

APPENDIX E
Operating Rules of the
Faculty Policies and Procedures Committee (FPPC)
Last Amended April 2019

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Operating Rules of the UAB Faculty Policies and Procedures Committee

A. Charge (See [UAB Faculty Handbook and Polices 2.4](#))

B. Members: Appointment and Duties

1. Constituent Units

- a. Schools (Business, Dentistry, Education, Engineering, Health Professions, Medicine, Nursing, Optometry, and Public Health)
- b. College (Arts and Sciences)
- c. Joint Health Sciences
- d. UAB Libraries

2. Members

- a. Voting members consist of one regular full-time faculty appointee from each constituent unit, except the College of Arts and Sciences, which has three regular full-time faculty appointees. Voting members are selected by the Chair of the Faculty Senate from the Senators and Alternates of their respective units. If no Senate Member is available, the Chair of the Faculty Senate will select a full-time faculty person from the unit to serve as the voting member. Voting members also include one appointee of the President and one appointee of the Provost.
- b. Ex-Officio members have the privilege of participating in the discussions of the committee but may not make any motions or vote. To assist in conducting the business of the Committee, the Chair may appoint ex-officio members as needed. Permanent ex-officio members consist of one representative from each of the Office of Counsel, University Compliance Office, and Department of Human Resources; and the immediate Past Chair of the FPPC.

3. Terms

- a. Appointed terms are one year, from Sept. 1st through Aug. 31st.
- b. Committee members from the previous year may be re-appointed to serve.
- c. The Chair of the Faculty Senate shall select a Senate Member or a full-time faculty person from the same unit to fill the term if vacated by a member.

4. Duties and Responsibilities

- a. Serve as the FPPC member and faculty liaison for his/her constituent unit.
- b. As FPPC liaison for his/her unit, communicate with constituent unit faculty to relay information about FPPC activities and to collect input on FPPC-related issues. This will require ensuring that the faculty in the member's unit is informed of all policy and faculty Handbook changes in timely fashion to allow for review and critique of those changes.
- c. Participate in subcommittees addressing topics before the FPPC as assigned.

- d. Report to the faculty governance committee in the constituent unit such as a Faculty Affairs Committee or other committees related to faculty policies and procedures in order to ensure alignment of University and unit policies.
- e. Review faculty policies and procedures at the constituent unit and departmental level to be able to contribute to the discussions on topics before the FPPC.

5. Attendance

- a. At least one representative from each academic unit and each administrative organization should attend each meeting.
- b. If a member cannot attend a meeting:
 - i. For Academic Unit members: Please coordinate with another Senate member from your unit to attend as your voting proxy to ensure representation of your unit. If no Senate member from your unit can attend, you should coordinate with a full-time faculty member of your choice from your unit to attend the meeting as your voting proxy.
 - ii. For Representatives from administrative offices: Please coordinate with another member of your office/department to attend as your proxy to ensure representation from your office/department.
- c. It is the member responsibility to forward all documents and meeting information to his/her proxy and to inform the FPPC Chair and the Faculty Senate Office Associate regarding the nomination of a proxy.
- d. A member having two consecutive absences with no proxy present from his/her unit will be reminded by the Chair of the requirement to have a proxy when he/she is not able to attend.

c. Chair: Appointment and Duties

1. **Term:** The term of the Chair shall be from Sept. 1st through Aug.31st. At the closing meeting of the term, the retiring Chair will receive the title of ex-officio Past-Chair.
2. **Appointment of the Chair of the FPPC:** The Chair of the FPPC shall be appointed by the Chair of the Faculty Senate.
3. **Voting Privileges:** Votes by the Chair will be in accordance with Robert's Rules of Order.
4. **Duties:**
 - a. Prepare cover letters to accompany approved recommendations being forwarded to the Senate. These documents should be addressed to the Chair of the Senate and must be copied to the Associate Chair of the Senate, the Senate Office Associate, and the Chair-Elect of the Senate.
 - b. Maintain tracking documentation about the sections of the Faculty Handbook and/or University-wide policies and procedures reviewed by the FPPC.

- c. Serve as faculty representative on the Enterprise-wide Compliance Committee.
- d. Serve as member of the Executive Committee of the Faculty Senate and attend the monthly meetings of the Executive Committee and of the Executive Committee with the President and the Provost. [[Bylaws II.2](#) and Constitution [Article VI.4.](#)]
- e. Ensure that agenda and attachments for meetings are prepared and distributed prior to scheduled meetings.
- f. Prepare annual report for Faculty Senate Executive Committee and Faculty Senate.

D. Vice-Chair: Appointment and Duties

1. **Term:** The term of the Vice-Chair shall be from Sept. 1st through Aug. 31st.
2. **Number of Terms:** A member of the FPPC may serve consecutive terms as Vice-Chair.
3. **Appointment of the Vice-Chair:** The Vice-Chair shall be a member of the FPPC and appointed as Vice-Chair by the Chair of the FPPC.
4. **Voting Privileges:** The Vice-Chair shall have full voting privileges as a member of the FPPC.
5. **Duties:**
 - a. Serve as Chair in the absence of the Chair, fulfilling all responsibilities of the Chair.
 - b. Assist the Chair with action items and follow up from meetings such as forwarding FPPC recommendations.
 - c. Assist with the development of the agenda for FPPC meetings.

E. Secretary: Appointment and Duties

1. **Term:** The term of the Secretary shall be from Sept. 1st through Aug. 31st.
2. **Number of Terms:** A member of the FPPC may serve consecutive terms as Secretary.
3. **Appointment of the Secretary:** The Secretary shall be a member of the FPPC and appointed as Secretary by the Chair of the FPPC. The Vice-Chair can also act as Secretary when the Chair is present.
4. **Voting Privileges:** The Secretary shall have full voting privileges as a member of the FPPC.
5. **Duties:**
 - a. Take minutes of the FPPC meetings and prepare draft minutes to be reviewed by the Chair before distribution to the FPPC members.
 - b. Forward FPPC approved minutes to the Senate Office Associate for posting on the Senate web site.
 - c. Monitor attendance of members and/or alternates at the FPPC meetings.

F. Meetings

1. **Regular Meetings:** in general, the FPPC will meet on a monthly basis.
2. **Cancellation:** The Chair may cancel a regular meeting when it is deemed that there is insufficient business to warrant holding the meeting.
3. **Called Meetings:** Called meetings shall be conducted by the Chair or Vice-Chair. The Chair or the Vice-Chair may call a meeting of the Committee upon ten calendar day's written notice to the members of the Committee and ex-officio members.
4. **Quorum:** A quorum is required to conduct FPPC business. A simple majority of the voting members shall constitute a quorum for both regular and called meetings. Members who synchronously connect to the meeting electronically shall be voting members and be counted for the quorum.
5. **Voting Membership:** The voting membership is defined as those members (or their proxies) in attendance with voting rights (see B.4.a above).
6. **Voting:**
 - a. Voting on topics before the committee shall be completed by a majority vote, as defined by Robert's Rules of Order.
 - b. Email Voting:
 - i. The Chair may initiate an email vote when he/she deems that an issue requires action prior to the next regular meeting of the Committee.
 - ii. This procedure is not intended to replace a regular meeting of the Committee and should be used only in rare situations.
 - iii. The deadline for members to respond to the vote request will normally be at least five days from the date that the email is sent out by the Chair.
 - iv. Any member may request that an issue that is submitted for electronic voting be brought up at a full committee meeting. Any such request makes the electronic ballot null and void and the issue to be presented at the next regular or called meeting.
7. **Rules:**
 - a. All meetings shall be conducted in accord with Robert's Rules of Order.
 - b. Chair will focus discussions on completion of the agenda items of the meeting.
 - c. Unacceptable Behaviors:
 - i. All participants in FPPC meetings shall have awareness of [Section 3.6](#) on Standards of Behavior in the Faculty Handbook. Unacceptable behaviors for FPPC meetings include:
 - (a) Speaking before being recognized by the Chair;
 - (b) Using comments questioning the motives or actions of other members of the University community;
 - (c) Not confining remarks to the merits of the pending topic under discussion as to the impact/implications to faculty;

- (d) Disrupting the progress of the agenda for the meeting;
 - (e) Talking among members when not recognized by the Chair;
 - (f) Using intimidating or offensive language.
- ii. Any of the behaviors listed above may be subject to one or more of the following actions as determined by the Chair and the committee membership:
- (a) Requirements to apologize to the committee and/or specific member(s);
 - (b) Dismissal or request by the Chair to leave the meeting;
 - (c) Suspension for a defined number of meetings with an alternate proxy to attend those meetings. The Chair of the UAB Faculty Senate shall appoint a proxy from the member's unit for the duration of the suspension;
 - (d) Expulsion from the committee by two-thirds of the voting membership. The Chair of the UAB Faculty Senate shall appoint a successor to the vacated FPPC position from the expelled member's unit.
- 8. Committee Records:** Committee records are the approved minutes of the FPPC and serve as the documentation of actions and decisions, but not including discussion/debate of most topics, as specified by Robert's Rules of Order.
- 9. Meeting Announcements:** Meeting announcements, agenda, previous meeting's minutes and attachments shall be sent out at least 3-4 days prior to regular meetings via email to all FPPC members and ex-officio members.
- 10. Agenda Items:** Discussion of agenda items without resolution that extend beyond the timeline allotted on the agenda shall be subject to a motion to cut off debate, to call the question, to table until next meeting, and/or to return the topic to a working group or subcommittee if such is the origin of the topic under discussion.

G. Criteria for Review of Faculty Handbook and University-wide Policies

The FPPC shall use the following criteria for review of the Faculty Handbook and any other policies or documents referred to FPPC:

1. Criterion I – Consistency. There should be consistency among the policies and procedures that affect faculty (i.e., Faculty Handbook, You and UAB Handbook, and related University-wide policies)
2. Criterion II – Current Content and Practices. Policies and procedures that affect faculty should be up-to-date and reflective of current practice.
3. Criterion III – Clarity of Information. Policies and procedures that affect faculty should be clear, understandable, and interpretable. Contact information should be included for policy owner or the appropriate group to contact with questions.
4. Criterion IV – Fairness to Faculty. Policies and procedures that affect faculty should be equitable.

H. Process for Review of the Faculty Handbook and University-wide Policies

1. **Faculty Handbook Review:** Changes in the UAB Faculty Handbook and Policies are through a process involving successive review and approval by the UAB FPPC, UAB Faculty Senate, UAB Provost/UAB President, and the UA System Office. The FPPC is charged with the annual review of all changes proposed to the Faculty Handbook, including any pressing changes that may be needed more urgently during the academic year.
 - a. The FPPC shall work throughout the year to ensure that the Faculty Handbook is consistent with current University policies and is attuned to the needs of the faculty.
 - b. In collaboration with UAB administration, the FPPC shall work to ensure that policy changes at the local, State, and Federal levels are reflected in the Faculty Handbook.
 - c. For substantive revisions of the Handbook, following the FPPC review and revision, the revised document shall be submitted as a recommendation to the Chair of the Faculty Senate with request for the Senate to approve the recommendation.
 - d. It shall be the purview of the Faculty Senate to forward these to the Provost or return them to the FPPC for further consideration.
 - e. The Provost will ensure recommendations are approved (or returned for revision) at the University level and submitted to the University of Alabama System Office for final approval.
 - f. All substantive Faculty Handbook changes must be approved by the President and the UA System Office.
 - g. Minor edits or modifications to the Faculty Handbook that do not change the intent or meaning of a provision, such as grammatical and spelling errors, date changes, or unit title changes, shall be communicated by the FPPC Chair to the Provost Representative and may be made without prior submission of recommendations to the Faculty Senate and Provost.
 - h. Process for annual review of Faculty Handbook changes
 - i. Initiation of a Change Recommendation at a subsequent Senate meeting, the FPPC Chair, or designee, will present a summary of the faculty comments and associated committee actions as the "Second Reading" of the proposed changes.
 - (a) If the Senate requires amendments to the policy, it may approve amended language at the meeting, or it may return the handbook revision to the FPPC for further consideration.
 - ii. Senate Approval: The Faculty Senate will vote on changes presented. This may occur immediately after the second reading.

- iii. Provost/President Approval: Faculty Senate will submit the Senate-approved changes to the Provost for Provost/President review/approval.
 - (a) If the Provost and/or President find that the changes are not acceptable in their current form, he/she will return it with explanation to the Senate for further consideration.
- iv. UA System Office Approval: The UAB Campus Designee to the UA System Office (currently within UAB Office of Compliance & Risk Assurance) will forward the Provost/President approved Handbook for review. Feedback, when received, will be jointly assessed by the FPPC Chair, UAB Campus Designee, and designees of the Provosts office. Upon completion, the FPPC Chair will forward the approved handbook to the Faculty Senate Office.
 - (a) If the UA System Office determines that a change is not acceptable in its current proposed form, then they shall return the document to the UAB Faculty Senate and UAB administration with a detailed justification and request for revision(s).
- v. Annual Publication: The Faculty Senate Office is responsible to assure posting of the fully approved Handbook in the UAB Policies & Procedures Library website (currently through UAB Office of Compliance & Risk Assurance). Additionally, a copy is sent to UAB Archives, and a copy is retained in the UAB Faculty Senate Office.
- i. Process for changes required during the academic year of the current approved Handbook: If the need for a time-sensitive change has been determined by the FPPC, the Senate, or the President or the Provost that requires submission to UA System Office prior to the completion of the annual review cycle, then the following should occur:
 - i. President will inform the Senate Chair, and the FPPC will review the changes requested and their justification;
 - ii. The review process used for annual review changes should be employed as much as possible depending on the time-sensitive nature;
 - iii. The Senate will post a “pending change” statement on the online version of the current Handbook after the President & Provost approve the change. Statement can state “pending final approval by the UA System Office” but it is considered in force once posted and disseminated to the faculty;
- j. Recommended timeline for annual review cycle: In order to have changes submitted with adequate time for the annual submission/approval process, submission of each step should occur by, or prior to, the following timeline:
 - i. February:
 - (a) FPPC approve all changes by the February FPPC meeting

- (b) Senate liaison distribution university-wide in late February
- ii. March:
 - (a) 1st reading to the Senate
 - (b) FPPC to review faculty comments at the March FPPC meeting. Make appropriate revisions. Distribute to Senate (not university-wide) prior to April Senate meeting.
- iii. April:
 - (a) 2nd reading and possible vote by the Senate at the April meeting
 - (b) Forward Senate-approved version for Provost/President review/approval by mid-April.
- iv. May:
 - (a) UAB designee to UA System Office (Compliance Office) to forward the Senate/Provost/President approved version to UA System Office by early May.
- v. June-July:
 - (a) Preferably by mid-June, in coordination, the FPPC Chair, UAB Designee, and designees from Provost/President office, respond to System Office recommendations for either immediate response or deferral for full review in the next academic year to finalize Handbook.
 - (b) The committee does not normally meet in July except in cases of emergency.
- vi. August:
 - (a) The fully-approved Handbook is posted, and official copies disseminated prior to August 15th.

2. University-wide Policies review

- a. The FPPC shall work throughout the year to review University (and enterprise) -wide policy changes that affect UAB faculty members according to the University-wide policy development process. The FPPC typically does not meet during the summer academic break unless due to an urgent need (UAB Faculty Handbook, [Section 4.1](#)).
- b. Formal drafts of new or revised university-wide policies will be submitted to the FPPC by the Chair, who will receive them in his or her role as a member of the University Compliance Committee.
- c. Senate liaisons distribute draft policies to faculty in their respective units for review and comment.
- d. The Chair (or his/her designee) will present at Faculty Senate meetings the policies being reviewed and ask for comment from the Faculty Senate.
- e. The FPPC will consolidate and document the comments of the UAB faculty and Faculty Senate and return recommended changes to the University

- Compliance Office for forwarding to the original drafting committee. The Faculty Senate Chair will be copied on all of this information.
- f. If FPPC's recommendations are not accepted or not incorporated into a subsequent version by the drafting committee, the Faculty Senate Executive Committee may submit additional feedback for reconsideration to the President's Risk Cabinet through the Provost.
 - g. The Decision of the President shall be final on all Policies.

I. Resources for FPPC Members

Useful links for FPPC work may be found at
<http://www.uab.edu/facultysenate/policies>

J. Chronology of FPPC Operating Rules Amendments

1. Original Resolution by the FPPC

Whereas the Governance and Operations Committee of the Faculty Senate at its meeting on April 7, 1999 in response to a request from the Faculty Policies and Procedures Committee by "Bylaws amendments to monitor absences and designate faculty alternate" did state that "it was within the prerogative of the Chair of any Senate standing committee in conjunctions with its members to establish the committee's operating rules" and

Whereas the Bylaws of the Faculty and Senate (Article II, Section 2, Sub-Section C) provide for the election of the Chair of the Faculty Policies and Procedures Committee by the committee and

Whereas the Bylaws of the Faculty and Senate (Article II, Section 2, Sub-Section C) provide latitude to the Faculty Policies and Procedures Committee in the establishment of meetings

NOW THEREFORE BE IT RESOLVED that the Faculty Policies and Procedures Committee hereby establishes by a two-thirds vote the following Operating Rules relative to membership, Chair, and meetings and

BE IT FURTHER RESOLVED that amendment of these Operating Rules may be achieved by a two-thirds vote of the voting membership of the Faculty Policies and Procedures Committee.

Passed the 18th day of June 1999 by two-thirds votes of members.

2. Amendments Since 1999

- a. March 16, 2001 – Added Email Voting [Section I]
- b. April 19, 2002 – Updated Membership and Meetings [Section A & H]
- c. April 18, 2003 – Updated Membership and Meetings [Section A & H]
- d. November 18, 2005 – Added Handbook Review Process [Section D]

- e. April 16, 2006 – Added Vice-Chair Position [Section F]
- f. April 18, 2008 – Revised Meetings [Section H-8 and H-9]
- g. May 16, 2008 – Revised Meetings [Section H-8 and H-9]
- h. September 19, 2008 – Added Meeting Rules and Updated Resources for FPPC Members [Section H-8 and H-7]
- i. April 17, 2009 – Section B.II.2.b; Section C.2.10.2; Section E.7; 8.b; 8.c; Section F.5; Section H.1;2;3;4;5;6;10; Section J
- j. May 15, 2009 – Section F.2 – number of consecutive terms for service as Vice-Chair
- k. February 18, 2011 – Review and revision of entire Operating Rules approved
- l. February 17, 2012 – Review, revision, and restructuring of Operating Rules approved. Duplications deleted, references to outside content minimized, Vice Provost and Associate Provost replaced with “Provost Representative,” process for filling vacancies changed to resemble current Faculty Senate Process.
- m. May 13, 2014 – The FPPC became a Faculty Senate standing committee. The FPPC now operates as a Faculty Senate standing committee. (Approved by President in early May).
- n. January 13, 2015 – Review, revision and restructuring of Operating Rules approved by FPPC members. These changes were applied to reflect the discussions and changes that occurred when the FPPC became a standing committee of the Faculty Senate.
- o. September 11, 2015 – Review and revision of Operating Rules approved by FPPC members. These changes were applied to reflect changes in the FPPC structure and membership (no longer have alternate-members, Faculty Senate Chair-Elect no longer an ex-officio member, attendance instructions) and other changes to make the committee congruent with other Senate Standing Committees (ex. Chair term limits).
- p. January 15, 2016 – Added Secretary as FPPC officer. Moved secretarial duties of the Vice Chair to the Secretary. [Section D edited, Section E added]
- q. April 19, 2019 – Added to Section H the processes for Handbook approval in separate documents removing duplication, minor revisions to sections (B.5, C.4, E.3, F.4, F.6, F.7, G).