

## **FACULTY SENATE MINUTES**

### **October 14, 2010**

The Faculty Senate of the University of North Alabama met October 14, 2010 in Room 100 of Floyd Science Building at 3:30 p.m.

President Richardson called the meeting to order and recognized the following proxies:

Scott Infanger for Senator Lindley from Foreign Language,  
Matt Green for Senator Hall from HPER,  
Mandy Wicks for Senator Frederick from Kilby,  
Bob Garfrerick for Senator Snyder from Entertainment Industry, and  
Dhrumi Patel for Senator Ogun from Human Environmental Sciences.

Senator Statom moved the adoption of the agenda. Senator Gaston seconded. The motion passed.

Senator Statom moved the approval of the September 9, 2010 and the October 5, 2010 minutes. Senator Austin seconded. The motion passed.

President Cale stated that he could not add anything to this numbing agenda!

Vice-President Thornell discussed the issue of email withdrawal. This procedure was designed especially for the on-line students. A student who emails the registrar with a request to withdraw will cause an email be sent from the registrar to the faculty member and copied to the student. The faculty member will then respond to the email. Dr. Thornell also reported on the faculty handbook. He stated that the administration has learned that some pages are applicable to all employees, not just faculty. There is a suggestion to have only policies related to faculty separated and have Human Resources maintain an employee handbook. He also reported that the Editing Committee has completed the first four chapters of the Faculty Handbook. The Senate Executive Committee recommended that these chapters be sent to the Faculty Affairs Committee of the Senate to review that the editing does not make substantive changes. They are asked to present their results to the Senate Executive Committee and the final edited version will be presented to the senate. Dr. Thornell requested that any further changes to the Faculty Handbook necessary for SACS compliance be presented to his office as soon as possible.

## **REPORTS:**

- A. President Richardson reported that the Ad hoc Committee on Modification to Shared Governance Structure is meeting and work is continuing.
- B. Senator Adams presented the final report and recommendation to the senate from the University Wide Promotion and Tenure Portfolio Review Committee. (See Attachment A) He noted that number 4 and 9-12 were from the committee while the others were response to senate concerns. Senator Statom moved postponement of consideration of these issues until November 11 meeting. Senator Gafford seconded. The motion passed.
- C. Senator McGee stated that he met with Randy Horn and Steven Putman in Computer Services and consulted with James Jerkins from the Mathematics and Computer Science Department and is in the process of developing a Faculty Computer Rights Policy. The computer policies from Georgia Tech, Texas A&M, and N. Texas Universities have also been considered. Vice-President Thornell stated that currently there is one policy for all employees. President Richardson requested that a written policy be presented at the next regularly scheduled meeting.
- D. Senator Statom reported that the Ad hoc Committee on Equity and Standards in Tenure and Promotion hopes to have a report at the next meeting.

## **UNFINISHED BUSINESS:**

Senator Statom moved to postpone indefinitely the vote on the amendment to the amendment to the change of the first paragraph of Section 4.13 of the Faculty Handbook. Senator Lee seconded. The motion to postpone indefinitely passed. Senator Statom moved to postpone indefinitely the vote on the main motion concerning Section 4.13 of the Faculty Handbook from last month. Senator Lee seconded. The motion passed. Senator Gaston moved the approval of the recommended changes to Section 4.13 and Appendix 4C of the Faculty Handbook presented by Dr. Thornell. Senator Lee seconded. Senator Takeuchi moved the removal of the sentence "During the conference, the faculty member shall submit the following year's goals." The motion failed for lack of seconded. The motion to accept the recommended changes passed. (See Attachment B)

## **NEW BUSINESS:**

- A. Senator Statom moved the approval of the proposed changes for acceptance of credit from non-regionally accredited institution. Senator Loeppky seconded. The motion passed. (See Attachment C)
- B. Senator Adams moved the approval of the proposed changes to the university admission requirements. Senator Statom seconded. The motion passed. (See Attachment D)

- C. Senator Lee moved the approval of the proposed revision to Section 3.5.4 of the Faculty Handbook to insert the University Portfolio Review Committee into the process. Senator Statom seconded. The motion passed. (See Attachment E)
- D. Senator Roden moved the approval of the proposed revision to Section 4.4.3 of the Faculty Handbook related to curriculum development. Senator Austin seconded. The motion passed. (See Attachment F)
- E. Senator Loeppky moved the approval of the proposed University Copyright Policy. Senator Gaston seconded. The motion passed. (See Attachment G)
- F. Senator Statom moved the approval of the proposed guidelines for volunteering services to establish and endowment. This policy has already been approved by the Board of Trustees on June 9, 2010. Senator Figueroa seconded. The motion passed. (See Attachment H)
- G. Senator Adams moved the approval of the proposed second chance provision. Senator Lee seconded. The motion passed. (See Attachment I)
- H. Senator Adams moved the approval of the proposed changes to the acceptance of seniors/unclassified students to take graduate courses. Senator Statom seconded. The motion passed. (See Attachment J)

#### **ANNOUNCEMENTS:**

President Richardson stated that this may be the last meeting when documents will be printed. The documents will be sent by email and each senator can print as needed.

Senator Roden moved that the meeting be adjourned. Senator Gaston seconded. The motion passed. The meeting adjourned at 4:40 p.m.

## ATTACHMENT A

### **Final Report and Recommendations to the Faculty Senate from the University Wide Promotion and Tenure Portfolio Review Committee for the promotion/tenure cycle 2009/2010.**

We have now completed a full cycle for promotion and tenure review. After careful review and discussion of the process, the committee recommends the following:

1. That only full professors review and evaluate applications/portfolios for full professor with respect to tenure and promotion criteria.

*We recommend that all members of the committee review all portfolios. In the event a consensus agreement cannot be reached by the committee, then only full professors will vote in making the final decision on a candidate for full professor.*

2. That the inaugural committee be tasked with consulting with all other parties in the process in developing a timeline for the submission and evaluation of portfolios.

*This recommendation has been resolved with the document/recommendation the Faculty Senate considered at the April 29, 2010 meeting. The proposed timeline was accepted and is now in effect. (See the attached sheet). In addition, a timeline for tenure portfolio review has been worked out in consultation with the VPAA. This committee will continue to review portfolios during the same time as the VPAA.*

3. That the inaugural committee be tasked with developing a guideline, or guidelines, for procedures regarding review and evaluation of portfolios with respect to tenure and promotion criteria.

*We are now developing procedural guidelines and should have this task completed by semester's end. A draft copy is appended to the end of this document (following the attachment).*

4. *We recommend the committee follow a Chair-elect system to provide continuity from one cycle to the next. By the necessity, the Vice*

**Comment [t1]:** Faculty Senate 10/14/2010  
Item VII. B.

*chair/Chair-elect will need to be a member entering the committee for the first year of the two-year term. This person will automatically become the Chair in the second year of the term. This person is to be selected by the committee.*

5. That all members of the committee participate in an orientation regarding procedures and guidelines with respect to tenure and promotion criteria at the beginning of each submission and evaluation cycle.

*We recommend that such an orientation become the first piece of business at the formation of each cycle's committee. It will be the responsibility of the incoming Chair (elect) to conduct such an orientation.*

6. That departmental criteria with respect to tenure and promotion criteria, unique college criteria and policies with respect to tenure and promotion criteria, and university policies with respect to tenure and promotion criteria be made available to each member of the committee.

*We have discussed this recommendation and have found that, in the one instance in which the material was provided, having this information available is invaluable to the determination process. Therefore, we recommend that the departmental criteria/guidelines for promotion/tenure be included with each candidate's portfolio.*

7. That the committee perform a year-end process/procedures review and prepare a report to be distributed at all levels of the process. This report should include what worked well, what did not work, and remediation recommendations.

*We have discussed this recommendation and have found that it is imperative in preserving the integrity of the process. We are now in the process of developing procedures/guidelines and doing a full process review.*

**Comment [t2]:** Faculty Senate 10/14/2010  
Item VII. B.

8. That all portfolios submitted, regardless of recommendation(s), should move through the entire process.

*We have discussed this recommendation and have found that it is imperative in preserving the integrity of the process.*

9. *The committee recommends that only the ten-page portfolio ( including all forms as described in the Faculty Handbook Section 3.5.3) be forwarded to the committee and that all supplementary materials be maintained separately from those portfolios. The location of the supplementary materials will be determined by the VPAA.*
10. *The committee recommends that all portfolios that are incomplete or not in compliance with the stated Faculty Handbook guidelines(Section 3.5.3) be considered as non-responsive.*
11. *The committee recommends that all language on all forms be regularized so as to avoid confusion in (e)valuation of a given candidate's credentials. This language is actually specified in the dean's paragraph in the Faculty Handbook 3.5.3, and the committee recommends this specific language be used at all levels and on all evaluation documents.*
12. *For the purposes of this committee in this process, we recommend the cycle calendar begin with the promotion portfolios. Consequently, the committee will need to be (re)populated by the President as soon as is possible after the completion of the tenure portion of the cycle (in October), instead of along with all other University committees at the beginning of the Fall semester (in August), as this will allow time for orientation and preparation for the upcoming cycle.*

For the University Wide Promotion and Tenure Portfolio Review Committee

6 October, 2010

**Comment [t3]:** Faculty Senate 10/14/2010  
Item VII. B.

## MEMORANDUM

April 14, 2010

**TO:** Faculty Senate

**FROM:** Richard Statom, Faculty Senate President

Larry Adams, Chair, UNA Portfolio Review Committee

**SUBJECT:** Proposed modification to Appendix 3.C (Faculty Handbook Promotion Timeline)

Attached is a proposed modification of Appendix 3.C (the Promotion Process Timeline) of the Faculty Handbook. This modification would not change the current dates for submission of a portfolio or the date of notification of a promotion, but would allow more time for the Portfolio review Committee to perform their duties. The chair of the Portfolio Review Committee and the VPAA has requested that this proposed modification be addressed by the faculty senate at the April 29 meeting. In accordance with faculty senate rules, this proposal is submitted to the senate at least 14 days prior to the April 29 meeting, and as such can be addressed at that meeting.

**Comment [t4]:** Faculty Senate 10/14/2010  
Item VII. B.

## APPENDIX 3.C

UNA PROMOTION PROCESS	
TASK	TARGET DATE*
Candidate presents portfolio to Department Chair	October 10
Department Chair forms Peer Promotion Committee and informs College Dean of candidates	October 20
Peer Promotion Committee reviews portfolios, completes evaluation for candidates, and provides evaluation letter to department chair	November 1
Department Chair reviews portfolio, completes evaluation for candidates, and provides evaluation letter to dean	November 15
College Dean reviews portfolios, completes evaluations for candidates, and provides evaluation letter to VPAA	January 10
VPAA reviews portfolios, completes evaluations for candidates, and provides evaluation letter to the President	March 1
University Tenure/Promotion Committee reviews portfolios, completes evaluation for candidates, and provides evaluation letter to VPAA	March 1
President or his/her designee makes final decision and informs VPAA and Provost	March 15
VPAA and Provost informs deans of final decisions. Candidates are notified by deans and written feedback from department chair and/or deans is provided to candidates.	March 15 (promotions remain effective as of March 1)
Portfolios are picked up from dean	March 30

\*If target date falls on a university non-workday, the next workday applies.



**PROCEDURES & GUIDELINES for the UNIVERSITY WIDE PROMOTION  
And TENURE COMMITTEE**

- 1) As soon as the new committee membership is determined and constituted, the Chair will call a meeting for the express purpose of orienting the committee, especially incoming new members, to these procedures and guidelines.
- 2) As soon as the portfolios become available, the Chair will notify the committee of the location of the portfolios and the committee will begin the review process. Portfolios will be housed in a location chosen by the Vice President for Academic Affairs (VPAA).
- 3) Each member of the committee will review each portfolio submitted, regardless of recommendation and concurrence at previous stages in the process.
- 4) After all members have reviewed the portfolios, the committee will meet *en masse* to discuss each portfolio.
- 5) Upon reaching a decision for each portfolio, the Chair will schedule a meeting of the committee with the VPAA.
- 6) After discussing the portfolios with the committee, the VPAA will forward the committee's concurrence, or lack thereof, to the President. \_\_\_\_\_

**Comment [t5]:** Faculty Senate 10/14/2010  
VIII. A.

## **ATTACHMENT B**

**From:** Thornell, John G.  
**Sent:** Tuesday, September 28, 2010 3:27 PM  
**To:** Richardson, Terry D.  
**Cc:** Townsend, Darlene P.; Adams, Larry W.; Webb, Brenda H.; Carnes, Gregory A.  
**Subject:** Faculty Evaluation Section 4.13  
**Attachments:** FE Form #2.doc; fh4 -- Thornell revision to Faculty Evaluation.doc

Dear Terry, pursuant to the previous meeting of the Senate, a small group (Larry Adams, Brenda Webb, Darlene Townsend, and Greg Carnes) and I visited through email exchange on the proposed language for 4.13. Attached is our recommendation. There are two attachments - the 4.13 narrative and a revised faculty evaluation form to accompany the narrative. Beyond the charge to redo the first paragraph, we also did some minor editing and clarified the recordkeeping process. Thank you. John Thornell

#### 4.13 FACULTY EVALUATION

**Comment [t6]:** Faculty Senate 10/14/2010  
VIII. A.

The purpose of the Faculty Evaluation Program is to provide ~~uniform, valid and reliable data~~ to improve the quality of teaching, research, and service and promote faculty development for the improvement of education. All faculty members are expected to participate fully and in good faith in this process as part of terms and conditions of employment at the University. ~~assessment of faculty performance based on designated areas of engagement approved by the University. Toward that end, all faculty members are expected to demonstrate continuous involvement and effectiveness in the areas of:~~

(1) teaching/professional effectiveness; (2) research, scholarship, and/or creative activities related to the faculty member's discipline and/or professional responsibilities; and (3) service performed on behalf of and/or in affiliation with the University, professional association, or as a civic or social service in the local community.

~~All faculty members are expected to demonstrate ongoing effectiveness in teaching, research, scholarship, and/or creative activity; and service. Each department will develop and distribute to its faculty a document setting forth explicit measurable criteria for evaluation of its faculty, procedures for interpretation of faculty data; and standards of performance. Each department's statement of criteria, procedures, and standards is subject to approval by the dean of its college, who will consult with the Vice President for Academic Affairs and Provost to assure consistency with the purpose and goals of the University and equity of criteria, procedures, and performance standards across the University. Departmental statements will be reviewed at least once in each five-year period.~~

##### 4.13.1 Components of the Program

Updated Curriculum Vitae. The vitae shall contain detailed background and professional achievement data - educational background; degrees; teaching and other professional experience; scholarly and creative activities; service to the department, university, and community - and any information deemed relevant to the department or faculty member. The vitae shall be updated yearly **by May 15** and ~~placed in the faculty member's~~ **retained on** file in the ~~departmental office, in the college dean's office, and in the Office of the Vice President for Academic Affairs and Provost.~~

Faculty Member's Summary Evaluation Report and Goal Planning Form. Each full-time faculty member will establish yearly ~~professional~~ **professional** goals ~~related to departmental and institutional goals for the upcoming year. These goals shall be measurable and shall reflect departmental standards for teaching, service, and scholarly activity. Each goal will clearly describe what is to be accomplished during the upcoming year.~~ The faculty member will contact the department chair to establish a meeting date **prior to May 15** in order to discuss, ~~come to a consensus, and submit~~ **professional** goals for the coming year.

(See Appendix 4.C, ~~Faculty Evaluation Report-Summary Evaluation Report and Goal Planning Form~~) During the conference, the faculty member and department chair shall come to a consensus on the following year's goals. If the faculty member was employed the previous year, he/she will complete and submit on this form a statement of accomplishments relating to the prior year's goals. The faculty member and the department chair will, during the meeting, discuss the specific goals and the improvements made which the faculty member has documented. This form will be transmitted to the appropriate academic dean for review. A signed copy of the Faculty

~~member's yearly goals and summary evaluation is to be kept in the individual's permanent personnel file in the department chairperson's office, the appropriate dean's office, and the Office of the Vice President for Academic Affairs and Provost.~~ **Evaluation Report shall be retained in the college dean's office.**

**Student Rating of Faculty.** Student rating of faculty will be used university-wide (except Kilby School and University libraries/**educational technologies**) to collect information about students' perceptions of courses and faculty. Departments may add items to the campus form. (See Appendix 4.C.) Student evaluations will be administered every semester in each class section enrolling five or more students. Student comments should be collected and given to the faculty member in a ~~typed~~ format to ensure anonymity. Departments may use alternatives to the campus form in laboratories, studio courses, and other courses taught in non-lecture format. The faculty member will announce to the class in advance that the rating forms will be administered. **[NOTE: The order of the following sentences has been revised.]** The professor will read the following statement to the class: "The evaluation you are about to complete is intended for constructive feedback. After your final grades in this course have been submitted, your tabulated responses will be seen by the instructor of the course and the chair of the department or dean. It is important for you to realize that you have a responsibility to be fair and honest. Since the purpose of the evaluation is improvement, if you are going to be critical, try to document your criticism in your responses in such a way that the instructor can benefit and improve his/her teaching of this course. Be as responsible in completing this form as you would be if you were going to sign it. The instructor of this course will not see the results of these forms until the semester is over and the final grades have been submitted. A blank sheet of paper is provided should you wish to make comments." The faculty member should give the envelope with the blank forms and instructions to the student proctor, who is to be chosen from the class by the faculty member. The faculty member will leave the classroom. The faculty member will allow students ample time to complete the form. As students finish the questionnaires, they will place their evaluation responses in the envelope so marked. When everyone has put his/her form in the proper envelope, the student proctor will seal the envelope and take it to the office of the department chair. The departmental ~~secretary~~ **administrative assistant** will collect all sealed envelopes and forward them to the Office of Institutional Research, **Planning, and Assessment, and Planning (OIRAPPA)** for processing. The OIRAPPA will process the forms in a timely fashion and forward results to the department chair. The summary of the ratings shall ~~become a part of the faculty member's file~~ **be retained on file in the department chair's office** and shall be shared with the faculty member.

**Performance Evaluations.** Using the faculty member's updated curriculum vitae, annual statement of goals and accomplishments, student ratings, and other appropriate information, department chairs will provide each faculty member a written performance evaluation on the following schedule: by **September 15** every year for nontenured faculty and every two years for tenured faculty. Performance evaluations may be provided more frequently at the discretion of the department chair or upon request by the faculty member or the dean of the college. ~~Performance evaluations will be based on approved departmental criteria for evaluation, procedures for interpretation of faculty data, and performance standards.~~ The evaluation will be signed by both the department chair and the faculty member. The faculty member has the option of submitting a written response to the department chair by **September 30**. Copies of the evaluation and any response ~~will be kept in the individual's permanent personnel file in the department chair's office, the appropriate dean's office, and the Office of the Vice President for~~

**Comment [t7]:** Faculty Senate 10/14/2010  
VIII. A.

~~Academic Affairs and Provost~~ shall be retained in the college dean's office.

For department chairs, performance evaluations will be conducted in accordance with the above process and scheduled by the dean of the appropriate college and will include evaluation of administrative performance as well as the elements specified above.

Deans are expected to consult department faculty and staff in conducting evaluations of the chair.

#### **4.13.2 Use of the Results of the Program**

The Faculty Evaluation Program is an integral component of the University's institutional effectiveness program. Departments will use information collected through the Faculty Evaluation Program in their departmental and academic program reviews with special care to document use of the program to improve teaching, research, and service.

**Comment [t8]:** Faculty Senate 10/14/2010  
VIII. A.

University of North Alabama  
**FACULTY EVALUATION REPORT**  
~~Summary Evaluation Report (academic year) and Goal Planning Form (academic year)~~

NAME: \_\_\_\_\_

DEPARTMENT: \_\_\_\_\_

**What were your professional goals this year?**

University goals reference is deleted since the goal of high quality programs is same for all submissions.

**What was accomplished relative to these goals?**

**After evaluating your goals/accomplishments for the current year, indicate your goals for the upcoming year relative to teaching/ professional effectiveness; research, scholarship, and/or creative activities; and service.**

**Faculty Member                      Date**

**Reviewed By:**

**Date:**

Department Chair

\_\_\_\_\_

Dean

\_\_\_\_\_

Vice President for Academic Affairs and Provost

\_\_\_\_\_

\*Attach updated vita per Faculty Handbook

Instructor \_\_\_\_\_ Course Number \_\_\_\_\_ Semester \_\_\_\_\_

Please read the following instructions carefully:

The purpose of this evaluation is to help the instructor improve his/her teaching performance and this course. Your instructor is cooperating in this evaluation and your participation is requested but not required.

When everyone has completed the evaluation, a student will collect all forms, place them into an envelope, seal it, and deliver it to the departmental secretary. The departmental secretary will hold the forms until after final grades are submitted, so there is no possibility of your comments having an effect on your grade.

At the discretion of the individual department, this evaluation may be manually or electronically scored. If it is electronically scored, a score sheet will be provided. On the score sheet provided, please use a No. 2 pencil to mark the appropriate code for this course and your responses. Because these sheets will be scored by machine, be sure to darken the space completely and erase completely if you decide to change a response. If the evaluation is to be manually scored, circle your response using the following rating scale:

a	b	c	d	e
Strongly Agree	Agree	Neutral or No Opinion	Disagree	Strongly Disagree

## INSTRUCTOR EVALUATION

- |    |   |           |
|----|---|-----------|
| 1. | The instructor has a thorough knowledge of the subject matter.                      | a b c d e |
| 2. | The instructor's course presentations were well organized.                          | a b c d e |
| 3. | The instructor had office hours posted and was available during those hours.        | a b c d e |
| 4. | The instructor provided adequate feedback and/or evaluation of student performance. | a b c d e |
| 5. | The instructor dealt fairly and impartially with all class members.                 | a b c d e |
| 6. | The instructor has effective oral communication skills.                             | a b c d e |
| 7. | The instructor was on time for class and the class met as scheduled.                | a b c d e |
| 8. | The instructor provided learning enhancement activities other than lecture.         | a b c d e |
| 9. | Overall, the instructor was an effective teacher.                                   | a b c d e |

## COURSE EVALUATION

- |     |  |           |
|-----|--|-----------|
| 10. | Course objectives and methods of evaluation were distributed via the class syllabus during the first week of school.           | a b c d e |
| 11. | Instructional materials, including the textbook, were adequate and appropriate.  | a b c d e |
| 12. | The evaluation procedures used provided me with an adequate opportunity to demonstrate my understanding of the course content. | a b c d e |
| 13. | The course improved my understanding of concepts and principles in the subject matter covered.                                 | a b c d e |
| 14. | The requirements and criteria stated in the syllabus accurately described those applied in the course.                         | a b c d e |
| 15. | I would recommend this class to other students.  | a b c d e |

OPTIONAL ITEMS: ITEMS 16-25 MAY BE USED FOR ITEMS SPECIFIED BY THE DEPARTMENT OR INSTRUCTOR.

**Comment [t11]:** Faculty Senate 10/14/2010 VIII. A.

- 16.     abcde
- 17.     abcde
- 18.     abcde
- 19.     abcde
- 20.     abcde
- 21.     abcde
- 22.     abcde
- 23.     abcde
- 24.     abcde
- 25.     abcde

If you marked any items as d or e, please indicate your reasons below.



## **ATTACHMENT C**

### **Accepting Transfer Credit from Non-Regionally Accredited Institutions**

An undergraduate transfer student with credits from a post-secondary institution not accredited by one of the six U.S. regional accrediting associations but accredited by one of the agencies recognized as an accrediting agency by the U.S. Department of Education, or by an appropriate governmental agency in the country in which the institution is located, may request an evaluation of those credits for the purpose of counting toward graduation at UNA. For the courses to be eligible for consideration, the student must have completed 24 semester hours at UNA with a GPA of at least 2.000. Students seeking an evaluation should submit a request to the Office of the Dean of Enrollment Services who will review the request and forward it to the appropriate college dean and/or admissions office based on the type of credits being submitted. This policy may not be applicable for certain majors where credits from non-accredited institutions are not accepted. Requests for exceptions in unusual cases and based on sufficient documentation to verify academic quality may be submitted for review by the Council of Academic Deans.

#### Rationale for Change

Our current catalog states that we accept transfer credit only from regionally accredited institutions. Our policy, however is more closely aligned with the language above. In preparation for SACS, it is important that our admission procedure be consistent with policy.

## ATTACHMENT D

### University Admission Requirements

#### Current Language (p. 22 of 2010-11 Graduate Catalog)

1. Possession of a bachelor's or higher degree in an appropriate field of study from an institution regarded as standard by this University and by a recognized regional accrediting agency.

#### Proposed Language

1. Possession of a bachelor's degree or equivalent in an appropriate field of study from an institution that is accredited by one of the six U.S. regional accrediting associations, by one of the agencies recognized as an accrediting agency by the U.S. Department of Education, or by an appropriate governmental agency in the country in which the institution is located. Teacher education or nursing majors should contact the college dean concerning restrictions that may apply. Any exceptions to this policy require the approval of the dean of the college in which the graduate major is housed.

#### Current Language (p. 30 of the 2010-11 Undergraduate Catalog)

1. Credit is accepted only from institutions accredited by a regional accrediting agency.

#### Proposed Language

1. Credit is accepted only from institutions that are accredited by one of the six U.S. regional accrediting associations, by one of the agencies recognized as an accrediting agency by the U.S. Department of Education, or by an appropriate governmental agency in the country in which the institution is located. Any exceptions to this policy require the approval of the dean of the college in which the major is housed.

#### Rationale for Change

These changes reflect the same language being proposed for acceptance of transfer credit. Again, consistency between policy and procedure is needed as we prepare for SACS.

## ATTACHMENT E

**Comment [t13]:** Faculty Senate 10/14/2010  
Item IX. A.

**Comment [t14]:**

## MEMORANDUM

To: Dr. Terry D. Richardson, President  
UNA Faculty Senate

From: Dr. John G. Thornell, Vice President  
for Academic Affairs and Provost

Date: June 17, 2010

It has come to my attention that the Promotion Policy as outlined in the Faculty Handbook was revised to reflect the role of the University-Wide Portfolio Review Committee but the tenure policy was not. Therefore, this memorandum is presented to request that the Faculty Senate consider a revision to the Handbook to add this provision. As such, I have taken the liberty of providing recommended language. However, I will defer to the Faculty Senate to deliberate this issue and make appropriate recommendations.

In the absence of a timeline outlined for the tenure policy and the role of the University-Wide Portfolio Review Committee, for this year we have recommended that the committee follow a deadline of September 15.

Please feel free to give me a call to discuss this request or any questions you may have in this regard. Thank you.

rv Enclosure

Proposed deletions are indicated with strike-through marks; proposed additions are indicated with underlined text.

#### **3.5.4 Tenure**

An award of tenure is not a right but a privilege which must be earned by a faculty member on the basis of his or her performance during a probationary period. The granting of tenure is never automatic. Normally, tenure is granted after a faculty member has been evaluated by the tenured faculty members in a department, the department chair, the college dean, the Vice President for Academic Affairs and Provost, and the President. However, the President may, after appropriate consultation, grant tenure at any time if good and sufficient reasons exist for doing so.

Policy on tenure, or continuing contract status, as adopted by the Board of Trustees of the University of North Alabama, provides that a person appointed to the faculty rank of instructor will serve a probationary period of six successive academic years and will be granted tenure upon acceptance of an offer of appointment from the President for the seventh consecutive academic year. A person appointed to the faculty in the academic rank of assistant professor will serve a probationary period of five successive academic years at this University and will be granted tenure upon acceptance of an offer of appointment from the President for the sixth consecutive academic year. A person appointed to the faculty in the academic rank of associate professor will serve a probationary period of four successive academic years at this University and will be granted tenure upon acceptance of an offer of appointment from the President for the fifth consecutive academic year. A person appointed to the faculty in the academic rank of (full) professor will serve a probationary period of three successive academic years at this University and will be granted tenure upon acceptance of an offer of appointment from the President for the fourth consecutive academic year. A faculty member holding the academic rank of instructor, assistant professor, associate professor, or professor may, at the discretion of the university administration, be granted leave without breaking the successive years of employment for tenure purposes, but years of leave will not count as years of service toward tenure unless specifically granted in writing at the time leave is granted.

Except as otherwise stated herein, the following process will be followed in determining whether a faculty member will be awarded tenure:

1. The Office of the Vice President for Academic Affairs and Provost shall notify a probationary faculty member by October 1 of the academic year prior to the final academic year of probationary status that failure to apply for tenure by the appropriate deadline could result in an offer of a non-renewable or “terminal” academic year contract. This notice shall be made in writing and placed in the faculty member’s campus mailbox. Failure to notify by this deadline does not automatically constitute a grant of tenure or extension of the employment contract. In such situations, appropriate adjustment of deadlines for notification and portfolio submission will be made.
2. By May 1 of the academic year prior to the final academic year of probationary status, the faculty member will present to the department chair an updated tenure review portfolio which describes the following about the faculty member:
  - a. Teaching or other professional effectiveness;
  - b. Scholarly or creative performance; and
  - c. Service to the University and the community.

Applicants for tenure will limit their portfolios to 10 pages.

**Comment [t15]:** Faculty Senate 10/14/2010  
Item IX. A.

3. If a member of the teaching faculty has not presented a student evaluation composite or overview as part of teaching effectiveness, it will be the responsibility of the department chair to forward such materials to the department tenure committee and to the college dean.
4. The department chair shall convene a department tenure committee, consisting of all tenured faculty in the department, supervise the election, by secret ballot, of the chairperson from among the members of the committee, and provide copies of the faculty member's tenure review portfolio. It is the responsibility of the department tenure committee by majority vote to recommend for or against the granting of tenure and to submit through the department chair to the college dean all of the information relating to the tenure recommendation by June 1.
5. It is likewise the responsibility of the department chair to recommend for or against the granting of tenure and to forward to the college dean all of the information relating to the tenure recommendation by June 1.
6. The college dean will review the materials presented by the department tenure committee and the department chair and will recommend for or against the granting of tenure and to forward to the Vice President for Academic Affairs all of the information relating to the tenure recommendation by August 1. ~~be responsible for scheduling a meeting with the President and Vice President for Academic Affairs and Provost to discuss recommendations being presented for tenure. Copies of all tenure documents will be prepared by the college dean for the President and Vice President for Academic Affairs and Provost and submitted to him or her by August 1 in advance of the meeting.~~
7. The University-Wide Portfolio Review Committee will review the materials presented by the department tenure committee, the department chair and college dean, and will make recommendations to the Vice President for Academic Affairs and forward all of the information relating to the tenure recommendation by September 15.
8. The Vice President for Academic Affairs will review all recommendations and will make recommendations to the President in advance of the October 1 notification deadline.
9. ~~The President and the Vice President for Academic Affairs and Provost will meet after all conferences have been held with the various college deans to consider all tenure recommendations.~~
8. The decision for or against the granting of tenure will be made by the President, and letters will be mailed to all candidates, with copies to the respective dean and department chair, no later than October 1 of the faculty member's final academic year of the probationary period.

**Comment [t16]:** Faculty Senate 10/14/2010  
Item IX. A.

The following persons may notify the department chair in writing that they elect to be exempted from this process and to abide instead by the policy stipulated in the UNA Faculty Handbook for the year when he or she was first appointed to the faculty:

Persons appointed to the faculty in the academic rank of instructor during and following the academic year 1991-92 but before 1997-98.

Persons appointed to the faculty in the academic rank of assistant professor during and following the academic year 1992-93 but before 1997-98.

Persons appointed to the faculty in the academic rank of associate professor during and following the academic year 1993-94 but before 1997-98.

Persons appointed to the faculty in the academic rank of (full) professor during and following the academic year 1994-95 but before 1997-98.

The granting of tenure requires written notice regardless of the number of years in service. This tenure policy does not apply to non-tenure-track or adjunct faculty.

**Comment [t17]:** Faculty Senate 10/14/2010  
Item IX. A.

**ATTACHMENT F**  
**(On next page)**

**Comment [t18]:** Faculty Senate 10/14/2010  
Item IX. B.

UNIVERSITY OF NORTH ALABAMA  
UNDERGRADUATE CURRICULUM COMMITTEE  
COURSE/CURRICULUM CHANGE COVER SHEET  
(Form UCC-1)

Items to be considered by the Undergraduate Curriculum Committee: (please check all spaces relevant to this proposed change)

**Category 1**

- |   |   |
|---|---|
| <input type="checkbox"/> New Course (attach Form UCC-2)<br><input type="checkbox"/> Addition of/Increase in Special Fee | <input type="checkbox"/> New Major (attach Form UCC-3 and ACHE NISP/Proposal for a New Baccalaureate Degree Program)  |
| <input type="checkbox"/> Revisions in Existing Curriculum (attach Form UCC-4)   | <input type="checkbox"/> New Minor (attach Form UCC-3)  |
| <input type="checkbox"/> Merger of Major or Option  | <input type="checkbox"/> New Option/Concentration (attach Form UCC-3 and ACHE Proposal Form for the Addition of an Option, Track, Specialization, or Concentration, etc. to an Existing Option) |

**Category 2**

(For the following changes, attach Form UCC-5)

- |   |  |
|---|--|
| <input type="checkbox"/> Course Number/Title Change     | <input type="checkbox"/> Cross Listing of Course           |
| <input type="checkbox"/> Change in Credit Hours         | <input type="checkbox"/> Changes in Admission to Major     |
| <input type="checkbox"/> Inactivation of Course         | <input checked="" type="checkbox"/> Other (Please Specify) |
| <input type="checkbox"/> Change in Course Prerequisites | <input type="checkbox"/> Non-Substantive/Editorial Change  |

Will this proposal result in the need for a Revised Faculty Roster Form? Yes ☐ No ☐

Proposal Submitted by College(s) of Vice President for Academic Affairs and Provost and Department(s) of

Brief Description and Rationale (based on assessment) for Proposed Change:

**The SACS Committee for Standard 3.4.10 expressed concern about the lack of language related to curriculum evaluation in the current Faculty Handbook. The proposed language has been reviewed by the deans.**

List the departments or programs on campus consulted on the issues of duplication, overlap, and/or impact on existing programs. Attach a copy of relevant correspondence.

**College Deans**

The proposed change(s) will be effective beginning: Springsemester, 2011 year.

John Howell 9/23/10  
Date Approved by ~~Department Curriculum Committee~~  
V PAA + Provost | College Deans

Chair's Signature

Date Approved by College Curriculum Committee

Dean's Signature

8-16-10

UNIVERSITY OF NORTH ALABAMA  
UNDERGRADUATE CURRICULUM COMMITTEE  
PROPOSAL FOR CATEGORY 2 CURRICULUM CHANGE  
(Form UCC-5)

Proposal submitted by College(s) of Vice President for Academic Affairs and Provost  
and Department(s) of

Describe precisely the proposed change and the justification for it. Include any relevant information concerning UNA's mission and goals, student learning opportunities, impact on existing programs, and financial implications. Attach a copy of the relevant page(s) of the current catalog with the revisions to be made in the catalog.

Current Language

#### 4.4.3 Curriculum Development

Initiative for proposals for curricular change rests with any faculty member, administrator, student, or recognized university organization. Proposals for changes in, or additions to, courses and programs normally originate in the department and are transmitted with recommendations to the dean of the college for action by the college curriculum committee. On approval, proposals are then transmitted with recommendations to the Vice President for Academic Affairs and Provost for action by the University Curriculum Committee, or if related to graduate courses and programs, to the Graduate Council. Curricular changes which have both undergraduate and graduate implications are reviewed by both the Graduate Council and the University Curriculum Committee. Proposals for change approved by the University Curriculum Committee or the Graduate Council are subject to the final action of the President of the University, except that proposals involving the deletion or addition of a degree program and/or substantial budgetary support are also subject to the approval of the Board of Trustees and appropriate state departments and agencies. According to the type of program, further review and approval may be required by such external agencies as the State Board of Education and the Alabama Commission on Higher Education.

Consideration of curricular change normally involves informal discussions within and between the several levels of academic administration. Final proposals are to be presented in writing and are to include the reasons and justifications for the change; the nature of the change and its impact on other courses and programs; and an analysis of the staff, equipment, library, and other instructional resources to be required. For changes to be included in a new publication of the catalogs, proposals must be submitted in time for consideration and approval by the departmental, college, and university curriculum committees for the undergraduate catalog and by the Graduate Council for the graduate catalog. While deadline dates are established each year, final copy of the undergraduate catalog for the next academic year is required early in the summer term one year prior to the date of its implementation; for the graduate catalog, early in the preceding fall term.



## Proposed Language

### 4.4.3 Curriculum Development

Curriculum development leading to new majors, programs or courses, or the revision of existing programs or courses, normally originates in the academic department. Typically faculty members with expertise in a particular area develop proposals for departmental review. Proposals are developed outlining the changes and a rationale and are submitted with recommendations to the department chair. The chair reviews the proposal, signs the appropriate approval documents, and forwards the proposal to the college dean. The college dean convenes the college-wide curriculum committee to review the proposal. Once approved, it is forwarded to the office of the Vice President for Academic Affairs and Provost. This office submits the proposal to the appropriate university-wide faculty curriculum committee. For undergraduate changes, the proposal is submitted to the Undergraduate Curriculum Committee. For graduate changes, the proposal is submitted to the Graduate Council. Different forms are used to transmit curriculum changes to the appropriate faculty committee. At the undergraduate level, there are UCC (Undergraduate Curriculum Committee) forms that are used depending on the nature of the proposed change. At the graduate level the Graduate Council New Course and/or Course Curriculum Change Proposal Forms are used. (See Appendices for Copies of Forms) If the curriculum changes are approved by these campus-wide faculty committees, they are transmitted to the President for final approval. If they involve new curriculum programs, they must also be approved by the University Board of Trustees. Significant changes in existing programs and/or new programs must also be submitted to the Alabama Commission on Higher Education for review. If curriculum changes represent a substantive change in program mission for the University, they must be reviewed and/or approved by the Commission on Colleges of the Southern Association of Colleges and Schools. Significant changes in teacher education programs leading to certification must be further reviewed by the Alabama State Department of Education and significant changes in nursing must be further reviewed by the Alabama Board of Nursing and the Commission on Collegiate Nursing Education.

In certain situations, proposals for broad-based and/or multidisciplinary changes may originate and be proposed by units outside the academic departments. Examples include the university-wide curriculum committees, the Council of Academic Deans, and/or ad hoc faculty committees appointed as part of the shared governance process. The types of changes these groups might submit include changes in the general education curriculum or graduation requirements, and/or new programs that include multiple disciplines. Such change recommendations are subject to the same approval procedures outlined above.

Consideration of curricular change normally involves informal discussion, not only within academic departments, but also within and between the several levels of academic administration. Proposals are presented in writing and include the reasons and justification for the change; the impact of the change on other courses and program; and an analysis of the staff, equipment, library, and other instructional resources to be required. A timeline for submission of proposals is developed each year to ensure inclusion in the undergraduate and graduate catalogs.

The process for ongoing evaluation of curriculum is embedded in the institutional effectiveness assessment plan for the University. All academic departments complete annual planning and

assessment reports. The reports are two-fold. The first report occurs at the beginning of the academic year and identifies programmatic goals related to curriculum. The second report occurs at the end of the academic year and identifies accomplishments related to those goals and proposed curriculum and programmatic changes needed to address academic improvement. These reports are prepared by the academic department chair in collaboration with departmental faculty and are submitted for review and analysis by the appropriate college dean who in turn submits them to the Office of Institutional Research Assessment, and Planning. Academic departments also conduct a five year evaluation based on a rotating schedule. The five year report affords an in-depth evaluation of departmental programs and curricula. These reports are reviewed by the college dean. The University also maintains a five-year Strategic Plan. With each five-year cycle, academic departments are asked to assess curriculum and propose changes as part of the strategic planning process. It is also expected that departments will review the feedback from student course evaluations that are conducted each semester to help improve instruction and curriculum.

12-6-05

4

## **ATTACHMENT G**

### **Copyright Policy**

#### **I. Preamble**

In the course of their activities at the University of North Alabama (“University”), faculty, administrators, staff and students are continually creating copyrightable works. As a matter of law, copyright will adhere upon creation of any original work of authorship that is reduced to tangible form, including literary works, computer software, data sets, musical works, dramatic works, pantomimes and choreographic works, artistic works (pictorial, graphic, and sculptural), audiovisual works including motion pictures, sound recordings, and architectural works. Ownership of copyright to material gives the owner the exclusive rights to reproduce the material, make derivative works based on it, distribute copies to the public, and perform or display the material publicly. Copyright law is primarily a matter of federal law, codified in Title 17 of the United States Code, 17 U.S.C. §§ 101 et. seq. (2006).

Under the copyright law, copyrightable works created by employees in the course of employment will be owned by their employers. However, traditionally, universities (including the University) have declined to assert ownership on behalf of the university in works of scholarship created by faculty in the course of traditional academic activities. Exceptions to this practice have always existed in order to locate within the university ownership of certain copyrightable materials in which the university, and/or its sponsors, public or private, also has a demonstrated interest.

As new technologies and media have emerged over the past decade, the processes for creation and distribution of copyrightable materials and the role of such materials in education and research have changed. One example is the area of instructional media where the University and its various constituents have been involved, together and separately, in the creation and distribution of online courses and other forms of instructional content. During this period, the copyright law has also developed. The University’s copyright policy, as set out herein, is intended to take these developments into account.

The copyright policy addresses, primarily, the distribution of rights in and to copyrightable materials between the University and its various constituents. It does not address the use by the University or such constituents of copyrightable materials owned by third parties. In the course of educational and research activities at the University, faculty, administrators, staff and students are likely to make use of materials owned by third parties. To a large extent, those uses may constitute “fair use” under the law, which provides that “use . . . for purposes such as criticism, comment, news reporting, teaching (including multiple copies for classroom use), scholarship, or research, is not an infringement of copyright”, 17 U.S.C. § 107. Uses that are not “fair uses” may require permission to be granted by the copyright owner. The University is committed to the support of fair use principles.

In certain cases, copyrightable materials may be created in conjunction with inventions subject to the University patent policy. Unless otherwise determined by the University Provost in consultation with the Research Committee, in such situations, the University patent policy shall apply to the whole of such intellectual property.

#### **II. Scope and Applicability**

A. This copyright policy applies to the following categories of persons: |

**Comment [t20]:** Faculty Senate 10/14/2010  
Item IX. C.

- i. Faculty (full-time and part-time, including visiting faculty who have a University faculty appointment);
  - ii. Students (including visiting students);
  - iii. Other employees (full-time and part-time), including professional staff, technical employees and clerical employees; and
  - iv. Non-employees who participate in research at the University or research carried out under the auspices of the University, such as visiting faculty and scholars who do not have a faculty appointment, fellows, and consultants.
- A. This copyright policy will apply to faculty and others who are on a paid leave from the University and create copyrightable materials during such leave, but shall not ordinarily apply to persons on an unpaid leave of absence or copyrightable materials created during such leave. The provisions of Section III (D) relating to the creation of copyrightable materials in the course of consulting activities shall apply to activities conducted by faculty while on an unpaid leave.
- B. It is not unusual for visitors from other institutions (home institutions) to participate in research and other activities at the University or under the University auspices. Such participation might involve joint creation of copyrightable materials. Such visitors are often subject to intellectual property policies of their home institutions. Consideration should be given to the intellectual property policies of the visitor's home institution in order to avoid potential conflicts between this Policy and the policies of the home institution. Obligations of each visitor under this Policy will be assessed and potential conflicts will be resolved through good faith negotiations between the University and the home institution, preferably prior to the start of the visitor's participation in such research or other activities. It is particularly important that such conflicts be resolved prior to the start of a visit when the research at the University is sponsored by a third party.

### III. Copyright Ownership Principles

- A. **General Principle:** The University will not claim copyright ownership of Traditional Works of Scholarship except as otherwise provided in this Article III, and persons covered by this Policy may claim copyright to such works under their name.

"Traditional Works of Scholarship" shall be defined to include: syllabi and other original materials created for use in a University course, books (including textbooks), other forms of textual material (whether in printed form or electronic media), software, works of art and other creative works including music, lyrics, photographs, poetry, choreography, architectural works, sculpture, pictorial and graphic works, motion pictures, and sound recordings, which in each case are created as part of the regular academic and scholarly activities of a person covered by this Policy.

Under applicable law, multiple creators who intend to create a joint work will be viewed as joint holders of copyright. Under this Policy, works created by more than one person involved in a common project shall be considered to be created by all such persons unless otherwise agreed in writing by each person.

Copyrightable materials which appear on Web pages will be considered to fall within the various categories described in this Policy, including Web pages which may be hosted by or on behalf of the University.

B. **Standing Exceptions:** The University will retain ownership of copyrightable materials, or reserve a license to such materials, in the situations listed below. In each case, the situations listed below will apply whether such materials are in print or electronic form or other media, now in existence or hereafter arising. In each situation where the University retains ownership (i) the creator(s) of such materials shall retain a non-exclusive, worldwide, royalty-free, non-assignable license to use such materials for their personal nonprofit educational and research purposes and (ii) the University may determine to make such materials available on an open-source or open-access basis or otherwise take action to make such materials widely-available as contemplated by Section VII.

1. The University retains a non-exclusive, world-wide, royalty-free license to any material, regardless of type or creator, to the extent such material is used in the title or description of a University course, in the syllabus of a University course or created for distribution or actually distributed to students in a University course, for all educational and research purposes.
2. The University retains a non-exclusive, world-wide, royalty-free license to any material created for a University publication; to the extent such material is not otherwise owned by the University under this Section III.
3. The University retains ownership of any material which was created making Substantial Use of University Resources, as defined below in Section D.
4. The University retains ownership of any material created by a non-faculty employee in the course of employment, but the University will not own Traditional Works of Scholarship reporting on the work which led to the creation of such materials unless required under Section III(B)(7).
5. The University retains ownership of any material created in the course of research or other collaborative projects conducted under the University institutional auspices (including school or department auspices) where the identity of the project resides with the University (e.g. resulting in a publication of a school or department, curricular efforts).
6. The University retains ownership of any material created in the course of a research or other collaborative project where development has been by a team such that the identity of the project resides with the University rather than with particular individuals.
7. The University retains ownership of any material created as the result of a research project, except Traditional Works of Scholarship reporting on such results, sponsored by a governmental, corporate, non-profit or other sponsor where the contract or agreement with such sponsor imposes obligations on the University with respect to such copyrightable materials. With respect to Traditional Works of Scholarship reporting on the results of such a research project, the University shall retain only those rights, if any, which are necessary for the University to meet its express obligations under the contract or agreement with the relevant sponsor.
8. The University retains ownership of any material created at the direction of, or commissioned by, the University.

9. The University retains ownership of any material which is closely associated with a patent owned by the University under the University's patent policy. This exception will typically apply

to any copyrightable material created to effectuate an invention (e.g. software) or supplement an invention (e.g. documentation), but will not apply to Traditional Works of Scholarship reporting on the research which led to the creation of such materials unless required under Section III(B)(7).

10. The University retains ownership of any material, in any form or media (including without limitation video or audio) which is a reproduction of a University course or program. The University will not claim ownership of the intellectual content within such reproduction. Any commercialization by the University of any such material shall be in accordance with Sections III(C) (2) and V.

**C. Instructional Media:** This Section highlights the applicability of this copyright policy to instructional media. Instructional media are produced in a variety of forms including electronic and print publications. Instructional media includes teaching activities or interactive components that involve creators with the users of the instructional media. The presence of teaching and similar activities distinguishes this form of media from certain traditional works such as printed textbooks.

Restrictions on certain outside uses of instructional media are intended to involve the University Provost in consultation with the Research Committee in determining appropriate uses of Instructional Media and to further effectuate the University's policies regarding conflict of interest, conflict of commitment and appropriate use of the University name.

Instructional media, within this Policy, are intended to encompass (i) the content of courses and programs delivered using any form of media including print, in-person delivery, over the World Wide Web or using other forms of electronic media, videotaping, audio taping, television broadcast, or radio broadcast, as well as forms of media which may arise in the future, and (ii) if applicable, the technology used to structure and deliver such course and program content. Instructional media, within this Policy, would not extend to cover a traditional textbook, whether in printed or electronic form, without the presence of further instructional involvement of the creator.

#### 1. Instructional Media Owned by the Creator

Instructional media created by faculty as part of activities which do not otherwise fall within any exception contained in Section III(B) or (C), will be owned by the faculty creator, subject, in certain cases to a retained interest of the University. Faculty may use or license instructional media owned by them under this Section 1 for all purposes including commercial purposes. Any use must be approved under the University's conflict of interest and conflict of commitment policies and shall not make use of the University name other than for purposes of identification.

**Comment [t23]:** Faculty Senate 10/14/2010  
Item IX. C.

The license to instructional media reserved by the University under Section B(1) may be used by the University, without restriction, for educational and research purposes including licensing third parties for such purposes.

## 2. Instructional Media Owned by the University

Certain instructional media will, pursuant to Section III (B) and (C) be owned by the University. As a general matter, instructional media owned by the University and created with faculty involvement may be used by the University outside of the University for educational and research purposes and for commercial purposes. In all uses outside of the University, the University will consult with the primary faculty creators as to the planned use of such materials prior to granting rights to third parties.

- D. **“Substantial Use of University Resources”** The Substantial Use of University Resources in the creation of copyrightable material will give the University an interest in such material and support ownership by the University as contemplated by Section III(B)(3). The precise determination of what usage of the University resources or assistance of non-faculty or student personnel shall be considered substantial, or of when the identity of a project resides with the University rather than with particular individuals, involves the exercise of judgment based on the circumstances and on practices within the discipline. As basic principles, use of the University resources or assistance from non-faculty or student personnel that is incidental and not essential to the creation of the materials does not constitute substantial use of resources, while use of the University name or consultants engaged by the University for purposes of creating the materials would constitute substantial use of resources. For example, none of the following shall be considered substantial use of the University resources:
1. Use of resources or non-faculty or student personnel commonly available to faculty in the same school, institute or department, such as libraries, offices, desktop computers, secretarial staff or specialized course management programs that are widely available to faculty;
  2. Occasional use of a specialized piece of equipment or facility for routine tasks;
  3. Receipt of salary by faculty for their academic appointments; and
  4. The use of resources or facilities generally available to students as part of their educational activities.

## IV. Student Works

**A. General Principle.** Subject to the terms of this Section IV, students own the copyright to original works created in the course of their academic activities at the University, including class work, research materials, works of art or music and theses (“Student Work”). Student Work created jointly by more than one student will be owned jointly by such students.

**B. Standing Exceptions.** Each of the provisions of Section III (B) shall apply to Student Work (as though set forth in full in this Section) to allocate certain rights or copyright ownership of Student Work to the University.

**C. Limited License.** In addition to the provisions of Section III(B), the University retains a non-exclusive world-wide royalty-free license to Student Work for so long as the student creator is matriculated at the University to use such Student Work for the University’s educational and research purposes including publicizing the University or any program or

**Comment [t24]:** Faculty Senate 10/14/2010  
Item IX. C.

department of the University. This limited license shall terminate when the student graduates from the University or ceases to be matriculated.

**D. Participation in Faculty Research.** Where a student(s) participates in the work or research of a faculty member(s), and such student participation does not constitute Substantial Use of the University Resources on the part of the faculty member(s), the student and faculty member may agree prior to the commencement of such work or research to allocate the copyright arising with respect to such work or research between the student and faculty member, as they may agree. No such agreement shall operate to transfer copyright to all or any portion of a student's thesis or dissertation to a faculty member, or otherwise transfer ownership to a faculty member of work produced by a student in the course of the faculty member's teaching or academic advising activities involving such faculty member.

**E. Participation by Students in the Creation of Software.** In situations where a faculty member has initiated and is leading his or her own personal research project involving the creation of software code, and one or more students are involved in such research project to the limited extent of making discrete contributions to the research (and the involvement of students does not rise to the level of a joint research project between such faculty member and the student), then, absent written agreement between the faculty member and the student or the applicability of any of the Standing Exceptions in Section III(B), the following terms shall apply: (1) there shall be no presumption of joint copyright ownership by faculty and student, (2) each of the faculty member and the student shall own the copyright to the portions of the research which constitute their original work and shall be free to license or otherwise use such work, (3) the faculty member shall hold a non-exclusive royalty-free license to use the work of the student in such research for all purposes determined by the faculty member, consistent with this Policy and other policies of the University, (4) the student shall not hold any license or other right to use any portion of the research other than the original work created by the student and (5) the faculty member shall determine, consistent with academic principles, whether and how to credit student contributions to the research project.

#### V. Commercialization of Copyrights

A. When the University asserts copyright ownership in material (i) the creator or (ii) in the case of instructional media, the faculty member(s) represented within such media, has the right to share in any net proceeds derived from commercializing that material.

Unless otherwise agreed to in writing by the University and the creator(s), specifically, net proceeds (see below) shall ordinarily be distributed as follows:

1. 15 percent to the University to cover any expenses associated with commercialization; and
2. The remaining net proceeds (85%) shall be distributed as follows:
  - a. Creator share: 50% of net proceeds to the creator(s).
  - b. The remainder of net proceeds shall be retained and used by the University.

Gross proceeds are all proceeds from licensing or otherwise granting rights in copyrightable material to third parties, including licensing fees, royalties on sales and other usage, and milestone payments, but excluding research funding. Net proceeds are gross proceeds minus all out-of-pocket expenses



incurred by the University that are associated with the particular material. Out-of-pocket expenses may include legal expenses associated with securing the copyright, negotiating an agreement, travel expenses, payments due to other parties with rights in the work, or any reasonable expenses incurred in pursuing the commercialization of the material. If the University pursues or defends litigation to enforce copyright ownership, then the proceeds of any judgment or settlement from such litigation shall ordinarily be included in gross proceeds, and the associated litigation expenses shall be deducted as out-of-pocket expenses. If litigation is pursued, the distribution described above may be modified to reflect the greater economic risk being incurred by the University in pursuing such litigation.

Creators who are (i) employees of the University, (ii) acting within the course of such employment and (iii) not faculty or research staff, will not automatically be covered by this Section; rather, in such cases, the supervisor of such an employee or the relevant project leader shall make a determination as to the appropriateness of such employee sharing in the proceeds of commercialization.

- B. Equity – Equity received from a company or other entity in lieu of license fees or royalties shall be allocated by calculating and distributing the appropriate number of shares or ownership interests, using the same percentages outlined above, irrespective of their value. In the event that there is a single share or a partial share or interest, which cannot be distributed to the creator(s), that share or interest or partial share or interest shall belong to the University. Unless otherwise required by contractual arrangements or applicable law, the University shall distribute shares, interests or equity at the time they are received by the University or will require that the creator receive such equity directly from the company or other entity. In the event that the University is required to hold the shares or interests for any length of time or is otherwise restricted from distributing shares or interests to creators, the University shall hold such shares or other interests but shall not be responsible for any fluctuation in the value of the shares or interests or any matters relating to the administration of such shares or interests.
- C. If more than one creator is to share in the creator share, the creators shall decide among themselves their respective shares and shall provide the Provost with a written agreement signed by all creators. Such written agreement shall be provided within three months of a written request from the Provost for such an agreement and shall be irrevocable unless it is modified in writing by all creators. In the absence of such a written agreement, the University shall determine the distribution of shares to creators.
- D. Whenever the University licenses rights to copyrightable material, it will reserve the right for the University to use the material for internal research and educational purposes and will generally seek to reserve such rights for other non-profit research institutions.

#### VI. Transfer of Copyrightable Materials Owned by the University to the Creator

If the University determines that it will not pursue commercialization of copyrightable material subject to University ownership under this copyright policy, the University may, in its discretion, consider a written request by the creator to transfer ownership in the material to the creator, subject to the terms of any applicable agreements with third parties under which the material was created. Transfer of ownership to the creator will be subject to an irrevocable royalty-free license to the University to use the material for education, research and other non-commercial purposes and reservation to the University of the right to grant similar licenses to other nonprofit institutions. In those instances in which there are multiple creators, all creators must be in agreement and be party to such a request.

#### VII. Open Source Code and Other Open Access Licensing of Copyrightable Materials

- A. In accordance with the University's mission of conducting education and research, an owner of copyrightable material may desire to make copyrightable materials widely available to the public via open source licensing of software or publication of materials via open-access licenses. In each case, the decision to make materials widely available should include a number of considerations including, without limitation: who owns the material under this copyright policy, whether the same interests would be better served by commercialization of such materials and whether open access should be limited to nonprofit and educational purposes.
- B. Open access licensing may also be covered by separate policies and procedures of the University in effect from time to time. Such policies and practices may cover issues such as permitted use of the University resources (including computer resources and bandwidth) and require consultation with the University Provost and Research Committee and University Legal Counsel to determine the implications of open-access licensing using the University resources.
- C. As a general matter, an individual who owns copyrightable material (and the University does not retain an interest in such material) under Section III, may freely engage in open access licensing which does not use the University resources.
- D. In the event that the University either owns copyrightable material under Section III or retains an interest in such material, open access licensing may be conducted only following disclosure to the University under Section VIII (B). Following disclosure and a request that such material be made available on an open-access basis, the University shall make a determination as to such request weighing the factors outlined in Section (A) and taking into consideration the views of the relevant faculty and Dean and the University Provost in consultation with the Research Committee.

#### VIII. Administration of Policy

**A. University Administration.** This copyright policy will be administered by the University Provost in consultation with the Research Committee, subject to the oversight of the Executive Council, and in consultation with the Deans of each College of the University. The Provost may delegate his/her duties under this Policy to such other officers or employees of the University as he/she may find appropriate.

**B. Disclosure of Copyrightable Materials.** It is the responsibility of the creator or group of creators of copyrightable material to promptly notify and fully disclose to the University any work in which the University may claim ownership rights or an interest under this Policy, including any work which made Substantial Use of the University Resources. If a creator or group is uncertain whether the University has ownership rights or other interests in certain material, that information shall be disclosed to the University.

**C. Agreement to Policy.** This Policy constitutes an understanding that it is binding on the University and on all individuals who accept University employment, who use the University resources or facilities, or who participate in University research. All individuals employed by or affiliated with the University shall be advised of the University's policies and procedures relating to intellectual property through publication in the Faculty Handbook on the University's website. The University may require formal copyright agreements to implement this Policy as appropriate, but the absence of such executed agreements shall not invalidate the applicability of the Policy. Nothing in this Policy shall constitute a waiver by the University of any rights that the University may have under any other University policy, including without limitation, the patent policy, or any applicable law.

**D. Disputes.** Disputes involving intellectual property rights or this Policy shall be reviewed and resolved by the University Provost or such other officers or employees as he/she designates. Decisions made by

designees may be appealed to the University Provost, who will review the matter and reach a decision in consultation with the Research Committee, the relevant Dean, and others determined by the University Provost. In the event that disputes are reviewed and resolved by the University Provost, such decisions may be appealed to the President, who will review the matter and make the final decision.

**E. Administration by Colleges.** (i) The Deans of each College of the University shall work closely with the University Provost and the Research Committee to ensure that the perspectives, practices and values of each College are taken into consideration in the decision-making process under this copyright policy. In addition, the relevant Dean shall be involved with any decision to (a) grant open access to copyrightable material in which the University retains ownership or an interest under Section VII (D) and (b) commercialize instructional media which is a reproduction of a University course or program.

ii) Each College of the University retains the right to supplement this Policy as necessary or desired by that College, including requiring formal copyright agreements of their employees. Any supplement shall be consistent with the terms of this Policy, in writing, approved by the Dean of the relevant College and submitted to the University Provost for review and approval.

**Comment [t27]:** Faculty Senate 10/14/2010  
Item IX. C.

**Comment [t28]:** Faculty Senate 10/14/2010  
Item IX. C.

**Comment [t29]:** Faculty Senate 10/14/2010  
Item IX. D.

## ATTACHMENT H

### Procedures for Volunteering Services to Establish Endowment

Employee writes a letter to the President expressing his/her intention to retire. The VPAA and Provost (for faculty) or HR Director (for staff) prepares and distributes letter from President acknowledging retirement.

Employee writes a letter to his/her immediate supervisor expressing desire to volunteer services with the expectation of an amount equal to his/her current salary and benefits (minus Social Security withholdings and, optionally, a minimal salary) being used to establish one or more endowment funds within the university.

Immediate supervisor reviews plan and, if approved, forwards to the appropriate dean or cost center head who reviews and, if approved, forwards to the appropriate vice president.

The appropriate Executive Council member reviews plan and, if approved, forwards to the President.

President reviews plan and, if approved, instructs Human Resources Director to contact the employee to discuss total amount of potential contribution, TRS allowable earnings, desired salary, and amount(s) to be deposited into the endowment(s). Based on the discussion, the attached form is completed and distributed to the appropriate parties.

The VPAA and Provost (for faculty) or HR Director (for staff) prepares letter from President to employee detailing the salary and conditions for his/her voluntary service.

Business Office provides to employee monthly statements showing deposits into the endowment fund(s) and the current balance(s).

Approved by Council of Academic Deans on 8-20-10  
Approved by Executive Council on 9-7-10  
Submitted to Shared Governance Committee on 9-7-10

c: drive/Employment folder/Volunteer Teaching Procedures

## ATTACHMENT I

### Second Chance Provision

Any student who has been admitted or readmitted to the University after an absence of three or more years from higher education can earn second chance status, which provides an opportunity to eliminate from computation of the grade point average any grades of D, F, or WF received before admission or readmission to UNA. To earn second chance status, the student must achieve a grade point average of at least 2.0 during the first 24 credit hours of completed coursework at UNA following admission or readmission.

Students meeting these standards must file a formal application in the Office of the Registrar to eliminate from computation in the grade point average any grades of D, F, or WF received before admission or readmission. Teacher education or Nursing majors should contact the college dean concerning restrictions that may apply. All credit hours associated with such grades shall be eliminated from satisfaction of degree requirements. Within one year after successful completion of the above requirements, students must exercise the option of eliminating any grades of D, F, or WF received before admission or readmission by filing a formal application with the Office of the Registrar. All grades shall remain on the student's transcript, however, with the explanation of the Second Chance provision.

Students failing to comply with the standards outlined above shall not be eligible for second chance status again. Any student admitted or readmitted to the University after an absence of three years or more will be informed of the Second Chance Provision in the letter of admission.

### Rationale for Change

This change allows students from other institutions to request access to the Second Chance Provision. Currently, only UNA students can utilize this provision. Also, the five-year absence is changed to three to allow non-traditional students the ability to access this policy in a more timely manner.

## ATTACHMENT J

Insert for page 24

NEW COPY A

### **Acceptance of Seniors to Take Graduate Courses**

A senior student at the University of North Alabama who is within one semester of graduation with a 3.0 cumulative GPA may request approval to take up to six semester hours of graduate classes. Requests should be submitted to the dean of the college in which the graduate major is housed. The acceptability of graduate credit earned in this manner is conditional upon:

1. satisfactory completion of undergraduate requirements;
2. satisfactory work on the graduate course(s) for which enrolled; and
3. a student's total load cannot exceed 18 semester hours.

Any exceptions to this policy require the approval of the dean of the college in which the graduate major is housed. Enrollment in graduate courses does not constitute acceptance into a graduate major.

Insert for page 27 – add to last sentence under “Unclassified Students”:

... and are limited to enrollment in a maximum of 12 semester hours. Any exceptions to this policy require the approval of the dean of the college in which the graduate major is housed.

### Rationale for Change

This change clarifies the process for UNA seniors to take up to two graduate courses during their final semester of undergraduate enrollment.