

Agenda of the Faculty Senate  
December 1, 2022 - Zoom Meeting  
3:30-5:00pm

- I. Recognize proxies
- II. Approval of agenda
- III. Approval of minutes from November 10, 2022
- IV. Remarks from Dr. Ken Kitts, President
- V. Remarks from Dr. Ross Alexander, Provost/EVPAA
- VI. Remarks from Dr. Jessica Stovall, Faculty Senate President
- VII. Election for Shared Governance Committee Vacancy
  - a. Parking and Traffic Committee (2020-2023 Faculty At-Large)
- VIII. Reports
  - a. Standing Committees
    - i. Faculty Affairs
      - 1. Review of Policies for Policy Environment Task Force (SGEC: FS)
        - a. Proposal for Revisions to Policies Concerning Adjunct Faculty
        - b. Proposal for Revisions to Promotion Policy
    - ii. Academic Affairs
      - 1. Reviewing Online Proctoring Services (FS)
    - iii. Faculty Attitude Survey
    - iv. Faculty Handbook Oversight
  - b. Other Committees
    - i. Faculty Senate Constitution Review
    - ii. Parental Leave Policy Review
- IX. Unfinished Business

X. New Business

- a. Proposal for Revisions to Internal Control Policy (SGEC: FS)
- b. Proposal for Revisions to Workplace Threats and Violence Policy (SGEC: FS)
- c. Proposal for Revisions to Consensual Relationships Policy (SGEC: FS)
- d. Proposal for Revisions to Conflict of Interest Policy (SGEC: FS)
- e. Proposal for Revisions to Video Monitoring and Surveillance Activity Policy (SGEC: FS)

XI. Information items

- a. Status of Graduate Faculty Selection Policy
- b. Status of Nepotism Policy
- c. Status of Workload Policy
- d. Editorial Changes to Drugs and Alcohol Abuse Policy
- e. Editorial Revisions to University Policies
- f. Behavioral Health Insurance Coverage and IBH

XII. Adjourn

## **Faculty Senate Minutes**

10 November 2022

### **Call to order:**

A regular meeting of the University of North Alabama's Faculty Senate convened via Zoom Video Conferencing at 3.30pm with President Stovall presiding.

### **I. Recognized Proxies and New Senators**

Chiong Yiao Chen for Lisa Kirch  
Grace Zills for Tabitha Blasingame  
Stacy Lee for John Hodges  
Matt Balentine for Greg Buckley  
Shane Banks for Jason Watson  
Lee Renfroe for Patrick Shremshock  
Dan Burton for George Makowski  
Justin Scott for Justin Carter

### **Members in attendance**

Alejandra Alvarado-Brizuela, Lisa Ann Blankinship, Miranda Bowie, Dan Burton, Gabriela Carrasco, Helen Coronel, Chris Cottingham, Frank Diaz, Terri Garrison, Anissa Graham, Einar Gudmundsson, Felecia Harris, Achini Herath, Andrea Hunt, Ann-Marie Irons, Lauren Killen, Leshan Kimbrough, Kelly Latchaw, Ian Loeppky, Thomas Lukowicz, Jennifer Maddox, Janna Malone, John McGee, Bryan McHenry, Jessica Mitchell, Jason Price, Chris Purser, Craig Robertson, Lindsey Sherrill, Kevin Stoltz, Jessica Stovall, Angel Tomlinson, Pete Williams, Gretchen Windt

### **Members not in attendance (without proxy)**

Corey Cagle, Rashaun Warren

### **Members not in attendance due to absent proxy**

Betsy Heckert

### **II. Approval of the Agenda**

Motion to approve agenda as distributed by Sen. Alvarado-Brizuela, 2<sup>nd</sup> by Sen. Robertson. No discussion. Agenda approved raised hands.

### **III. Approval of minutes from the 13 October 2022 Meeting**

Amendments:

- Update to Item I Members in attendance
- Added to Item V. Remarks from Dr. Alexander – Dr. Alexander was asked to comment on how faculty may be placed in newly created positions without apparent consideration of protocols that would support the university's commitment to DEI initiatives.

Motion to approve minutes as amended by Sen. Robertson, 2<sup>nd</sup> by Sen. Cottingham. No discussion. Minutes from 13 October 2022 meeting approved as amended by raised hand.

#### **IV Remarks from Dr. Ken Kitts, UNA President**

President Kitts provided update on:

- Funding
- Impact of election results (local, state, federal) held 8 November 2022 impacted UNA's representation at state and federal levels
- Update on football coach search

#### **V. Remarks from Dr. Ross Alexander, Provost and Executive Vice President for Academic Affairs**

Dr. Alexander provided update on:

- Fall 2022 enrollment (10,191 students) which marked the 14<sup>th</sup> straight term of increased enrollment
- Preview Day 2022 (Saturday, 11.12.22)
- Launch of two new centers during Spring 2023 (Public Service Training Center and the Joel R. Anderson Center for Innovation and Entrepreneurial Studies)
- SACSCOC off-site review committee provided UNA with a preliminary report – Minor information will need to be provided to committee prior to site visit in March 2023.

Dr. Alexander and Pres. Kitts addressed questions from Faculty Senators:

- Hiring of new/ replacement faculty is based on program growth and funding source with hiring decisions being handled at the College level – 25 faculty lines are currently open with 13 searches already launched and an additional 6-8 searches to launch in early Spring 2023
- Decisions of where to host UNA sporting events (e.g. UNA football game in HSV) is an open conversation with Florence City but is based on economics and UNA visibility.
- Regarding the Special Voluntary Retirement Incentive (SVRI) program announced to the University on 9 November 2022, faculty and staff are offered an opportunity to retire. Questions were asked as to how SVRI was calculated, if peer institutions had similar programs, and what would be the projected replacement time for retired faculty.

#### **VI. Remarks from Dr. Jessica Stovall, Faculty Senate President**

FS President Stovall thanked Senators for their service, communication with their departments, and volunteering for committee work.

During the Spring 2023 semester, Faculty Senate will transition to MS Team following ETS training sessions.

#### **VI. Reports**

##### **a. Standing Committees**

1. Faculty Affairs – Sen. Stoltz provided an update on the Review of Policies for Policy Environment Task Force (SGEC:FS):

- Proposal for Revisions to Workload Policy – Proposal comes from committee so no 2<sup>nd</sup> is needed. Discussion resulted in a friendly amendment to the wording as follows:

- Section 3.2 The final line “The registrar’s office... week, interim, sessions)” was move to the beginning of Section 3.2.1 Assignments.
- In Section 3.2.1 Assignments, line 1 (During Fall and Spring school terms) the word “terms” was changed to “semesters” to maintain consistency.
- In Section 3.2.2 Faculty Workloads and Teaching Loads, item 9c was moved to an independent item 10 to provide clarity and rewritten as “Summer teaching is not mandatory, but when it occurs the credit hours are typically limited to six hours whether they be graduate or undergraduate hours.”.
- Proposal wording accepted by Sen. Stoltz by friendly amendment. Vote 34:1:2 (Y:N:Abs). Motion passes. Pres. Stovall will inform SGEC of vote outcome.
- Policy Concerning Adjunct Faculty – Committee will present updated policy at 1 December 2022 meeting.
- Promotion Policy – Committee will present updated policy at 1 December 2022 meeting.

## 2. Academic Affairs – No report

- Reviewing Online Proctoring Services (FS) – Sen. Cottingham provided update stating that a survey should go out to the Faculty in early Spring 2023 semester.

## 3. Faculty Attitude Survey – No report (Sen. Purser)

4. Faculty Handbook Oversight – No report; most of this committee’s work is at the end of spring semester.

## b. Other Committees

1. Faculty Senate Constitution Review – Pres. Stovall stated that the committee is currently working.

2. Parental Leave Policy Review – Stephanie Clark will serve as chair committee; a list of committee members is located in the 10 November 2022 Faculty Senate packet.

## VIII. Unfinished Business – none

## IX. New Business

1. Proposal for Revisions to Substantive Change Policy (SGEC:FS) – Lorie Johnson provided information on this proposal and addressed questions related to SACS communication and approval with respect to policy changes at the University level. Because potential policy conflicts were caught at the University level, SACS was not involved with this policy change. Motion to approve this item was made by Sen. Cottingham, 2<sup>nd</sup> by Sen. Williams. No discussion followed. Vote: 36:1:0 (Y:N:Abs). Policy passed

## X. Information items – none

- Policies from Faculty Affairs to be voted on at 1 December 2022 meeting should go out within the next week or so (e.g. by before Thanksgiving holiday).

## XI. Adjourn

Motion to adjourn made by Proxy Chen, 2<sup>nd</sup> by Sen. Sherrill. Meeting adjourned at 4.48pm.

**From:** [Renee Vandiver](#)  
**To:** [Stovall, Jessica E](#)  
**Cc:** [Vandiver, Renee P](#); [Oden, Kristy Oneal](#)  
**Subject:** [External] [UCM] Contract ID: 1051531, Contract Name: Board of Trustees Approved Policies, Faculty Senate -- SGECE Policy Review Requests  
**Date:** Wednesday, August 10, 2022 10:20:41 AM  
**Attachments:** [Workload.docx](#)  
[Promotion Policy.docx](#)  
[Nepotism.pdf](#)  
[Policies Concerning Adjunct Faculty.docx](#)  
[Graduate Faculty Selection Policy.docx](#)

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**\*\*CAUTION\*\* External E-Mail. Do not click links or open attachments unless you know the content is safe.**

On behalf of SGEC Chair Kristy Oden, I write to inform you that during the 2021-22 academic year, a Policy Environment Task Force reviewed all university policies with the intent that they be placed on a schedule for periodic review/update so that policies remain current. As such, the attached policies are provided for review by the Faculty Senate. A spreadsheet containing the recommendation from the Task Force relative to each policy would not attach to this e-mail so I will send it separately. In most cases, your committee is asked to review the policy for relevance and to respond that the policy is either current, contains proposed revisions, or is recommended for archiving. Please provide the outcome of your review of these policies to Dr. Kristy Oden with a copy to me. Thank you.

Renee' P. Vandiver  
[rpvandiver@una.edu](mailto:rpvandiver@una.edu)

## **POLICIES CONCERNING ADJUNCT FACULTY**

The University recognizes the benefit both to the University and to students of instruction by adjunct faculty. The University also recognizes that it cannot develop or maintain quality programs using only adjunct faculty. Therefore, the University seeks to limit its employment of adjunct faculty to no more than 25% of the total number of courses taught by each department, with exceptions in compelling circumstances.

### **A. Recruitment and Selection of Adjunct Faculty**

1. Positions for adjunct faculty will generally be advertised in local or area newspapers.
2. Academic departments that have a need for adjunct faculty will establish an "adjunct faculty applicant pool" for their department. This pool should be established in advance of anticipated needs and maintained with current applicants that are available for teaching duties. When the need arises for an adjunct faculty member, an offer of employment will be made to a member of the "adjunct faculty applicant pool."
3. Advertising for adjunct faculty positions, processing of applications, and the selection of adjunct faculty will follow the steps listed below:
  - a. Department chairs take the necessary action to plan for and anticipate the need for adjunct faculty.
  - b. Requests to fill anticipated adjunct faculty needs, including suggested advertising copy and recommended publications for advertising, should be forwarded through the appropriate dean to the Provost and Executive Vice President for Academic Affairs according to the following dates:
    - (a) Fall Semester March 1
    - (b) Spring Semester October 1
    - (c) Summer Sessions March 1
  - c. The Provost and Executive Vice President for Academic Affairs finalizes the anticipated need for additional adjunct faculty and forwards a list to the Office of Human Resources requesting that the positions be advertised. The Provost and Executive Vice President for Academic Affairs also coordinates with the Office of Human Resources and the Vice President for Diversity, Equity, and Inclusion in determining publications to be used for advertising and recommending changes to the suggested advertisement(s). If changes in either suggested publications or suggested advertising copy are recommended, these recommended changes should be discussed with the appropriate dean and department chair prior to

proceeding. The VPAA is the final authority in these matters when disagreements occur.

- d. Once agreement is reached on publications for advertising and the content of the ad copy, the Office of Human Resources takes the following actions:
  - 1. advertises the positions,
  - 2. accepts applications through the online employment system, and
  - 3. maintains a file on adjunct positions by department.
- e. Applications are made available through the online employment system.
- f. The department chair does an initial screening of applications for minimum qualifications and will endeavor to interview all qualified applicants. It is recommended that the chairs consult with appropriate faculty members teaching in the proposed adjunct area. The faculty may be consulted at both the initial screening stage as well as at the point when selections from the pool are made.
  - 1. All adjunct faculty are required to meet Southern Association of Colleges and Schools standards which require at least the master's degree and 18 graduate semester hours in the teaching field.
- g. The department chair, after consultation with the departmental faculty, where possible, will submit recommended applicants to the appropriate dean through the online employment system.
- h. Through the Online Employment System, the dean forwards recommended additions to the pool of adjunct faculty to the Provost and Executive Vice President for Academic Affairs.
- i. Through the Online Employment System, the Office of Human Resources receives notification when persons are approved for the adjunct faculty pool by the department chair, dean, and Provost and Executive Vice President for Academic Affairs. The Online Employment System generates e- mail notifications to those persons approved for the adjunct pool.
- j. When a need arises to employ adjunct faculty, the department chair, after consultation with the departmental faculty, where possible, will recommend employment of an approved candidate from the pool to the VPAA through the dean.



- k. The Provost and Executive Vice President for Academic Affairs will sign the letter of employment and forward it to the Office of Human Resources. Upon receipt of the letter of employment, the Office of Human Resources will call the appointee and ask that person to come in to sign the letter of employment and complete all necessary paperwork, e.g., I-9 form, tax forms, etc.

B. Employment of Adjunct Faculty

1. For first-time employment of adjunct faculty, the department chair should submit to the college dean a Personnel/New Hire Action Form and complete the New Hire Checklist. The college dean should endorse the request and send it to the Provost and Executive Vice President for Academic Affairs. Subsequent employment will be made by an Electronic Personnel Action Form. For adjunct faculty, no interview is required at the Provost and Executive Vice President for Academic Affairs level or higher. If it is the first time that this person has been employed at UNA, a vita and official transcripts for bachelor's, master's, and doctoral degrees as well as any coursework in support of faculty credentials is required and should be uploaded to the Online Employment System. The Office of the Provost and Executive Vice President for Academic Affairs will keep vitae and transcripts on file.
2. All adjunct faculty will be employed using the UNA salary scale for adjunct faculty.
3. Any offer of adjunct appointment will be for one semester only, renewable according to the needs of the University.
4. Adjunct faculty who teach at least one course for the University of North Alabama and travel specified distances to the University exclusively for the purpose of teaching a course are eligible for a travel allowance each fall and spring semester. Those who travel less than 50 miles to the University will not receive a travel allowance. Adjunct faculty who travel 50 to 74 miles to the University will receive \$1,000 per semester, those traveling 75 to 119 miles will receive \$1,500, and those traveling 120 miles or more will receive \$2,000 per semester. Department chairs who employ adjunct faculty members for more than one course should try to schedule courses on the same day of the week to minimize faculty travel costs, although no faculty will receive more than the specified \$1,000, \$1,500, or \$2,000 per semester. The travel allowance for a full summer term would be equivalent to the fall or spring allowance. The travel allowance for the June or July summer sessions would be half of the regular semester allowance.
5. After review and approval of the employment request, adjunct faculty members hired for the first time will receive an employment letter signed by the Provost and Executive Vice President for Academic Affairs. This letter will include:
  - a. a list of courses that person will teach,

- b. the salary for that semester,
- c. an indication of when salary payments will be made,
- d. a notice that the class and employment will be canceled if the enrollment of students in the class listed is insufficient,
- e. a notice that the only fringe benefit offered to adjunct faculty is a remission of course hour fees benefit, on a space available basis, equal to six semester hours of coursework per semester, and
- f. a deadline for the Provost and Executive Vice President for Academic Affairs to receive a written response to the employment letter.
- g. Subsequent employment will be made by an Electronic Personnel Action Form.

C. Adjunct Faculty Supervision, Performance Expectations, and Evaluation

- 1. The department chair will arrange an orientation session for new adjunct faculty.
- 2. Office space or an area will be provided when appropriate and available so that the adjunct faculty member can be available to students.
- 3. Each adjunct faculty member will have access to on-campus mail through the departmental post office box.
- 4. Adjunct faculty members, when hired, are provided with written instructions for obtaining a parking permit from University Police.
- 5. Adjunct faculty members, when appropriate, will establish, post, and/or distribute to students a listing of office hours based on departmental guidelines.
- 6. For each class taught, the adjunct faculty member must develop a syllabus for the course. This syllabus must be ~~handed out to the students during the~~ published in the LMS and accessible to students by the first or second class period ~~and be on file in the department chair's office~~. If the faculty member is teaching one section of a multiple-section class, he or she may wish to use a common syllabus that other faculty are using.
- 7. Adjunct faculty members should be informed of any departmental regulations in relation to grading, and these regulations should be followed.

8. The department chair must emphasize that grades must be turned in according to the university schedule at the end of the semester. It is the department chair's responsibility to see that this grading schedule is made available to each adjunct faculty member.
9. Adjunct faculty are to be evaluated by students using the standard student evaluation form for faculty for that department. In addition, adjunct faculty will be evaluated by the department chair according to guidelines set by each college. Results of these evaluations will be shared with the adjunct faculty member in a timely fashion, retained in the department chair's office for six years following the employee's separation from the University (three years for student evaluations), and considered in future employment agreements with the faculty member.
10. Adjunct faculty are invited but not required to attend general university faculty meetings. It is the department chair's responsibility to determine if the adjunct faculty members should attend departmental faculty meetings.
11. Adjunct faculty do not hold voting rights within the department or college in relation to promotion, tenure, or employment of faculty decisions.
12. It is the adjunct faculty member's responsibility to notify the department chair of an interest to continue to be considered for adjunct appointment since each semester requires a new letter of employment.
13. The Provost and Executive Vice President for Academic Affairs, in consultation with the dean, is authorized to make limited exceptions to this policy.

## 2.6 CRITERIA FOR APPOINTMENT, PROMOTION, AND/OR TENURE

### 2.6.1 General Criteria for Promotion and/or Tenure

As a regional, state supported institution of higher education, the University of North Alabama engages in teaching, research, and service in order to provide educational opportunities for students, an environment for discovery and creative accomplishment, and a variety of outreach activities meeting the professional, civic, social, cultural, and economic development needs of our region in the context of a global community. Faculty members seeking promotion and/or tenure are expected to demonstrate significant contributions in support of this mission as reflected in accomplishments specific to the criteria below.

- A. Effectiveness in Teaching/Effectiveness in Role as Library or Educational Technology Services Faculty. The candidate is evaluated upon evidence such as the following: knowledge of subject matter, including current developments in the discipline; active concern for the student's academic progress; evidence of success in supporting mentoring and student research and creative activity; ability to organize and effectively present and evaluate coursework, including effectiveness in oral and written communication; ability to motivate student interest and participation; ability to relate coursework to other fields with a view to broadening the student's general knowledge; evidence of conscientious preparation; and use of effective methodology and teaching techniques. The non-teaching faculty candidate (e.g., Librarians, Instructional Designers, etc.) is evaluated upon evidence of professional effectiveness such as the following: knowledge of the field, including current developments in the field; demonstrated active concern in providing resources that support student, faculty, and staff development and enhance academic progress; effectiveness in oral and written communication; and ability to develop their own unique contribution to their area and the university.
- B. Effectiveness in Research, Scholarship, and Other Creative Activities. The candidate is evaluated upon the University of North Alabama's mission in research (including basic, applied, and pedagogical research, creative accomplishments, and other forms of scholarship) through recognition that active participation in one's academic discipline promotes intellectual growth and enhances and informs classroom, laboratory, clinical, and studio instruction. Scholarly inquiry and learning vary by discipline and the individual is evaluated upon evidence that one's scholarly accomplishments are valued by others in the discipline. Examples of such recognition would include publication of one's work in peer-reviewed outlets (books, monographs, journal articles) or invited contributions to scholarly works (book chapters); presentations and/or chaired sessions at professional society meetings; invited presentations at exhibits or recognition at juried shows; professional acclaim for performances or contributions to performances; honors or awards recognizing scholarly accomplishment; competitively awarded grants or contracts that support professional growth; selection as a professional referee or editor; and other generally recognized scholarly accomplishments.

3. Effectiveness in Rendering Service. The candidate is evaluated upon evidence such as recognition in the professional field; consultant services of high professional quality in business, cultural, educational, governmental, and industrial endeavors; activities in learned and professional societies; contributions to academic and university development and growth, including grants submissions and sponsored research; effective performance on committees and administrative assignments; and contributions to the improvement of student life. Evidence of service outside the university should ideally be related to the faculty member's profession or should contribute to promoting the University. Other contributions to the community are encouraged; however, such efforts should not constitute a majority of the evidence for effective service.

In addition to the three areas of general criteria, faculty members in areas with regional and specialized accreditation standards shall satisfy applicable credential and performance requirements.

The Board of Trustees for the University of North Alabama has determined that the degree of Master in Library Science is to be considered a terminal degree for promotional and tenure purposes. The following degrees are to be considered terminal degrees for promotional, pay, and tenure purposes: MFA in Studio Art (all fields), MFA in Creative Writing, MFA in Theatre, J.D. for Business Law, and MFA in Interior Design.

### **2.6.2 Special Criteria by Ranks for Appointment, Promotion, and/or Tenure**

Faculty ranks of the University, including librarians, and educational technologists, are instructor/lecturer, visiting (open rank) professor, assistant professor, associate professor, and professor. Only positions at the assistant professor level or higher are considered tenure-track. All others are based on renewable appointment, not including visiting (open rank) professor appointments. Appointment, continued employment and consideration for tenure of supervising teachers at Kilby Laboratory School are subject to all relevant Alabama laws and Alabama State Board of Education policies governing P-12 public school teachers. Determination of rank is established at the time of initial appointment. The years of appropriate experience are calculated at the end of the academic year prior to appointment. The academic year in which a promotion portfolio is submitted will count toward appropriate cumulative experience for that rank. Compensation for visiting (open rank) professors is determined by joint agreement of the department chair, dean, and the Provost and Executive Vice President for Academic Affairs based on duties, needs of the University, and available funds.

The University understands that the interests and areas of emphasis for faculty members change as their career develops. It is the responsibility of departments, in cooperation with their respective deans, to develop guidelines for faculty professional growth that (1) adequately define for each faculty member what his/her departmental expectations are for promotion and/or tenure, and year-to-year success, and (2) are implemented through

guidance provided by the department chair to the faculty member during the annual evaluation and at other appropriate times. It is the responsibility of the deans and the Provost and Executive Vice President for Academic Affairs to monitor equity of expectations across the University.

For non-teaching faculty, effectiveness in role as library or educational technology services faculty is evaluated instead of teaching effectiveness. The following criteria and procedures below do not apply to Kilby School and the Department of Military Science because of the special nature of those departments. Faculty from the Department of Military Science will not serve on promotion committees.

Minimum Qualifications by Rank (Also refer to [Appendix 2.D/2.D.1](#), Timeline for Promotion and/or Tenure)

- d. Instructor/Lecturer/Visiting (Open Rank) Professor. Appointment to this rank typically requires possession of a master's or higher degree in the field of assignment. For appointments without the master's or higher degree in the field of assignment, there must be evidence of related work experience in the field, professional licensure and certifications, honors and awards, continuous documented excellence in teaching, or other demonstrated competencies and achievements that contribute to effective teaching and student learning outcomes.
- e. Assistant Professor. Appointment, promotion to this rank, and/or tenure requires possession of a doctoral degree or a terminal degree appropriate in the field of assignment as determined by university policy. There shall also be evidence of potential for effective teaching; research, scholarship, or creative activities; and service; as well as for a successful career. As per the terms of the letter of employment, faculty members hired to fill tenure-track appointments in anticipation of being awarded the terminal degree but who have not completed the degree at the time of hire will be employed at the rank of Lecturer. Upon receipt of the terminal degree in the teaching field from a properly accredited institution, the faculty member is automatically eligible for promotion to the rank of Assistant Professor upon the recommendation of the department chair and dean and final approval by the Provost and Executive Vice President for Academic Affairs.
- f. Associate Professor. Appointment, promotion to this rank, and/or tenure requires possession of a doctoral degree or a terminal degree appropriate in the field of assignment as determined by university policy. In addition, the applicant shall have had successful experience in teaching; research, scholarship, or other creative activities; and service.

*Promotion to Associate Professor:* Faculty will be required to be evaluated for promotion and/or tenure no later than the sixth year of service as an Assistant Professor at UNA. Faculty employment contracts may, upon approval by the dean and the Provost and Executive Vice President for Academic Affairs, include credit for up to three years of service at the assistant professor level or higher at other institutions toward the six years of service. The credit given must be determined at the time of hiring and included in the employment letter. The relevant documentation of years of probationary service will be

maintained by the Office of the Provost and Executive Vice President for Academic Affairs and may be used in lieu of offer letters written prior to the 2017-18 academic year that do not include this information. An Assistant Professor must serve a minimum of two years at UNA prior to the review of the promotion and/or tenure application in the third academic year of employment at UNA.

4. Professor. Appointment, promotion to this rank, and/or tenure, requires possession of a doctoral degree or terminal degree appropriate in the field of assignment as determined by university policy. In addition, a minimum of 12 years' appropriate cumulative experience specific to the discipline is also required, at least six of which must be in rank as associate professor. Effective for new hires beginning fall 2012, promotion to this rank requires that three of the twelve years of cumulative experience shall be earned at UNA. In addition, the applicant shall have established a sustained and consistent record of excellence in teaching; research, scholarship, or other creative activities; and service.

*Promotion to Professor:* Faculty will be eligible to be evaluated for promotion no earlier than the sixth year of service as an Associate Professor at UNA. Faculty employment contracts may, upon approval by the dean and the Provost and Executive Vice President for Academic Affairs, include credit for up to three years of service at the associate professor level or higher at other institutions toward the six years of service. The credit given must be determined at the time of hiring and included in the employment letter. The relevant documentation of years of probationary service will be maintained by the Office of the Provost and Executive Vice President for Academic Affairs and may be used in lieu of offer letters written prior to the 2017-18 academic year that do not include this information. An Associate Professor must serve a minimum of two years at UNA prior to the review of the promotion application in the third academic year of employment at UNA.

*Tenure for Full Professors:* Faculty appointed as full professors will apply for tenure after completing at least two years of service at UNA.

Exceptions: In rare and unique circumstances, a petition by the department chair (approved by a majority of the full-time tenured and tenure-track departmental faculty) and by the dean for a waiver of the aforementioned credential and experience requirements for tenure and/or any rank may be granted by the Provost and Executive Vice President for Academic Affairs.

#### **2.6.3 ~~Procedure for Promotion and/or Tenure~~ Annual & Third-Year Review**

The department chair is responsible for meeting annually with each faculty member seeking promotion and tenure to discuss their annual evaluation (Appendix 3.D). Additionally, all departments should conduct an internal third-year review, convening a committee of all tenured faculty, using the department's tenure and promotion guidelines.

The candidate is responsible for submitting a digital portfolio to the department chair consisting of the following:

A. A narrative in which the faculty member indicates alignment with departmental guidelines and expectations. Additionally, faculty member should discuss degree of merit or level of prestige or quality of work specific to his/her area in order to demonstrate quality of scholarship for university-wide committee members who may be unfamiliar with the field (maximum of 15 pages).

B. Current Resume or Vita

C. Supporting information for the following items, as outlined in section 2.6.1

1. Effectiveness in Teaching/Effectiveness in Role as Library or Educational Technology Services Faculty
2. Effectiveness in Research, Scholarship, and Other Creative Activities
3. Effectiveness in Rendering Service
4. Any other relevant information pertaining to the college or department

The department chair shall convene a third-year review committee, consisting of all tenured faculty. The department chair or designee will supervise the election of a committee chairperson.

After all members have reviewed each portfolio, the committee will meet *en masse* (convened in person) to discuss each portfolio. It is the responsibility of the third-year review committee chair to compile formative comments regarding strengths and weaknesses in relation to the university, college, and departmental criteria established for promotion and/or tenure and report to the department chair. The department chair is responsible for meeting with the candidate to discuss the results of the committee evaluation.

#### **2.6.4 Procedure for Promotion and/or Tenure**

Faculty whose employment began prior to the 2017-18 academic year are covered by the promotion and/or tenure policies found at [Appendix 2.E](#), unless a request to opt in to the current promotion and/or tenure policies is made to the department chair, dean, and the Provost and Executive Vice President for Academic Affairs no later than the end of the 2021-22 academic year. Opting in to the new policies does not allow for a combination of the two policies. The policy contained herein is effective for all new faculty hires beginning with the 2017-18 academic year.

An award of promotion and/or tenure is not a right but a privilege that must be earned by a faculty member on the basis of his or her performance and promotion during a probationary period. The granting of promotion and/or tenure is never automatic. Promotion and/or tenure is granted after a faculty member has been evaluated by a committee made up of tenured faculty members in a department, the department chair, the dean, the University-Wide



Promotion and Tenure Portfolio Review Committee, the Provost and Executive Vice President for Academic Affairs, and the President. However, the President may, after appropriate consultation, grant tenure at any time if a sufficient reason exists for doing so.

Approved leaves may count toward years of service toward promotion and/or tenure if negotiated with the department chair, dean, and the Provost and Executive Vice President for Academic Affairs at the time leave is granted.

#### A. Faculty Members Who Are Not Department Chairs

The initiation of the promotion and/or tenure review process is the responsibility of the faculty member. It begins when the faculty member submits by e-mail to the department chair, dean, and the Provost and Executive Vice President for Academic Affairs a notification of intent to apply by May 1 prior to the fall semester the application will be evaluated. The dean will confirm, with the Office of the Provost and Executive Vice President for Academic Affairs, whether the candidate is eligible for promotion and/or tenure and notify the candidate by May 15. This notice to the candidate shall be made in writing and sent through official university communication methods, including email. Failure to notify the candidate by this deadline does not automatically constitute a grant of promotion, tenure or extension of the employment contract. In such situations, appropriate adjustment of deadlines for notification and portfolio submission will be recommended by the dean to the Provost and Executive Vice President for Academic Affairs.

For faculty seeking promotion and/or tenure, an electronic portfolio will be submitted by October 1 of the final academic year of probationary status via the online database that UNA has established for this purpose. For faculty seeking promotion only, an electronic portfolio that provides evidence of accomplishments will be submitted by October 1 via the online database that UNA has established for this purpose. Candidates can withdraw their application at any time in the process with the understanding that a final decision will not be made for promotion and/or tenure. This choice by the candidate may have an impact on continuation of employment if the decision to withdraw a promotion and/or tenure application is in the final academic year of probationary status (See Section 2.6.4). The timeline for reviewing promotion and/or tenure materials can be found in [Appendix 2.D/2.D.1](#).

The electronic portfolio will contain the information set forth by the University, plus the college and/or departmental guidelines. The information will be housed on the online database that UNA has established for this purpose and will be accessible only by the administration and committee members involved in the promotion and/or tenure review process.

#### 1. Application for Promotion and/or Tenure (Refer to [Appendix 2.F](#))

B. A narrative in which the faculty member indicates alignment with departmental guidelines and expectations. Additionally, faculty member should discuss degree of

merit or level of prestige or quality of work specific to his/her area in order to demonstrate quality of scholarship for university-wide committee members who may be unfamiliar with the field (maximum of 15 pages).

~~B. as well as indicates which of the areas in item 5 should be weighed more heavily or less heavily than others (maximum of 15 pages)~~

C. Current Resume or Vita submitted by the faculty member via the online database that UNA has established for this purpose

D. Faculty Qualifications Report pulled into application via the online database that UNA has established for this purpose

1. Education (Institution, major, minor, degrees awarded, and dates degrees were awarded)
2. College/university teaching or library/educational technology services experience as appropriate to field (include position and dates)
3. Other teaching or library/educational technology services experience (describe and include dates)
4. Other related experience (describe and include dates)

E. Supporting information for the following items, as outlined in section 2.6.1, submitted via the online database that UNA has established for this purpose

1. Effectiveness in Teaching/Effectiveness in Role as Library or Educational Technology Services Faculty
2. Effectiveness in Research, Scholarship, and Other Creative Activities
3. Effectiveness in Rendering Service
4. Any other relevant information pertaining to the college or department

#### Responsibility of the Peer Promotion and/or Tenure Committee

When a faculty member applies for promotion and/or tenure, it is the responsibility of the department chair to form a peer promotion and/or tenure committee and to supply the names of the committee members to the Provost and Executive Vice President for Academic Affairs via [promotions@una.edu](mailto:promotions@una.edu) by September 1. The University Librarian serves the function of chair and dean in Collier Library and Information Services. The Executive Director serves the function of chair and dean in Educational Technology Services. The department chair shall convene a peer promotion and/or tenure committee, consisting of all tenured faculty not applying for promotion in the department. No committee shall consist of less than five tenured faculty. When that number is not possible at the departmental level, the chair will complete the committee membership from among all tenured faculty not applying for promotion from other departments in the college or in a related discipline. The department chair or designee will supervise the election of a committee chairperson. After all

members have reviewed each portfolio, the committee will meet *en masse* (convened in person) to discuss each portfolio and vote on each candidate by ~~reported-numerical~~ secret ballot. It is the responsibility of the peer promotion and/or tenure committee chair to complete an evaluation form (Appendix 2.G) on each candidate, with a copy to each committee member, that addresses strengths and weaknesses in relation to the university, college, and departmental criteria established for promotion and/or tenure and to recommend for or against the granting of promotion and/or tenure. By November 15, the peer promotion and/or tenure committee chair will submit the evaluation form via the online database that UNA has established for this purpose. The evaluation form, composed by the candidate's peer promotion and/or tenure committee chair and copied to each committee member, should provide information directly addressing the degree of merit or level of prestige or quality of scholarly outlets cited within the candidate's portfolio. These should include discipline specific accomplishments relative to effectiveness in teaching; research, scholarship, and other creative activities; and service. The final evaluation form for each candidate will be approved by the peer promotion and/or tenure committee prior to its submission via the online database that UNA has established for this purpose. Each candidate will have access to the committee's final form through the online database that UNA has established for this purpose. Members of the peer promotion and/or tenure committee participate with the understanding that all matters related to their deliberations remain confidential.

#### Responsibility of the Department Chair

The department chair will evaluate the portfolios of the candidates in his or her department and complete the evaluation form ([Appendix 2.G](#)) on each candidate that addresses strengths and weaknesses in relation to the university, college, and departmental criteria established for advancement in rank and recommend for or against the granting of promotion and/or tenure. No later than December 1, the department chair will submit his or her evaluation form for each candidate via the online database that UNA has established for this purpose. The University Librarian serves the function of chair and dean in Collier Library and Information Services. The Executive Director serves the function of chair and dean in Educational Technology Services.

#### Responsibility of the College Dean

The dean will review the candidate portfolios in his/her college and the materials presented by the peer promotion and/or tenure committee and the department chair, complete the evaluation form ([Appendix 2.G](#)) on each candidate that addresses strengths and weaknesses in relation to the university, college, and departmental criteria established for promotion and/or tenure, recommend for or against the granting of promotion and/or tenure and, by February 1, submit the evaluation form via the online database that UNA has established for this purpose.

#### Responsibility of the University-Wide Promotion and Tenure Portfolio Review Committee

The University-Wide Promotion and Tenure Portfolio Review Committee will review the materials presented by the peer promotion and/or tenure committee, the department chair, and dean, and the committee chair will complete the evaluation form ([Appendix 2.G](#)) on each candidate that addresses strengths and weaknesses in relation to the university, college, and departmental criteria established for promotion and/or tenure as reported on the numerical secret ballot vote to recommend for or against the granting of promotion and/or tenure and, by March 15, submit the evaluation form via the online database that UNA has established for this purpose. This committee is to be drawn from all five faculty constituencies (four colleges and Library/Educational Technology Services faculty). The committee will have nine (9) members consisting of a minimum of one (1) member from each constituency plus at-large faculty to total nine. The committee will select a vice chair to serve as assistant to the chair during the first year of a two-year term and to assume the role of chair during the second year. Annually, the Faculty Senate will identify a pool of at least fifteen (15) eligible members to serve in this pool. Appointment to the pool and service on the committee is limited to faculty who are tenured and hold rank as Associate Professor or Full Professor. From this pool of candidates, the President of the University will annually, in June, select members to serve for two (2) academic years. No faculty member from a faculty constituency will be appointed for additional terms until the entire pool from that constituency has been exhausted. Only then may professors be appointed to serve another term. Exemptions from service should only be granted in extreme circumstances and then only for one (1) term. Faculty may not serve on the committee while applying for promotion and/or tenure.

Duties of the committee may include, but are not limited to, reviewing promotion and/or tenure portfolios for content; reviewing procedures/processes for adherence to stated policies with respect to promotion and/or tenure criteria; ensuring the missions, learning objectives, and goals of the University, various colleges, and specific departments are being met in concordance with one another with respect to promotion and/or tenure criteria; and concurring with, or not, the recommendations of candidates for promotion and/or tenure. The University-Wide Promotion and Tenure Portfolio Review Committee will focus on the portfolio (including all forms as described in section 2.6.3). All portfolios that are incomplete or not in compliance with the stated guidelines (section 2.6.3) will be considered as non-responsive and rejected.

As soon as the annual committee membership is announced, the chair will call a meeting during the fall semester for the express purpose of orienting the committee, especially incoming new members, to the established procedures and guidelines for the committee. All members of the committee must participate in this orientation. Departmental criteria with respect to promotion and/or tenure criteria, unique college criteria and policies with respect to promotion and/or tenure criteria, and university policies with respect to promotion and/or tenure criteria, will be made available to each member of the committee. After orientation, the committee will begin its work with review of tenure portfolios, followed by review of promotion portfolios. As soon as the portfolios become available, the chair will notify the committee of the availability of the portfolios via the online database that UNA has established for this purpose, and the committee will begin the review process. Every member of the committee will review each portfolio submitted, regardless of recommendation and

concurrence at previous stages in the process. After all members have reviewed each portfolio, the committee will meet *en masse* (convened in person) to discuss each portfolio and vote on each candidate by reported numerical secret ballot.

The committee will perform a year-end process/procedures review and prepare a report to be presented to the Provost and Executive Vice President for Academic Affairs by May 15. This report should include what worked well, what did not work, and remediation recommendations.

Members of the University-Wide Promotion and Tenure Portfolio Review Committee participate with the understanding that all matters related to their deliberations remain confidential.

#### Responsibility of the Provost and Executive Vice President for Academic Affairs

By April 15, the Provost and Executive Vice President for Academic Affairs will review each candidate, and the recommendations from the peer promotion and/or tenure committee, the department chair, the dean, and the University-Wide Promotion and Tenure Portfolio Review Committee, and will recommend for or against the granting of promotion and/or tenure to the President.

#### Responsibility of the President

By April 22, the final decision for or against the granting of promotion and/or tenure will be made by the President. No later than May 1, letters of notification from the President's Office will be mailed to all candidates, with copies to the respective dean and department chair. For faculty being considered for promotion and/or tenure to associate professor, the notification will occur during the final year of the probationary period. Faculty not approved for tenure will be issued a terminal contract. Promotion and/or tenure, and promotional raises, will become effective on the first day of the following fall semester.

#### B. Department Chairs Applying for Promotion and/or Tenure

Department chairs who are candidates for promotion and/or tenure will be evaluated using the same process as that described for other faculty members, except that the department chair review will be conducted by the associate dean of that college. No committee shall consist of less than five tenured faculty. When that number is not possible at the departmental level, the dean will complete the committee membership from among all tenured faculty not applying for promotion from other departments in the college or in a related discipline. In the case of department chairs, however, no later than November 15, the evaluation form completed by the peer promotion and/or tenure committee, and the evaluation by the associate dean, will be submitted via the online database that UNA has established for this purpose. The dean will evaluate the candidate's portfolio and, by February 1, will submit his or her evaluation form via the online database that UNA has established for this purpose. By April 15, the Provost and

Executive Vice President for Academic Affairs will review each candidate, and the recommendations from the peer promotion and/or tenure committee, the dean, and the University-Wide Promotion and Tenure Portfolio Review Committee, and will recommend for or against the granting of promotion and/or tenure to the President.

## Evaluation Results

At each stage of the process, the evaluation form will be submitted via the online database that UNA has established for this purpose and made available to the candidate. The candidate may offer a rebuttal, if desired, via the online database that UNA has established for this purpose. The rebuttal(s), if any, will become a part of the application materials.

### **2.6.45 Renewal or Termination of a Probationary Appointment**

Written notice of renewal or termination of a probationary appointment will be March 1. Written notice delivered via official university communication methods, including e-mail, before the specified dates shall be deemed sufficient notice. Otherwise, offers of reemployment will be made by an offer of appointment as specified in Section 2.4.2 above. Acceptance of an offer of reemployment must be made in writing and received by the Provost and Executive Vice President for Academic Affairs not later than thirty (30) calendar days following the offer.

The recommendation to renew or not to renew a probationary appointment normally will originate with the department chair or other immediate supervisor. Tenured members of the department also will be consulted. After review of the recommendation by the appropriate college dean, the Provost and Executive Vice President for Academic Affairs makes the final decision to renew or not to renew the appointment. The person affected will be advised of that decision in writing by the Provost and Executive Vice President for Academic Affairs. Probationary faculty who receive non-renewal notices as a result of tenure and promotion review will be retained for one academic year of employment prior to separation from the institution.

**From:** [Vandiver, Renee P](#)  
**To:** [Stovall, Jessica E](#); [Bolton, Melissa Buckner](#); [Sandvig, Amber Fay](#)  
**Cc:** [Oden, Kristy Oneal](#)  
**Subject:** Internal Control Policy, Workplace Threats and Violence Policy, Consensual Relationships Policy, Conflict of Interest Policy, Video Monitoring and Surveillance Activity Policy (from Policy Environment Task Force Spreadsheet)  
**Date:** Tuesday, November 15, 2022 1:24:36 PM  
**Attachments:** [image001.png](#)  
[image004.png](#)  
[F-S Welfare Committee Policies Review Recommendations.docx](#)  
[Internal Control Policy - 2010 \(002\).docx](#)  
[NEPOTISM suggested revisions from Faculty Senate.Catherine White edits.docx](#)  
[image005.png](#)

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On behalf of SGEC Chair Kristy Oden, I wish to inform you that via e-business, the SGEC voted unanimously to consider proposed revisions to the following policies as items to be reviewed by the Faculty Senate, Staff Senate, and SGA. Therefore, please inform Chair Oden of the outcome of this review with a copy to me. Thank you.

Internal Control Policy  
Workplace Threats and Violence Policy  
Consensual Relationships Policy  
Conflict of Interest Policy  
Video Monitoring and Surveillance Activity Policy  
Revised Nepotism Policy (for review by Staff Senate and SGA only since Faculty Senate has already reviewed)

*Ms. Renee' P. Vandiver '85* | [256-765-4258](tel:256-765-4258)

*Academic Affairs Policy Consultant*

Office of the Provost and Executive Vice President for Academic Affairs

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<https://www.una.edu/academics/>



# UNIVERSITY OF NORTH ALABAMA INTERNAL CONTROL POLICY

## Background

The Bylaws of the Board of Trustees for the University of North Alabama direct the President to establish financial, budgetary, audit, and business procedures for the efficient and effective management of the University. The Board of Trustees recognizes the need for, and the value of, a strong system of internal controls.

## Purpose

This policy describes the general guidelines for establishing and maintaining internal control procedures for departments and other University activities.

## Policy

Internal controls include organizational plans and procedures that are designed to:

- Safeguard assets;
- Verify the accuracy and reliability of accounting data and other management information;
- ~~Promotion~~Promote operational efficiency; and
- Ensure adherence to prescribed policies and compliance with federal and state regulations.

Administrators are responsible for conducting their business activities in a manner consistent with good internal control procedures. Individuals responsible for administering University funds are expected to:

- Ensure that internal control procedures are available to and understood by those carrying out financial transactions;
- Comply with University, Federal, State, Sponsor, and Donor terms, conditions, and restrictions on the use of funds;
- Grant or delegate financial authority carefully, with consideration for proper segregation of duties;
- Ensure that appropriate reviews and monitoring take place, including a monthly review of transactions for reasonableness and necessity, and conduct a periodic review of operating reports and performance indicators;
- Explain to individuals that they will be accountable for their actions when accessing institutional records or processing transactions;
- Communicate financial information properly and in a timely manner, and grant access to financial information only for appropriate business uses; and
- Set a tone within the organization for ethical conduct and integrity.



## **Review and Evaluation of Internal Controls**

The Vice President for Business and Financial Affairs (VPBFA) is responsible for the promulgation of policies and procedures directed toward the establishment of good internal controls (as approved by the President of the University).

The Audit, Finance, and Administration Committee of the Board of Trustees (as is described as a standing committee in Board Bylaws Article IV – Committees, Section 2) shall function as the University's Internal Audit Committee to review and measure the effectiveness of the controls established within the framework of this policy. As noted in Bylaws Article IV, committee members and its chairperson shall be appointed annually by the President Pro Tempore of the Board. This committee shall report at least annually to the Board of Trustees on activity for the preceding fiscal year, and shall take such other actions as it deems necessary to insure compliance with the Internal Control Policy and Procedures.

## **Notification of Suspected Financial Irregularities and Control Weaknesses**

The President of the University is to be notified immediately of any material financial irregularities, suspected fraud or embezzlement, or major flaws detected in any/all internal control procedures.

Any observed weaknesses in internal control should be brought to the attention of the VPBFA.

**UNIVERSITY OF NORTH ALABAMA  
INTERNAL CONTROL PROCEDURES  
BUSINESS AND FINANCIAL AFFAIRS**

**A. Cash Management**

**1. General**

Members of the university community who receive University monies are responsible for the collection and safekeeping of all cash entrusted to them and for the safety of employees who handle cash. For the purposes of Cash Management, the term “cash” is defined to include cash, checks, credit card payments, money orders, and other negotiable instruments whether received in person, electronically, by mail, or by the telephone.

Monies received will be deposited no later than the following business day on a daily basis at the University Cashiers Office located in Commons Building, second floor Bibb Graves Hall. The Cashiers Office is the centralized area responsible for the cashing, depository, and collection functions of the University. Only offices approved by the Controller may keep cash overnight. These funds must be secured under lock and key in a locked safe that has been previously approved by the Controller. No checks shall be cashed, no purchases shall be made, and no substitution of cash, checks, or other documents shall be made from the actual monies received.

**1.1 Petty Cash**

Withholding monies to establish departmental petty cash funds is not permitted. Departments that need a petty cash account for making change must submit a formal request, through the appropriate Dean or Vice President, to the University Controller. A written justification must accompany the request, with approvals by the appropriate Dean or Vice President.

Petty cash accounts must be intact at all times. Overages and shortages must be recorded upon discovery and immediately reported to the Controller.

**1.2 Bank Accounts**

All funds intended for the University must be deposited into an approved University bank account. Only the Vice President for Business and Financial Affairs (with prior approval of the President of the University) has the authority to establish a University bank account. All University bank accounts require two signatures (VPBFA, Controller, or the President) for the withdrawal or transfer of any funds. All bank accounts will be reconciled on a monthly basis by individuals not preparing deposits.

The Bank Signature Cards and the Board Minutes that authorize the check signers shall be kept up-to-date and in agreement.

## 2. Deposits

### 2.1 Cash Receipt and Credit Card Reports

A computer-generated, daily cash receipt report will be produced for all non-student receivable payments. This report will provide name of payer, receipt date, receipt number (computer generated), amount of transaction, and University financial account number. All voided cash receipts must be approved by the Cashier's supervisor and filed with daily cash receipt records.

A batch listing of payments to student accounts shall be computer-generated with financial information transferred to the Financial Records System.

Each point-of-sale station at the end of each day shall generate credit card receipt reports. These reports shall be compared to computer generated student account payments with variances immediately reported to the supervisor.

### 2.2 Transporting Deposit

A locked bag must be used to transport ~~daily~~ cash deposits to the bank. Cash deposits are to be made at minimum on Tuesday and Thursday as well as last business day of month on a daily basis. ~~Cash will be safely secured in safe between deposits.~~ A duplicate bank deposit ticket will be prepared for each bank account. The cashier making the deposit will ensure the bank validates each ticket. ~~If a bank deposit cannot be made, the Controller must be notified before 4:00 p.m. each day. The Controller will then make the deposit, or ensure the cash is safely secured in the University's vault, room 102, Bibb Graves Hall.~~ A copy of the bank validated deposit ticket shall be forwarded to the Controller's office. ~~ticket shall be forwarded to the Controller's office on a daily basis.~~

## 3. Accountability of Cash

### 3.1 Limiting Access to Cash

Access to cash must be restricted to the employee responsible for the cash. Separate cash drawers shall be used to accommodate employee breaks. All cash received after the daily deposit must be placed in a secure location.

### 3.2 Recording Payment Transactions

#### 3.2.1 Person Paying is Present

When cash is received in the presence of the person making payment, recording of the transaction must take place immediately by issuing a computer-generated receipt or a pre-numbered printed receipt. Departments with pre-numbered receipt books must account for and provide an explanation for all missing or voided receipts.

### 3.2.2 Person Paying is Not Present

Where the recording of cash cannot be observed by the person making the payment, ~~different individuals will open and post the payments two (2) individuals must be present when opening mail or emptying collection boxes.~~

### 3.2.3 Checks

Checks must be payable to *The University of North Alabama, UNA*, or department (e.g. *UNA University Police, UNA Student Engagement*, etc.). All checks **must** be restrictively endorsed “for deposit only” immediately upon receipt. The University’s endorsement renders the check non-negotiable and must be stamped on the back of all checks. The endorsement stamp must contain certain required information and stamps must be obtained from the Controller’s office.

#### 3.2.3.1 Returned Checks

Only cash or certified funds will be accepted to redeem a returned check. When a check received by the University is returned for non-payment, an aggressive effort shall be made to collect the amount of the check from the issuer. The University will take the actions listed below:

- ~~▪ The issuer’s check cashing privileges shall be suspended until the amount of the original check, plus any associated fees, is paid in full.~~
- A hold will be placed on all student registration, transcripts, and other University services until the amount of the original check, plus any associated fees are paid. ~~A certified letter will be sent to the issuer with notification that within 10 days the returned check will be forwarded to the District Attorney’s (DA) office for collection. After the completed time, the instrument shall be delivered to the DA’s office for collection.~~

#### 3.2.3.2 Negotiating Checks Payable to the University

Occasionally a check is made payable to the University with the intent that the money be transferred to a student or the on-campus bookstore. The Business Office is the only University department authorized to negotiate checks payable to the University. Checks payable to the University are not endorsed over to the person presenting the check, ~~except for Plus loan checks. Plus loan checks may be endorsed over to the student’s parent that is listed as a co-payee on the check if the student has no financial~~

~~obligation to the University. Proper identification is required before endorsement.~~ Non-financial-aid checks made payable to UNA must be deposited and subsequently replaced with a University check payable to the presenter after five (5) working days.

### **3.2.3.3 Checks Received for an Unknown Purpose**

When a University department receives a check and the purpose is unknown, the check must be delivered to the Controller's office immediately. If the Controller is unable to identify the appropriate account for deposit, the check is to be deposited into a holding account. When the appropriate account is identified, the amount shall be transferred from the holding account.

### **3.2.4 Credit Card Payments**

The University accepts payments by MasterCard, Visa, and Discover ~~and American Express~~. Departments that wish to begin accepting credit card payments must obtain prior approval from the Controller's Office to enter into a credit card processing agreement or to acquire electronic credit card data entry equipment.

### **3.2.5 Electronic Transfer of Funds**

Departments wishing to accept wire transfer payments must contact the Controller's office for specific requirements. All electronic funds transfer (EFT) payments from University funds must be approved and processed through the Controller's office.

## **3.3 Segregation of Duties**

Duties for receiving and recording cash must be segregated. No single employee will be placed in a position that allows the employee to receive money and record the payment into the financial system.

### **3.3.1 Duties of Employees Accepting Cash**

Access to cash must be limited to employees who have direct responsibilities related to the handling of cash. The following duties should be performed only by employees responsible for cash:

- Receive monies either in person, by mail, or electronically (i.e. telephone).
- Prepare receipts.
- Deposit cash.

#### **4. Cash Disbursements**

With the exception of petty cash reimbursements, all cash disbursements will be made by check or electronic payment. All cash disbursements require prior approval by the Controller or the VPBFA.

- The Controller, or designee, must examine the invoices supporting each check.
- Blank checks may not be pre-signed.
- Checks are restricted from being made payable to “Cash”.
- Check signers are restricted from approving their own reimbursement requests.
- A file copy is maintained for each check disbursed; the copy is to be attached~~stapled~~ to the paid invoice.
- ~~The Bank Signature Cards and the Board Minutes that authorize the check signers are kept up to date and in agreement.~~

#### **B. Accounts Receivables**

##### **1. Reconciliation of Accounts Receivable**

All accounts receivable activity for the University should be channeled through the Controller’s office. The Controller’s office will ensure that:

- Accounts receivable subsidiaries are balanced to the general ledger on a monthly basis.
- Daily payments are posted and detailed by payment listings.
- Detailed documentation is maintained for adjustments made to receivable accounts, and adjustments are restricted to staff not processing payments.
- Accountability and aging of accounts receivable are accurate to aid in preparation of the annual financial report.
- Accounts are invoiced on a timely basis, whether the receivables are due from private entities, the federal government, state agencies, or students.

##### **1.1 Delinquent Accounts Receivable**

When internal collection efforts have failed, delinquent accounts receivable will be referred to a contracted collection agency as approved by the VPBFA. The Controller or VPBFA must approve the write-off of any outstanding accounts receivable.

Documentation of past collection efforts must be provided before write-off will be approved. The Alabama Attorney General’s office must approve the write-offs of all receivables.

#### **C. Exceptions**

Any exceptions to these procedures must be approved in writing by the Vice President for Business and Financial Affairs.

## Faculty & Staff Welfare Committee

TO: Dr. Kristy Oden, SGEC Chair  
Mrs. Renee Vandiver, Academic Affairs Policy Consultant

FROM: Dr. Alejandra Alvarado-Brizuela, Committee chair (Faculty, 2023)  
Dr. Sara Lynn Baird (Council of Academic Deans, 2023)  
Ms. Melissa Bolton (Staff, 2025)  
Ms. Bretta Cagle (Staff, 2024)  
Ms. Michelle Eubanks (Staff, 2024)  
Dr. Felecia Harris (Faculty, 2023)  
Dr. Ashley Johnson (Faculty, 2025)  
Ms. Kim Oakley (Staff, 2024)  
Dr. Jill Simpson (Faculty, 2023)  
Mr. Evan Thornton (non-voting, by position)  
Ms. Catherine White (non-voting, by position)  
Ms. Angela Zwissler (non-voting, by position)

RE: Policies Review Recommendations

DATE: November 4, 2022

Summary of discussion and policies review:

Policy	Recommendations/Comments
Workplace Threats and Violence Policy (2011)	<ul style="list-style-type: none"><li>○ Remove names of social media platforms.</li><li>○ Add “made or committed by an employee” to the first line of the third paragraph for clarity.</li></ul>

<p>Consensual Relationships Policy (2017)</p>	<ul style="list-style-type: none"> <li>○ Add language under “Student Paraprofessional” to include students with educational responsibilities; i.e. undergraduate teaching assistants, graduate teaching assistants, and graduate assistants.</li> <li>○ Add the following definition: <ul style="list-style-type: none"> <li>- <i>Educational responsibility</i>: The power or authority to evaluate, influence, provide, or control aspects related to a student’s education or professional development. Covered activities include, but are not limited to, teaching, grading, mentoring, advising, evaluating research or other academic activity, serving on a student’s dissertation committee, participating in decisions or recommendations regarding funding or other resources, clinical supervision, and recommending for admissions, employment fellowships, or awards.</li> </ul> </li> </ul>
<p>Conflict of Interest Policy (2017)</p>	<ul style="list-style-type: none"> <li>○ It is recommended to include the State Ethics Law summary available in this link: <a href="https://www.una.edu/employee-policy-manual/PDFs/General-Info-">https://www.una.edu/employee-policy-manual/PDFs/General-Info-</a></li> </ul>



<p>CURRENT TEXT:</p> <p>Even though contracts of purchase or sale of personal or real property or services exceeding \$15,000 in value are generally awarded on the basis of public bids, Board members and senior administrators and the organizations in which they or members of their immediate families (which, for purposes of this Section B, shall mean spouse, parents, and children) either will benefit materially from the transaction or will hold substantial interest (5% or more), or in which they serve as directors or senior executive officers, shall, except as provided below, avoid submitting bids or proposals to the University or any of its divisions and agencies when the quality of future performance is a substantial part of the contract or proposal.</p>	<p><a href="#">Statements/State%20Ethics%20Law.pdf</a> to the university policies page for all employees.</p> <ul style="list-style-type: none"> <li>○ This policy is relevant and current; we have a small revision (effective 10/1/2022).</li> </ul> <p>PROPOSED REVISIONS:</p> <p>Even though contracts of purchase or sale of personal or real property or services exceeding the minimum amount set by the State of Alabama Bid Law in value are generally awarded on the basis of public bids, Board members and senior administrators and the organizations in which they or members of their immediate families (which, for purposes of this Section B, shall mean spouse, parents, and children) either will benefit materially from the transaction or will hold substantial interest (5% or more), or in which they serve as directors or senior executive officers, shall, except as provided below, avoid submitting bids or proposals to the University or any of its divisions and agencies when the quality of future performance is a substantial part of the contract or proposal.</p>

<p>Video Monitoring and Surveillance Activity Policy (2020)</p> <p><b>CURRENT TEXT:</b>  Mobile or hidden video equipment may be used in criminal investigations by the University Police Department. Covert video equipment may also be used for non-criminal investigations of specific instances that may be a significant risk to public safety, security and property as authorized by the Chief of Police.</p> <p>An example of a non-criminal investigation would be an internal investigation conducted for HR where the goal is not to prosecute, but to determine continued employment. Another example would be video obtained to enforce a University policy and procedure such as students propping open doors in a residence hall (not illegal, but a definite violation of policy).</p> <p><b>CURRENT TEXT (page 5, bottom):</b>  No attempt shall be made to alter any part of any surveillance recording and the surveillance centers and monitors will be configured to prevent camera operators from tampering with or duplicating recorded information.</p> <p>All surveillance records shall be stored in a secure location for a period of 30 days and will then be erased or written over, unless retained as part of a criminal investigation or court proceedings (criminal or civil). Individual departments shall not store video surveillance recordings.</p>	<ul style="list-style-type: none"> <li>○ Page 5 (top), Use of Cameras for Criminal Investigations</li> </ul> <p><b>PROPOSED REVISIONS:</b>  Mobile or hidden video equipment may be used in criminal investigations by the University Police Department.</p> <p><b>*NEW HEADING*</b> Use of Cameras for Non-Criminal Investigations</p> <p>Covert video equipment may be used for non-criminal investigations of specific instances that may be a significant risk to public safety, security and property as authorized by the Chief of Police. An example of a non-criminal investigation would be an internal investigation conducted for HR where the goal is not to prosecute, but to determine continued employment <b>after inappropriate use of university equipment or resources has been discovered</b>. Another example would be video obtained to enforce a University policy and procedure such as students propping open doors in a residence hall (not illegal, but a definite violation of policy).</p> <ul style="list-style-type: none"> <li>○ Page 5 (bottom), Storage and Retention of Recordings</li> </ul> <p><b>PROPOSED REVISIONS (page 5, bottom):</b>  No attempt shall be made to alter any part of any surveillance recording and the surveillance centers and monitors will be configured to prevent camera operators from tampering with or duplicating recorded information.</p> <p>All surveillance recordings shall be stored in a secure location for a period of 30 days and will then be erased or written over, unless retained as part of a criminal investigation, a civil or criminal court proceedings, or pursuant to a Preservation Notice issued by the University's Legal Counsel.</p>
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<p><b>CURRENT TEXT</b> (page 6, fourth bullet):</p> <p>Recordings shall be retained for 30 days and then will be erased or recorded over unless retained as part of a criminal investigation, a civil or criminal court proceeding, pursuant to a Preservation Notice issued by the University's Legal Counsel. No attempt shall ever be made to alter any recording. Editing or otherwise altering recordings or still images, except to enhance quality for investigative purposes or blur features as described above, is strictly prohibited.</p>	<p><b>PROPOSED REVISIONS</b> (page 6, bullet points):</p> <ul style="list-style-type: none"> <li>○ Individual departments shall not store video surveillance recordings.</li> <li>○ Editing or otherwise altering recordings or still images, except to enhance quality for investigative purposes or blur features as described above, is strictly prohibited.</li> </ul>
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### Information Items – December Senate Meeting

<b>Policy</b>	<b>Current Status (as of 11/15/2022)</b>
Graduate Faculty Selection Policy	Sent to Council of Academic Deans, SACSCOC Liaison, the Graduate Advisory Council, and Graduate Council for review
Nepotism Policy	Sent to HR Director, Staff Senate, and SGA for review
Workload Policy	Sent to Council of Academic Deans for review

<b>Policy</b>	<b>Editorial Changes</b>
Drugs and Alcohol Abuse Policy	<ol style="list-style-type: none"> <li>1. As an alternative to disciplinary action, the University may require an individual to <b>successfully complete</b> ( old: complete successfully) a drug or alcohol recovery program in an approved treatment facility.</li> <li>2. The University Of North Alabama Board of Trustees empowers the University President, or <b>their</b> (old: his) administration, to administer this policy.</li> </ol> <p>Note: These editorial changes were recommended to SGEC by the Faculty/Staff Welfare Committee and approved on 11/14/2022.</p>

<b>Editorial Revisions to University Policies</b>
On the recommendation of the Faculty/Staff Welfare Committee, and with the approval of the SGEC, it was agreed that all university policies should embrace the use of inclusive language (they/their as opposed to he/she, his/her) and the use of the Oxford comma should be consistent within all policies.

<b>Behavioral Health Insurance Coverage and IBH</b>
<p>Concerns were raised with IBH and the following clarification was received:</p> <p>IBH is not preferred as a provider for behavioral health services over any other in-network provider. Local behavioral health providers can be located on the mybluecross app/website.</p>