In order to maintain confidentiality, the name, A-number, academic department and college of any student who admits to, or is found guilty of, academic misconduct shall be forwarded to the Office of Academic Affairs together with a brief description of the offense and the penalty imposed. The records in Academic Affairs will serve as a central repository for tracking of repeat offenses by a student. In cases that involve suspension as a sanction, the Office of the Registrar will be notified immediately of the suspension and a hold will be placed on the student’s record to prevent further enrollment. In cases of successful appeals, the record and all supporting documentation shall be removed from the student’s file after one semester. All documents removed will be destroyed.

E. Burden of Proof in Misconduct Procedures
The “preponderance of the evidence” standard is used in all academic misconduct cases. This means that one must prove that it is more likely than not that the accused student committed the misconduct for which she or he is accused.

Procedures
Cases of academic misconduct shall be resolved by instructors or by academic misconduct monitors appointed by the deans of each college. The instructor for the course in which the alleged incident occurred, and/or an academic misconduct monitor will determine based on “preponderance of the evidence” standard whether an academic sanction is appropriate.

Cases of academic misconduct shall be resolved by instructors, students, and other members of the university community. These members are determined by the type of academic misconduct alleged. The instructors, students, and other members of the university community will determine based on “preponderance of the evidence” standard whether an academic sanction is appropriate.

1. Reporting and Facilitating Cases of Academic Dishonesty
Academic misconduct cases shall be resolved by each college in which the alleged incident took place. Faculty members possess the well-established prerogative to deal with academic misconduct committed by a student in a course by applying an academic penalty within the context of that course. Faculty members may also at their
discretion report a case of academic misconduct to an academic misconduct monitor within each college. The academic misconduct monitor will be a tenured faculty member at the rank of Associate Professor or above, appointed by the dean of the college. The academic misconduct monitor will determine whether an academic sanction is appropriate and what academic sanction shall be assessed. These shall be resolved by the instructor for the course in which academic dishonesty occurred, or, upon student appeal, by the department chair or dean or dean’s designee of the academic college in which the alleged misconduct took place. Documentation of the incident must be kept on file for a period of four years. Documentation will be kept with either the instructor, department chair, academic monitor, or dean of the academic college, determined by where the resolution took place. For any student who admits to or is found guilty of academic misconduct, the record of the academic misconduct must be sent to the Office of Academic Affairs as stated in D. Records of Academic Misconduct. Students and instructors may appeal the department chair’s decision, the academic monitor’s decision, and/or the dean’s decision. Appeals of the department chair’s decision or the academic monitor’s decision may be made to the dean. Appeals of a dean’s decision will be heard by the Associate Provost in the Office of Academic Affairs, who will conclude the case with her/his decision.

a. Members of the University Community Reporting Academic Dishonesty
  i. Instructors may report academic dishonesty pertaining to a student in her/his course or under her/his supervision to the academic misconduct monitor for the college. Upon suspicion, using the evidentiary standard of “preponderance of the evidence” that academic dishonesty has occurred, the course instructor must report suspicion to both the student and her/his department chair within ten five business days. If a report cannot be filed within ten five business days, there must be an explanation for the delay. The delay does not imply that there has not been a case of academic dishonesty. The report must be in a written format and contain the student name, date of alleged infraction, and type of alleged infraction. This report will be sent to the student, the chair of the department within which the course is offered and, at the discretion of the instructor, to the academic misconduct monitor.
  
  i. both the student and the chair of the department within which the course is offered.
ii. Any member of the university community, including students, may report academic dishonesty. Upon suspicion of academic dishonesty and using “preponderance of the evidence standard,” a member of the university community must report her/his concern to the instructor of the relevant course in which academic dishonesty took place, or to the chair of the department within which the course is offered, within ten five business days. The report must contain the name of the student alleged to have committed academic dishonesty, date of alleged infraction, type of alleged infraction and the name of the individual who is reporting the suspicion of academic dishonesty. This report will be provided to the instructor of the relevant course and must be treated confidentially to avoid reprisal toward the reporting party. The instructor then will contact the chair of the department within which the course is offered. At the discretion of the instructor, the report may be forwarded to the academic misconduct monitor for that college.

iii.

b. Facilitating Cases of Academic Dishonesty

i. Instructors possess the prerogative to address academic dishonesty committed by a student in a course by applying an academic sanction within the context of that course and in agreement with the accused student. The alleged academic misconduct by the student may also be reported to the academic misconduct monitor within the college in which the course is offered. Using the “preponderance of the evidence” standard, the instructor must report suspicion that academic misconduct has occurred to the student as soon as reasonably possible, but not more than five business days. The instructor will meet with the student, explain their suspicion, share any evidence of misconduct in the instructor’s possession, and hear the student’s response. Based on the student’s response, the instructor will determine whether an academic sanction is appropriate and what academic sanction shall be assessed. The instructor must inform the student of the academic sanction within five business days after meeting with the student. The instructor will produce a brief written document that includes the student’s name, the infraction, and the terms of resolution. The instructor will send the document to the chair of the department within which the course is offered as a record of the resolution. The chair will keep a copy of the document and send copies to the academic misconduct monitor, dean and Office of Academic Affairs.
ii. If the student wishes to dispute the charge or the academic sanction, then the student may file a written appeal by contacting the department chair within five business days of receiving notice of the academic sanction. Upon request from the department chair, the instructor must explain the case, the charge, the evidence, the proposed academic sanction, and a response to the student’s appeal via letter. Within ten business days of receiving the appeal materials, the department chair will examine the case to determine whether the charge of academic dishonesty and/or the academic sanction holds or whether a new academic sanction, or no academic sanction, shall be assessed. The department chair will notify the student and the instructor of the decision and send copies of the decision to the academic misconduct monitor, dean and the Office of Academic Affairs.

iii. If the student or instructor wishes to dispute the determination of the department chair, then she/he must file a written appeal by contacting the academic misconduct monitor dean of the college within five business days of receiving the department chair’s letter. Upon request from the academic misconduct monitor dean, the department chair must provide to the academic misconduct monitor dean all information and materials regarding the case and a response to the appeal. Within ten business days of receipt of the case, the academic misconduct monitor dean or dean’s designee will examine the case to determine whether the charge of academic dishonesty and/or the academic sanction holds or whether a new academic sanction, or no academic sanction, shall be assessed. The academic misconduct monitor dean will notify the student, instructor, and department chair of the decision and send a copy of the decision to the Office of Academic Affairs.

iv. If the student or instructor wishes to dispute the decision of the academic misconduct monitor dean, she/he must file a written appeal to the dean of the college Associate Provost within the Office of Academic Affairs within five business days of receiving the academic misconduct monitor dean’s decision. Upon request from the dean Associate Provost, the academic misconduct monitor dean must provide the Associate Provost dean with all information and materials regarding the case and a response to the appeal. Within ten business days of receiving the
appeal, the Associate Provost\textsuperscript{dean} will determine the outcome of the case, including any academic or other sanctions. If the student is a graduate student, the dean of the college in which the alleged incident occurred\textsuperscript{the Associate Provost} will consult with the Graduate School dean prior to making a decision.

\textbf{v.} If the student or instructor wishes to dispute the decision of the dean, she/he must file a written appeal to the Associate Provost within the Office of Academic Affairs within five business days of receiving the dean’s decision. Upon request from the Associate Provost, the dean must provide the Associate Provost with all information and materials regarding the case and a response to the appeal. Within ten business days of receiving the appeal, the Associate Provost will determine the outcome of the case, including any academic or other sanctions. If the student is a graduate student, the Associate Provost will consult with the Graduate School dean prior to making a decision. The decision made by the Associate Provost is final.

\textbf{iv.} The decision made by the Associate Provost is final.

\textbf{v.} If a student is \textit{charged with academic dishonesty in an online learning course}, then the aforementioned procedures must be facilitated via telephone (conference call) or online visual communication (such as Zoom, SKYPE or FACETIME). Before proceeding via teleconference or video conference, the student’s identification must be verified by members of the university community facilitating the case. Materials concerning the case, including evidence against the student, should be distributed electronically to all parties. The procedures should continue, otherwise, as with on-campus students.

\textbf{vi.} Cases that involve fabrication or falsification of student academic records (e.g., fraudulently changing one’s own grades or the grades of others, unlawful access to accounts, hacking into University record systems, etc.) or that involved multiple courses, shall be reported directly the Office of Academic Affairs. The Office of Academic Affairs will conduct the investigation and administer appropriate sanctions.

\section*{2. Reporting and Facilitating Cases of Disruptive or Coercive Academic Misconduct}
a. Members of the University Community Reporting Disruptive or Coercive Academic Misconduct

i. Instructors may report academic misconduct of a coercive or disruptive nature pertaining to a student in her/his course or under her/his supervision. Upon suspicion that disruptive or coercive academic misconduct has occurred the course instructor must report suspicion to both the student and her/his department chair within five business days. The report must contain the student name, date(s) of alleged behavior, type of alleged behavior, and the name of the individual reporting the behavior. This report will be provided to the chair of the department within which the course is offered.

ii. Any member of the university community, including students, may report disruptive or coercive academic misconduct. Upon suspicion of such academic misconduct, a member of the university community must report her/his concern to the instructor of the relevant course in which disruptive or coercive academic misconduct took place, or to the chair of the department within which the course is offered, with five business days. The report must contain the student’s name, date(s) of alleged behavior, type of alleged behavior, and the name of the individual reporting the behavior. This report will be provided to the instructor of the relevant course. The instructor, then, will contact the chair of the department within which the course is offered. The report must be treated confidentially to avoid reprisal toward the reporting party.

b. Threatening Disruptive or Coercive Behavior

i. If a instructor thinks that a student’s disruptive or coercive behavior poses a threat to the instructor, to other students, or to the disruptive student, and then she/he must report this behavior immediately to UAH Police, adhering to the Behavior Evaluation Threat Assessment (BETA) Policy.

c. Facilitating Cases of Disruptive or Coercive Academic Misconduct

i. Instructors possess the prerogative to address disruptive or coercive academic misconduct committed by a student in a course in an unofficial manner. After meeting with the student to attempt resolution, instructors may elect to apply a sanction within the context of that course, and with the agreement of the accused student.
ii. If informal resolution is not achieved or if the student persists in the disruptive or coercive behavior, instructors shall report the behavior to the chair of the department within which the course is offered and through which the student is registered (in the case of cross-listed courses). A conference will be held within ten business days between the student, instructor, and chair in order to resolve the case. The instructor and/or the student may wish to solicit testimony from other students in the course in which misconduct is alleged. Academic sanctions may be suggested by either the instructor or department chair. The department chair will determine whether misconduct has occurred and contact both instructor and student within three business days. When the department chair issues a determination, the instructor will produce a brief report of the charge and the conference, including clarification on any academic sanctions. The instructor, department chair, and student must sign this report. **Resolution of the case requires instructors and student agreement in the form of each person’s signature on the report.** The report will be sent to the department who will send copies of the document to the dean of the college and the Office of Academic Affairs.

1. If the student or instructor wishes to dispute the determination of the department chair, then she/he must file a written appeal by contacting the dean of the college within three business days of receiving the department chair’s letter. Upon request from the dean, the department chair must provide to the dean all information and materials regarding the case and a response to the appeal. Within ten business days of receiving the report, the dean/associate dean will hold a conference with the instructor and the student. The dean/associate dean will determine whether academic misconduct has occurred and contact the instructor, student, and department chair within three business days. The dean/associate dean may choose to keep the original report, amend the previous report, or produce her/his own new report on the case of academic misconduct. **Resolution of the case requires instructors and student agreement in the form of each person’s signature on the report.** The dean must report the resolution and send documentation to the Office of Academic Affairs.
2. If the student or instructor wishes to dispute the decision of the dean, she/he must file a written appeal to the Associate Provost within the Office of Academic Affairs within three business days of receiving the dean’s decision. Upon request from the Associate Provost, the dean must provide the Associate Provost with all information and materials regarding the case and a response to the appeal. Within a period determined by the Associate Provost, she/he will determine the outcome of the case, including any academic or other sanctions. The decision of the Associate Provost is final.

iii. If a student is charged with in-course disruptive academic misconduct in a distance learning course, then the aforementioned procedures must be facilitated via telephone (conference call) or online visual communication (such as Zoom, SKYPE or FACETIME). Before proceeding via teleconference or video, the student’s identification should be verified by members of the university community facilitating the case. Materials concerning the case, including evidence against the student, should be distributed electronically to all parties. The procedures should continue, otherwise, as with on-campus students.

iv. If the instructor does not feel the student an immediate threat to other students, but, nevertheless, requests that the student be removed permanently from in-course activity because of disruptive or coercive behavior, then the case will be referred immediately to the Associate Provost in the Office of Academic Affairs. A student may appeal the decision to remove her/him from in-course activity by submitting a letter of appeal to the Associate Provost.

v. Due to the gravity of coercive academic misconduct and due to the potential for cross-course and extra-course disruption, cases of academically coercive or disruptive activity that require a student to be removed from the classroom or occur in multiple instances will be facilitated at the level of the Associate Provost and the Office of Academic Affairs.

1. The Associate Provost will convene a panel to resolve cases of coercive or academically disruptive academic misconduct. The panel will consist of a person designated by the Vice President for Student
Affairs, a person designated by the Provost (not the official convening the panel), one student (appointed by the President of the SGA), and one course instructor (appointed by the President of the Faculty Senate or by the Provost Office in the case of lecturers); both the student and the instructor will come from the college holding jurisdiction for resolving the alleged misconduct if it is possible to find such people who have no prior connection with the case. In cases involving graduate students, the instructors and student members of the appeal panel should hold graduate faculty or graduate student status, respectively. The person designated by the Provost will serve as hearing administrator and will coordinate and preside at all meetings conducted to resolve the academic misconduct appeal. The hearing by a panel is an administrative hearing and the proceedings will be informal rather than those used in courts of law. The panel may admit any evidence, which is of probative value in determining the issues, subject to the panel's judgment as to the relevance, credibility, and weight of the evidence. The panel may ask the parties to produce evidence on specific issues, may examine witnesses, and may call and examine its own witnesses.

Both the student and the instructor have the right to be advised during the proceedings. The advisor may assist in the preparation of any written presentation of their respective cases. The faculty member and the charged student may choose one advisor to be present at the hearing. The faculty member and the student may choose any university or non-university person as his/her own advisor or may select, at his or her own expense, an attorney to serve as his/her advisor. The advisor or attorney cannot present statements, arguments, or question witnesses or participate directly in the panel hearing. If the advisor disregards the rule of not speaking and decides to speak at the hearing, the administrator will ask the advisor to leave the proceedings.

2. Each party will have the right to question and cross-examine all opposing witnesses. The panel will review each of the issues raised in the appeal and make recommendations in writing to the Associate Provost.
Recommendations contrary to the student’s position must be supported by the votes of at least three of the four panel members. The Associate Provost will issue a decision on each issue within the appeal and give written notice to the student, the course instructor, the dean/associate dean, the Vice President for Student Affairs and the panel.

3. If the student is found responsible and wishes to appeal the panel’s decision, she/he may do so in writing to the Provost or her/his designee within 10 business days of receipt of the findings. The decision of the Provost is final.

3. **Student Rights for Conferences, Meetings, and Hearings Pertaining to Academic Misconduct Cases**
   a. The student is not required to make any statement at all regarding the matter under investigation.
   
b. The student may make a voluntary statement if she/he chooses.
   
c. The student has a right to present any evidence, supporting witnesses, and other information to support her or his case.
   
d. The student has the right to request a delay in order to seek the advice or to allow the presence of an advisor.

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**Review**

This policy will be reviewed by the Office of Academic Affairs every five years or sooner if needed.

**Approval**

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Policy
02.01.67
Page 14 of 15
December 2018
MEMORANDUM

TO: Dr. Laird Burns
   President, Faculty Senate

FROM: Darren Dawson
      President

Christine W. Curtis
Provost and Executive Vice President for Academic Affairs

SUBJECT: Revisions to Chapter 5 of the Faculty Handbook

DATE: October 18, 2019

This memorandum is in response to the Faculty Senate’s submission of the revisions to Chapter 5 of the Faculty Handbook in August 2019. The revisions that the Faculty Senate proposed are for the most part acceptable to us; however, in the attachment, we show the changes we propose to Chapter 5. Our changes and the reasoning behind them are given below:

1. 5.2 Research Council. Currently, the Research Council meets quarterly. The Faculty Senate revision stated that the Research Council would meet monthly which is too often because the work of the Research Council does not require such frequent meetings and monthly meetings are costly in terms of time of the participants.

2. 5.3.1. Sponsored Programs Support Offices. The original language of the second sentence in the first paragraph was changed by the Faculty Senate to state that the Office of Proposal Development (OPD) is “required to aid.” This language was changed back to the original language “responsible to aid.” The reason for the change is the OPD office is resource-limited and there are not enough staff to assist in all requests.

3. 5.3.1. Sponsored Programs Support Offices. We removed the second half of the last paragraph in the 5.3.1 section that follows: “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 principal 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 a specific Budget Analyst's for Contracts and Grants." The reason for removing this section is because the Contracts and Grants Accounting unit which was located originally in Finance and Administration is responsible for invoicing and compliance of research contracts and grants. Contracts and Grants Accounting unfortunately does not have the personnel or resources to provide the services stated in the section removed. The Office of the Vice President for Research and Economic Development is working with OIT to develop and implement a web-based portal that will provide principal investigators with real-time budget information on their contracts and grants.

4. 5.4. Internal Support. The language in the second paragraph was changed to state that only one of the internal programs focuses on new faculty.

5. 5.5. Research Units (Institutes, laboratories, Centers and Consortia). In the first paragraph the language was changed slightly because there are research centers that report through the college to the Provost not to the OVPRED. In the second paragraph, the OVPRED wants information about the centers and receives it through a multiplicity of sources. A detailed report is not needed.

6. 5.6. Establishment, Review and Discontinuance of Research Units. The language was modified to accommodate the fact that research centers report to vice presidents other the VPRED.

7. 5.7. Research Unit Personnel. Toward the end of the only paragraph, "The final results of the review will be announced University-wide" was removed. Personnel reviews are not considered public documents and are not shared publicly.

We will be happy to discuss our revisions to the version of Chapter 5 passed by the Faculty Senate in August 2019. Chapter 5 with track-changes is attached. A clean copy of Chapter 5 is also attached.

Cc: Dr. Robert Lindquist, Vice President for Research and Economic Development
Memorandum

To: UAH Administration
From: Tenured Faculty in the Chemistry Department
Regarding: Protest on the Implementation of a Point System for Performance Review
Date: November 14, 2019

We, the tenured faculty in the Chemistry Department, hereby strongly protest the recent implementation of a point system by the administration, ostensibly as a means to evaluate our performance in teaching, research, and service.

First, the point system was instituted without respect to and indeed almost blatantly in spite of the spirit and intent of shared governance. No notice was given to us about the nature or extent of the underlying problem that was to be addressed. Little or no direct feedback was solicited from us to engage in collaborative discussions on the reasons for implementing the system. No opportunity was provided for us to validate and subsequently have a positive commitment to help address the problems that are supposedly to be solved by use of the point system.

Secondly, the point system was applied without any opportunity for us to review or appeal our scores. We were told what the scores would be, we were told what our rank was based on the scores, and we were told our rankings had been submitted. The system was applied unilaterally and without due process for us to approve or dissent.

Thirdly, implementation of the point system may be in violation of the Faculty Handbook, wherein the methods to be used to evaluate faculty performance are spelled out explicitly. They involve a Faculty Activity Report (FAR). The contents of the FAR and the methods by which faculty are to submit, review, and appeal the FAR are unambiguously documented. The procedures therein provide no rationale to support an additional system to rank, evaluate, or obtain merit information about faculty performance. The administration has at times insisted, rightly or not, that the Faculty Handbook is a contract. Yet here, they have apparently failed to follow it as such.

Finally, the scores used in the point system may be in violation of our employment contracts. For example, some faculty were hired under a contract that specified they are to hold a balance of 40% teaching, 40% research, and 20% service. This is directly counter to the weighting used on the point system with 60% teaching, 30% research, and 10% service. The liberties that the administration may think that they have to change the terms of an employment contract in any manner and for any reason do not permit such actions to be carried out unilaterally. Faculty have full right to be afforded all opportunities to participate in any and all changes that are proposed to
be made to their employment contracts. Even when the considerations may ultimately not change the terms of our contracts, we have the right to know and debate about whether they do or do not.

In summary, the point system was initiated with no sign of respect for shared governance. It was applied with no respect for the process of merit review. It may be in violation of the Faculty Handbook, and it may also be in violation of the terms of if not also the process whereby our employment contracts have been established and are to be re-negotiated. We are left to believe that the point system was instituted for no other reason than a desire to establish a punishment system; it was certainly not established as resource to improve our ability to fulfill our missions or to improve how we may help the administration in our shared goals to recruit, retain, and graduate students successfully.

We recognize that gross disparities may exist in the levels of teaching, research, and service within departments, throughout the Colleges, and across the university. We are willing to engage the administration to help in addressing those disparities to the best of our abilities and within the confines of our limited resources. The administration has loudly proclaimed a renewed interest to engage with faculty in bottom-up strategic planning. However, by taking the unilateral action of implementing a point system for merit ranking, they have lost our confidence in the sincerity of any such statements. Such proclamations have become hollow words.

As the next step to regain our trust, we insist that the administration must remove all statistics that they have gathered on us and on the other departments using the point system. No further reference is to be made to them for any future purposes.

We await further a composed reply from the administration.
Present: Laird Burns, Monica Dillihunt, Jeff Weimer, Mike Banish, Tim Newman, Lori Lioce, Carmen Scholz, Seyed Sadeghi, Carolyn Sanders, Laurel Bollinger

Ex-Officio: Provost Christine Curtis

Guest: President Darren Dawson, Todd Barre, Sandra Parton, Laurel Long

➢ Faculty Senate President Laird Burns called the meeting to order at 12:51 pm.
➢ Meeting Review:
  o Chapter 5 passed first reading and voted to be placed on FS agenda.
  o Chapter 9 voted to be tabled.
  o Bill 437 and 438 passed first reading.
➢ Administrative Reports
  o Provost Christine Curtis
    ▪ The need for Pinopto to be 24/7 has been approved. It should be coming online shortly.
    ▪ There are a couple of things I want you aware of. The Cybersecurity Program will become Cybersecurity Engineering. When the proposal went in, they didn’t know what would be the appropriate program for it to go into. The request for change has been made. The faculty approved it. The changes will be that the charger foundations will change to 36 credit hours. That will allow for an additional Tech Elective and a second Capstone course. It will increase the technical side and meet requirements.
    ▪ We received a NIST report.
      • Carmen – The NIST has been forwarded by the Chair.
    ▪ I want to give an update on ACT score, it is 28.4. IPEDS required that you take the top of the sub scores. The ACT is allowing students to take test on specific sub test. We will have to start super scoring.
      • Mike- I thought they were going to readjust the composite. That is what we were told.
      • Provost - We have had two meetings with Legislative Services in term of funding. We have talked about metrics that we may be held accountable for. We have talked about different models. We are supposed to have a preliminary plan by January.
    ▪ President Dawson – The facilities report we gave last time hasn’t changed. The three VP searches are ongoing now. We hope to complete those by the end of the year.
      • Laird – Thank you both for the metrics issue. I understand there will be an outcome based system.
Guest from HR

- Laird – The issue we are having is we can’t see the cost under high deductible pertaining to prescriptions, etc. Maybe we need to better understand the process.
- Sandra – Our prescription drug program is Prime Therapeutics. BCBS determines how a drug is classified. The PPO has a $150 copay. The high plan has to meet the deductible, $1400 single, $2800 family. Then 80% of the drug cost is covered. Prime does analyze the formulary quarterly. A drug may be a preferred status and a generic come out. They may exclude a drug based on cost.
- Laird – Our question is how I can tell if my medicines will or won’t be on that list. We have had examples of certain drugs costing $2,000 and then receiving a generic not as effective.
- Mike – If they make quarterly changes to benefits, why can’t we change plans?
- Sandra – IRS only allows a change once a year. The only other option to change is a family status change.
- Laird – I realize they change quarterly. I would suspect a small change. Are we able to look in advance before we make the decision?
- Sandra – You can go out and look at the net one list and use the cost estimator.
- Tim – The net cost doesn’t factor in the prescription cost. It just uses last year’s cost. It doesn’t break it down for each drug. It doesn’t show the drug tier and cost. If you try to run that to ground, no one will give you that information. Ultimately, the only way you can do it, is use a prescription and take it yourself to the pharmacy. I can get the cost for PPO but not the high deductible.
- Sandra – The changes aren’t major changes. There are two changes in January. I asked for a list of how many that would affect and no one is affected. You are taking a true risk under the high deductible plan.
- Laird – They are good options for plans. We will do this again next year for the third time. How do we solve the fact of seeing our stable drug price?
- Lori – I received a letter that my drug is being removed. So I should be on the disrupted list.
- Mike – The issue is what the companies claim they are doing, they aren’t. Lori is getting a letter and the report isn’t reflecting that.
- Sandra – Let’s confirm that her prescription is one that I asked about. They do send out the letter two months prior to the change so you can prepare.
- Laird – If I want to choose between a PPO and a high deductible plan, can I get a disruptive report?
- Sandra – The drug list is the same but it won’t break out cost.
- Laird – Is there a way to get a letter to show what the drug cost change will be?
- Sandra – We will get with our representative and see what resources we have.
- Lori – Maybe we are asking for a FAQ sheet to give to our faculty.
- Laurel – There is an app, GoodRX that will show you a cost list.
- Tim – It won’t tell you the cost if you use our insurance. I think last year we changed the pharmacy manager and the plans at the same time. I think only doing one at a time would be best.
- Mike – My insurance is not through UAH. I use a combination of GoodRX and insurance.
- Laurel – You can’t combine the two.
- Sandra – About 11% went with high deductible. Last year was 140 and this year was 143.
- Monica – Some of the faculty in education want to know about short term disability in relation to faculty. Now it is left up to the Chair and Department to work it out. They felt forced to choose that option.
- Provost – Modified Duties is still in place. Lecturers aren’t included in that so I asked for short term disability. It doesn’t change the policy at all.
- Mike – How much do you interface with UAB and UA in regards to this?
- Sandra – We do quarterly meetings. UAB is a different animal because they have their own plan. They encourage their employees to take their plan.
- Lori – Can we join with them?
- Sandra – We could, but it is more expensive. It would limit providers.
- Mike – I have a supplemental insurance. That has been the best insurance.
- Sandra – It is a supplement to a high deductible plan?
- Mike – Yes.
- Todd – Please pass on concerns to us. It is part of our job to work with the system office. The ideas and concerns about what we have. Be sure your faculty representatives on the benefits committee bring these up to us. The system office has been changing their board rules. The reason you all received information regarding benefits late this year was because the system office. We have communicated that was an issue for us.
- Carmen – Where do you see our copay going? We are not above what the doctor charges, some are. I do know that the insurance makes money off those instances.
- Todd – We can ask our benefits representative to show models and help with that.
- Laird – We would like the representatives we have on the benefits committee to communicate back with us.
- Laurel – We had paperwork ready but we have to wait on the system office.
- Todd – We want to provide a clearer picture on how the authority works on our benefits. That would help everyone understand the moving parts.
- Laurel – We start looking at the plan around June.
- Lori – Is the benefits committee involved with that?
- Sandra – We report back to them.
- Tim – There was a published blackout period in which certain 403b plan funds (particularly those moving from VALIC to TIAA) were frozen. That period was longer than it seems it needed to be in the current day and age in which most financial firms are able to achieve transfers in a matter of hours or day. Regardless, after the blackout period ended, TIAA moved monies that were in mutual funds in GRA or RA contracts. All of those movements should have also taken place during the blackout period. It was strange for VALIC monies to finally appear at TIAA the evening of Oct. 23 - basically the last moment in the blackout period they could have appeared - and then 5 days later on the 30th, after the blackout period had ended, for VALIC-transferred mutual fund monies as well as TIAA GRA and TIAA RA mutual fund monies to then suddenly move to the TIAA RC contract.
- Sandra – It wasn’t dictated by the system office. They do quarterly reviews of our plans. TIA did a RFI and it made sense to change. The blackout period was long but when you get file data like that it has to be clean. It sounds simple but there are a lot of parts.
- Tim – The blackout period for the month but then all the money started moving again. The system has the right to disable who we select as a beneficiary. If you have a family change, that isn’t good.
Todd – We can look into protections that may have been lost.

Officer/Committee Reports
  Laird Burns, President
  Tim and I met with the President and Provost. We are trying to improve the shared governance aspect. We had a conversation about making committees active. There is an issue that came up and I asked the Provost. In the college of science they are doing a performance metrics.
  Jeff – I will introduce this as a representative of the chemistry department. I want it introduced for the minutes. I will only read the beginning sentence. Please find attached the entire protest on the implementation of a point system for performance review.
    • Mike – Tim, I don’t think that Jeff can do it as a member of the chemistry department.
    • Tim – Laird recognized him.
    • Jeff – I will read the first paragraph and third from last only. I wish we wait for a replied from administration. I ask that the reply be given at the Faculty Senate meeting.
    • Laird – I think that is fair to give the administration time to respond. We invite you to take time to address this.
    • Lori – They put a point system in place that affects your merit rating?
    • Jeff – We don’t really know.
    • Carmen – We have received a metric on what activities give certain points.
    • Laird – Retention didn’t have many points, so that encourages to not retain students.
    • Seyed – I don’t know if the ranking is global in the college or just departmental.
    • Carmen – I think it is departmental.
    • Monica – Who came up with the point system?
    • Laird – My information was that it was pushed down but we don’t know from whom.
    • Carmen – Some activities like dealing with non-thesis graduate students isn’t there. We choose a lot of time with them if we choose.
    • Laird – Thank you for raising the issue and I thank administration for pulling the veil on this.

Another question arose with our promotion and tenure process in the College of Business. There is a request to promote someone from a senior lecturer position to a Clinical Associate Professor, without going through the processes outlined in the Faculty Handbook and UAH Policy 022.01.06 (January 2003). I believe that position should have gone through the open announcement process. While, in my review of the handbook and the policy, I do not think the process being followed is correct, I am asking the Personnel Committee to review this for proper or improper process according to procedure.

We also received an invitation to attend UAH-wide slow forward movement toward digital accessibility compliance. I don’t really know what this is.
  • Lori – Does this fall under curriculum committee?
  • Laird– I think that would be good. I will try to get more clarification. We want to be involved in course content and ADA requirements.
We have an invitation from the staff senate. We are invited to work on the faculty staff clinic to increase funding.

- Lori – This is the staff resolution. They want us to mirror a faculty resolution. We want to make a joint effort. They provided a chart to show lost productivity for a faculty member to go to outside clinics. I think they are wanting to bring in a full time RN and two NP’s.
- Laird – I don’t have an issue with the joint resolution.
- Mike – I wouldn’t mind to just copy this.
- Monica – Yes, if we agree.
- Tim – You will have to get the complete language and passed first reading here. You can submit it as an emergency bill, but someone will probably object that.
- Laird – We will wait to present this next month.
- Tim – We could task faculty and student development to work this up and have it ready.
- Seyed – Yes, I think that works for us and relates to our work.

Mike Banish, Past President

Last time after we were done with the discussion about the student who was sick. I think we need to ask why we charge students when they are truly sick for health services. I can understand charging for a physical. Maybe the committee can think about that too.

- Lori – If we did provide 10K students free health care that is a large expense.

Mike Banish, Personnel Committee Chair

- We have chapter 5 and 9. I have our Associate VP of Facilities thoughts on parking.
- Tim – Do we want to move adoption for this for agenda? Tim seconds.
- Tim – I just saw a spelling error in 5.3.1.
- Laurel – I would check “its”.
- Tim – We would like to amend this to fix “principle” and “its”. I move this amendment. Mike seconds. Ayes carry.
- Laird – Move to place on agenda. Mike seconds. Ayes carry.

Chapter 9:

- Mike – Move to adopt Chapter 9. Member seconds.
- Tim – On page 3, middle page, spelling error. 9.12.3 – first line of page 14, “thrids” to “thirds”. End of that paragraph, say “faculty should refer”. 9.17.11 – page 20, please should change to “readers should”. 9.17.17, strike for to additional and look to can be found. I move to amend with those changes. Jeff seconds. Ayes carry.
- Tim – The other comments are substantive. First paragraph of 9.1, talks about nine month pay option. It states deductions are equally distributed over 12 months in that statement. Is that correct?
- Provost – That is my understanding.
- Laird – Change to the respective 9 or 12 months.
- Tim – I move that amendment. Mike seconds. Ayes carry.
- Tim – Section 9.3 on consulting. I think the wording is if my child is doing this, I have to report. I am thinking the intention is if I consult and I get compensation for my
child being hired. I think at the end of line one, I think it means by the faculty member. I would like to insert that. We want to prevent my going to Raytheon, and saying don’t pay me, pay my child.

- Mike – My intent of that is language that came down to us.
- Tim – I motion on line two for services, to change by faculty member, and remove the comma.
- Lori – I think you are making a big loophole.
- Jeff – Motion to extend ten minutes. Ayes carry.
- Mike – You need to clarify the definition of family.
- Tim – My motion is by faculty member, either remove, comma family member, stricken and replace or by family member.
- Mike – Your vocation is a nurse for the university. You can’t argue that you are only a professor.
- Jeff – I understood consulting as the university wanted to track it as university resources.
- Tim – There is an error on 438. It needs to be amended. I motion that. Jeff seconds. Ayes carry.
- Laird – All in favor of agenda. Ayes carry.
- Lori – I gave a draft of the bylaws for the December meeting.

Meeting adjourned at 2:21 pm.
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 Provost and Executive 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 facilitate 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 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, at a minimum, a written Annual 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. The Research Council will meet at least twice a semester during the academic year and at least once during the summer semester.

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 UAH faculty in academic departments and staff in research centers to identify 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 specialists to assist the UAH colleges and research centers. 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 principal 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 a specific Budget Analyst 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 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 regulations 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 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. One of the programs focuses on junior faculty research and creative activity. The Vice President for Research and Economic Development makes award decisions based on recommendations from a review committee that in general includes one senior faculty member from each of the colleges or schools that has tenured faculty members as well as representatives from the research centers and faculty senate. 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 will provide to the responsible administrator a detailed report information on research achievements, publications, interaction with faculty and students, teaching provided by center personnel, sponsored research funding, cooperation and interaction between colleges and research units, and short-term as well as long-term goals. These reports 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 or to the appropriate vice president 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 within 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 or the vice president to which the research center will report 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 passed 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

_____________________________________________  ________________
Campus Designee                          Date

_____________________________________________  ________________
Chief University Counsel                   Date

_____________________________________________  ________________
Provost and Executive Vice President for Academic Affairs  Date

_____________________________________________  ________________
Vice President for Research and Economic Development  Date

APPROVED:
FACULTY SENATE MEETING
October 17, 2019
12:50 P.M. LIB 111

Present: Laird Burns, Dilcu Barnes, Jose Betancourt, Amy Guerin, Laurel Bollinger, Joey Taylor, Andrei Gandila, Carolyn Sanders, Jeff Neuschatz, Christina Steidl, Mike Banish, Abdullahi Salman, Fat Ho, Earl Wells, Sherri Messimer, Kader Frendi, Christina Carmen, Elizabeth Barnby, Sheilah Gentry, Lori Lioce, Melissa Foster, Carmen Scholz, Jeff Weimer, Tim Newman, Huaming Zhang, Seyed Sadeghi, Gang Li, Monica Dillihunt, Ron Schwertfeger

Absent with Proxy: Sophia Marinova, Shuang Zhao, Gabe Xu, Darlene Showalter, Katherine Morrison, Eric Mendenhall, Harry Delugach, Paul Whitehead

Absent without Proxy: Tobias Mendelson, Kevin Bao, David Allen, Rolf Goebel, Jeremy Fischer, Seong-Moo Yoo, Ron Bolen, Leiqui Hu, Shangbing Ai

Ex-Officio: Provost Christine Curtis

Guest: President Darren Dawson

- Faculty Senate President Laird Burns called the meeting to order at 12:53 pm.
- Meeting Review:
  - Online Course Policy voted to be tabled.
  - Bill 436 passed second reading unanimously.
- Approve Faculty Senate Meeting Minutes #600 from September 19, 2019. Lori Lioce moves. Carolyn Sanders seconds. Ayes carry.
- Administrative Reports
  - President Darren Dawson
    - We completed the college and staff town meetings. We are working to put that together. The renovations for Morton are on schedule. Shelby Center and Spragins are also on schedule.
    - The refinance for the bonds is completed. We came out on the positive. We ended up with $4.4M. Most will be dedicated to Roberts. We are looking at completing the greenway. We are looking at upgrading the data center.
    - We are working on strategic planning based on our college meetings.
      - Laird – I noticed at Spragins, there is some interesting cement work. Should that be addressed?
      - President – Yes, we will look at that.
    - Kader – In the past, they have mentioned the renovation on tiles in Tech Hall. That has been completed. They mentioned going up to the third and fourth floor, can that be considered to be completed?
- President- Yes, we will look into that.
- Christina – I often give tours to prospective students and families. I have heard a lot of concern in regards to Sparkman Drive. They were asking about crossing that road. I want to mention again the consideration of a walkway. I know the cost is the considering factor. I know it could be appealing. I don’t want to wait until there is a tragedy.
- President – I have heard that is a main concern. This will be a huge cost and if it isn’t done well, it won’t be utilized.
- Carolyn – There is one on University that isn’t utilized. I wish we could just move it.
- Sherri – Could we ask for additional signage at that intersection? I almost witnessed a student get hit because he left before he had the walk signal. The student was oblivious to the car coming. Could that be possible?
- President – Additional pedestrian and motorist signage? Yes.
- Earl – What about the crosswalk from the library that has an audible signal? Maybe placing one of those.
- President – Yes, I will mention that.

 Provost Christine Curtis

- In the last few weeks, we have sent to you the Shelby Center report.
- We have sent responses to the request of multi parking passes. The answer to that from Office of Safety, is yes, they are happy to provide those. They will be available for spring semester. The other request for visitor passes. The Chief was ahead of that. He was already looking for a way to provide an email parking pass for a visitor. The process is underway to upgrade the system. It is in his program but has to be activated. It has been, but they are working out the issues. It should be ready by spring semester.
- You have sent us Chapter 5 and have received back from the VP of Research his comments. I am working to implement these changes with comments for your review.
- Tim Newman asked via email to address the online learning policy. There was a recent Supreme Court decision that we have to provide access to all students including visually impaired students. I spoke with those who work online courses and canvas. They were aware of this decision. They started working with staff that all our websites are accessible. At this point for online learning, we have QEPO. It is being revised to be more user friendly and shorter. This will allow you to create a course or revise a module. This has the latest information on making online learning accessible. They are working to make canvas more accessible for visual impaired. They are aware of the needs of our students.
  - Monica – May I suggest to speak with Dr. Eric Smith? He has done a lot of work in regards to this.
  - Provost – That sounds like a great idea.
  - Carolyn – When will the revision be done?
  - Provost – They are going to pilot it in January.
  - Laird – In canvas, I use lockdown browser for online exams. We probably should consider those who take these through lockdown browser how they can utilize any tools within this.
  - Lori – There is a live proctor in canvas.
• Sherri – Is there a way in lockdown browser to give these students more time?
• Monica – You can assign the whole class a certain amount of time and then a specific student can be assigned more time.
• Laird – Maybe we should have a FAQ section on how to give more time to certain students.
• Provost – Could you all send me your questions?
• Jeff – The canvas main site has resources for this? I am not aware of what our sister campuses our using?

We received an email from the Governor’s office. It has asked for our presence and every other four year university in Montgomery. The purpose of the meeting is performance based funding. We have been talking about performance based funding that it may come to Alabama. We have looked at the parameters of this but that is all we know at this point. The good news for us is Todd Barre has had extensive experience with performance based funding in Louisiana. He knows what works, what doesn’t, what hurts an institution. He is an invaluable resource. I am very glad he will be there. He says that if they use an incentive model, where you give money for improving performance, it works so much better than the models that take away.

I want to remind you all that assessments are due October 1. I am pleased in how we are responding to these assessments. If we continue this process for the next six to seven years, we will be in good shape.

• Sherri – Who does this involve?
• Provost – Some colleges have it to departments, some at college level.

Tim you had questions about the administration in regards to IPEDs data recorded by ACHE. I had not seen this information before. The last two years, I have been reviewing data. I went to Suzanne Simpson and she said the budget office polls that data. Late Tuesday, I received information from them. I understand now why we are so different. I am going to write a paragraph or two and pen the spreadsheet that shows what they did. From my understanding, there are different classifications of labor. The ones that you were looking at was in management. There are even different ones within management. It isn’t very clear. I went through and tried to classify people in terms of chief executives – counted who I thought would fit this. I will show you what I did. In that grouping of 573, what was included was all of the research centers, research scientist, IT, business office, and directors/associate directors. It was a comprehensive list. You will see when I send this to you what happened. The question is should we do it the way it was done. I am going to bring Suzanne and the budget office together and see how to set up these classifications. We have work to do. I will show you what was done. You can then see the classifications. If you have ideas, I will be happy to hear them.

• Joey – The students at the College Academy are bussed here. On the days that the city schools are out they are responsible to get here on their own measures. If they need to leave early for a doctor’s appointment, they can’t drive back here. They can if school is out but other than that, no. So that is posing a bit of an issue.
• Provost – We will talk with them and see what the issue is. We allow them to park.
- Carmen – Could I ask for clarification? I understand there was some rearrangement with professor’s with those teaching theatre.
  - Provost – I received an email from the Dean of AHSS. The request was for the theatre group to move to a different department. The primary reason was because they are a performing type. They were within a department that is primarily journal papers/books. Some of the annual reviews had been difficult. They felt they would be more productive if they were in a performance based department. They asked if they could move from communication arts to music. The faculty was in agreement. The Dean thought it would be positive for theatre and music.
- Carmen – What happens to communication arts presence in faculty senate?
- Lori – We will have to look into the final number.
- Tim – Two concerns with this. If there is a change to our representation, that changes the senate representation. It cannot be the case where they move in August and we just find out. This isn’t good governance processes. This is poor. I have a concern of shared governance with moves without the senate’s opinion. The curriculum committee didn’t receive anything in regards to this. It is unacceptable because it isn’t the first occasion.
- Monica – Tim, I served as a committee member. I remember the program change going through the committee last year.
- Carolyn – There has been no program change. There is no curriculum program change. I would view theatre and music under the same umbrella. I am not speaking for or against Tim’s point.
- Tim – The chair of the governance committee has just been made aware. I am the President-Elect and Parliamentarian and I am just finding out about it. I had to dig around to find out about this. I am sure our former President didn’t know about this.
- Mike – You are correct.
- Lori – Once a year, we look at these numbers and reevaluate the seats.
- Monica – Tim is saying we should have already known about this.
- Laird – For the future, President Dawson do you have any advice?
- President – I will have to get to the bottom of this. We will respond.
- Gang – We only have a graduate program. We want to integrate our undergraduate students. I wonder if there will be a forum allowing undergraduate students and faculty member to know each other better. We are in Cramer Hall, what about wireless in that building?
- Provost – I am under the understanding that is all under NASA. We don’t have any responsibility to that building.

- Officer/Committee Reports:
  - Laird Burns, President
    - Detailed information on benefits showed up yesterday. Was that a system office delay the reason it took so long?
    - Provost – I am not sure.
    - We have a couple of standing committees. We need someone for ADA Advisory committee.
      - Tim – It is Sophia Marinova.
    - Faculty 180 Governing Committee – Lori Lioce and Dilcu Barnes.
• International Visitors – I understand we now have a form to clarify when we have invited scholars. College of Science gave a presentation on this, it was very helpful.
• Lori, the calendar you were going to send me please include the meeting to reevaluate the seat numbers.
• The Shelby Center report did come. From what I read, the report does look good. There was a reference to the studies of the foundation credibility. The attachment on that didn’t include any further information.
• I did receive complaints from students on the I2C parking. They stated there are a lot of empty spots now that can’t be utilized.
  • President – We knew that was coming.
  • Provost – The center part now is commuter only. The students have priority there.
  • I had issues with Pinopto and called the number that only sent me to canvas. They sent me back to UAH to create a ticket.
  • Jeff – Yes we need this
  o Tim Newman, President-Elect
    • There are two items that we are working on. Academic Misconduct Policy and Chapter 9.
  o Mike Banish, Past President
    • No.
  o Monica Dillihunt, Parliamentarian
    • No.
  o Carmen Scholz, Ombudsperson
    • There are four cases before the ombudsperson.
  o Lori Lioce, Governance and Operations Committee Chair
    • We will have recommended bylaw changes from the governance committee. The team is doing a great job. We are moving everything to online voting. We will be looking for President-Elect and Ombudsperson in spring.
  o Laurel Bollinger, Undergraduate Curriculum Committee Chair
    • We are working on two program changes.
  o Jeff Weimer, Finance and Resources Committee Chair
    • The portal for faculty submissions for RCEU is open through November 1st. I can take on the motivation to contact the Deans.
  o Carolyn Sanders, Undergraduate Scholastic Affairs Committee Chair
    • The committee is working feverishly to modify the Academic Misconduct Policy. It will be ready for the FSEC meeting in November.
  o Seyed Sadeghi, Faculty and Student Development
    • No report.
  o Mike Banish, Personnel Committee Chair
    • I want to go back to university committees. I assume ADA Advisory hasn’t met yet. Campus Planning, Kader, have you met?
    • Kader – No.
    • Benefits – Kader – We did meet. This is the open enrollment. You have to enroll. There are some changes.
    • Laird – You do not enroll, they drop you. This is the second year for this.
    • As faculty senators, please put that out.
    • Kader – We have the same options for high deductible.
- Laird – With high deductible, prescription changes did occur. Is there a way to check our medications?
- Kader - I think they are holding meetings.
- Lori – There is a benefit calculator that helps you go through this.
- Laird – Is it the actual script?
- Tim – That tool isn’t that helpful for those going to high deductible. In PPO, they tell you what tier that is in, but the high doesn’t. You can submit your prescription to your pharmacy and find out. They have a contractual deal that forces them not to disclose that information.
- Laird – We have several individuals that need a certain prescription and what they change to may not be an equal replacement.
- Monica – Did you say we are having an increase this year?
- Kader - There is only one dental plan. There was some increase.
- Financial Aid committee that I am on, hasn’t met. Library hasn’t met. Student Conduct Board hasn’t met. Honorary Degree and Naming hasn’t met. Student Affairs Advisory Board hasn’t met. Student Traffic Appeals hasn’t met. University Commencement hasn’t met. Budget and Planning hasn’t met.
- Laird – Budget hasn’t met yet because of Todd’s schedule. We will keep pushing to get on his calendar and receive information on how the calculate.
- Monica – Lori and I went back to Student Conduct board. There isn’t a chair appointed so that may be why they haven’t met.

**Online Course Policy**
- Laird – Do I have a motion to consider this? Carolyn moves. Monica seconds. Any comments?
  - Tim – My understanding there was supposed to be an amendment brought to the floor for point four to give us a legal safe harbor.
  - Monica – Yes, but Whitney hasn’t given us the exact language.
  - Tim – I move to put this on the table. Also I request additional time to accommodate this change. Monica seconds. Ayes carry.

**Bill 436:**
- Laird – Thank you, Ron for continuing to move this forward. Motion to consider this. Tim moves. Mike seconds.
  - Ron – Academic libraries have implemented Makerspace. In looking at other universities, we have set aside budget for the 3D printer in place. We can’t go live with this until the students can submit their print job and pay for their item.
  - Laird – I hear there are a lot of students that have expressed excitement.
  - Ron – Yes, they keep asking about this.
  - Laird – My concern was with the Copyright and Intellectual Property. I want students to be aware if they use these resources. I wonder if there is a form or plaques stating this?
  - Ron – I modified the policy to include that. In the policy, includes the form. It states they have read and are aware of copyright and intellectual property. This includes no weapons, UAH logos. This includes no items for commercial purpose. We tried to make it clear to be aware of policies that already exist.
  - Roy – This list reminds me of elementary school. It seems to me there is a broader way to draw this. If there were any safety concerns, list contact information. Instead of a blanket ban, maybe just have something broader.
▪ Mike – I say move two to be four and renumbered under section seven. Earl seconds. All in favor. Ayes carry.
▪ Jeff – Point of procedure, this is a bill that contains a policy. May I ask of protocols of approving a bill then a policy? I made a recommendation to separate those two processes. I would suggest the policy have the standard template towards the end stating it will be reviewed under such a time?
▪ Tim – According to our bylaws, the business the senate considers in a form of resolution, we call them bills. The form of the submission is appropriate for a senate initiate policy. A resolution can be a policy. We have considered many policies that aren’t senate initiated. I think the Policy of Policies in this regard is in violation to our bylaws. I would argue this resolution is in appropriate format and other policies haven’t been.
▪ Laird – Jeff commented about every five years for review.
▪ Jeff – I make a friendly amendment that it states the policy will be reviewed. Mike seconds. All in favor. Ayes carry.
▪ Earl – What happens if the item they create is stolen are we held responsible? I would say just mimic user license agreements.
▪ Ron - We have looked extensively at other universities and they don’t have policies in place.
▪ Laird – Ron, is this something you can do internally within the library.
▪ Laurel – On the restrictions, you may place a seventh item. Number seven could consider materials inappropriate by library faculty and staff. You may want the ability to say no even if it isn’t listed specifically.
▪ Anne Marie – Maybe just to include something to be in line with student conduct.
▪ Tim – Item seven, included in the form and policy, no items violating the student conduct. Mike seconds. Ayes carry.
▪ Laird – All in favor of the policy. Ayes carry.

➢ Meeting adjourned at 2:22 pm.